RTO POLICY MANUAL

SRTOs 2015 and ESOS National Code 2018

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; Website: www.royalinternational.edu.au

USI Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 3.6; Schedule 5.3; 5.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is to ensure that RTO is committed to assisting the Federal authorities with allocation of Unique Student Identifiers (USIs). RTO captures and records the Unique Student Identifiers (USIs) of all students, and reports enrolment details and results to the Department to ensure compliance with the requirements set by the Student Identifiers Act 2014, and the Standards for Registered Training Organisations 2015.

Objectives

The objective of this policy and procedure for RTO is to ensure that;

- Appropriate and suitable mechanisms are in place for handling the Unique Student Identifiers (USIs) of students
- Management and staff of RTO are aware of their responsibilities and obligations in relation to USIs
- There is a policy framework for handling USIs.
- Compliance with the Privacy Act 1988 and Student Identifiers Act 2014 obligations and responsibilities

Scope

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; Website: www.royalinternational.edu.au

This policy and procedure applies to all RTO staff who are responsible for the collection, storage and reporting of Unique Student Identifier (USI) data. This policy and procedure applies to all students in nationally recognised training, except those students who are deemed to be exempt.

General Processes

The RTO meets the requirements of the Student Identifier scheme, including:

- verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose
- ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014
- ensuring that where an exemption described in clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar
- ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

1. **Providing USI information**

    The prospective student is provided with the USI information which outlines;
    - USI definition
    - Purpose
    - Process
    - Consent section in enrolment form

    Students are directed to the RTO website for USI information. If a potential student does not have access to the Internet, then RTO needs to ensure the access to the USI information on the RTO website for the student is available.

2. **Consent for creating USI**

    RTO Manager or an officer appointed by the RTO Managers hand over the completed and compliant enrolment form with relevant paperwork to the Administration staff. The

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; Website: www.royalinternational.edu.au

RTO Manager or an officer appointed by the RTO Managers ensures that the consent section on the enrolment form has been signed in order for the Administration staff to create a USI on the students' behalf, If the student does not have a USI, one can be created providing that there is an attachment of the student's photo copied ID.

A list of relevant ID is listed from one of the eight Document Verification Service (DVS) documents listed below:

- Australian Passport

- non-Australian Passport (with Australian Visa)

- Australian birth certificate

  please note a Birth Certificate extract will not be accepted
- Australian Driver's Licence

if none of the documents listed above are available, applicants can also provide:

- Medicare Card
- Certificate of Registration By Descent
- Citizenship Certificate
- ImmiCard

Important:

If the student has not brought a DVS document with them or the check is unable to be completed on the day, the training organisation can proceed with its enrolment process and complete the USI creation process at a later stage, subject to the parameters of the System Management System.

3.   Checking enrolment paperwork

The Enrolment/ Admissions Officer checks the enrolment paperwork against the eligibility component of student file checklist before accepting the Handover Record.

4.   Check requirements of all enrolments for USI

If the student already has a valid USI, and this information has been filled into the enrolment form, then enrolment is processed as normal. If the student does not have USI, and consent has been provided to RTO to create a USI on learner's behalf, Administration staff will go through the next USI register process.

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; Website: www.royalinternational.edu.au

5. **Register USI**

- Administration staff registers USI based on the student's personal details and ID copies.
- Once the USI is created it is on the system and an email from the USI authority will be sent to the student automatically

6. **USI Exemptions**

Should a USI exemption apply, the student is made aware prior to enrolment or training that their training results will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the USI Registrar.

USI Exemptions apply according to the following criteria:

Exemption categories are:

- Students who complete all requirements for their VET Qualification or VET Statement of Attainment outside Australia.
- An individual who has completed all the requirements for the VET Qualification or VET Statement of Attainment before 1 January 2015.
- Students who demonstrate a genuine personal objection to being assigned a USI. This exemption can only be granted by the Student Identifiers Registrar.

Procedures

Sr.No	Procedure Steps	Responsibility	Reference
1	Providing USI Information	Student Support Officer	
2	Consent for creating USI	Student Support Officer	
3	Checking enrolment paperwork	RTO Manager	

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; Website: www.royalinternational.edu.au

4	Check requirements of all enrolments for USI	RTO Manager	
5	Register USI	RTO Manager	

Continuous Improvement

A summary of all USI related matters and concerns will be presented the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Common threads relating to the compliance and quality assurance
- Repeat issues
- Any general adverse trends that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review process

The policy and procedure will be reviewed annually by the RTO Manager.

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; **Website:** www.royalinternational.edu.au

Section 6: Regulatory Compliance and Governance Practice

Policies and procedures:	Mapping		Comments
Policy 6.1.1: Copyright Policy	SRTOs 2015	1.3(b); 1.7; 2.2(a);	
	ESOS National Code 2018		
Policy 6.1.2: Agent Appointment, Monitoring and Management Policy	SRTOs 2015	4.1; 7.3;	
	ESOS National Code 2018	3.4.1; 4.1; 4.2; 4.3; 4.4; 4.5; 4.6; 10.2.2;	
Policy 6.1.3: Staff Induction and PD Policy and Procedure	SRTOs 2015	1.3(b); 1.7; 2.2(a);	
	ESOS National Code 2018		
Policy 6.1.4: Communication Policy and Procedure	SRTOs 2015	4.1; 5.1; 5.2; 5.3; 5.4; 8.2;	
	ESOS National Code 2018	1.1; 1.2; 1.3; 1.4; 1.5; 2.1; 2.2; 2.3; 2.4; 2.5; 3.1; 3.2; 3.3; 3.4; 3.5; 3.6; 4.2.3; 5.2; 6.1; 6.2; 6.4; 6.5; 6.8; 6.9; 10.1;	
Policy 6.1.5: Continuous Improvement Policy and Procedure	SRTOs 2015	1.5; 1.6; 1.9; 1.11; 1.11(a)i; 1.11(b)i; 1.25; 2.1; 2.2; 2.2(b); 2.3; 2.4; 6;	
	ESOS National Code 2018	10;	
	SRTOs 2015	2.1; 2.2; 2.4;	

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; **Website:** www.royalinternational.edu.au

Policy 6.1.6: Version Control Policy and Procedure	ESOS National Code 2018		
Policy 6.1.7: Records Management Policy and Procedure	SRTOs 2015	3.4; 6.5; 8.1(f); Schedule 5.4(g); 5.4(h); 8(c);	
	ESOS National Code 2018	3.6; 5.3.5; 7.7;	
Policy 6.1.8: Privacy and Confidentiality Policy and Procedure	SRTOs 2015	3.4; 6.5; 8.1(f);	
	ESOS National Code 2018	3.3.6; 4.3.2;	
Policy 6.1.9: Management Substitution Policy and Procedure	SRTOs 2015	1.3; 2.1; 2.4; 7.1;	
	ESOS National Code 2018		
Policy 6.1.10: Compliance Insurance Policy and Procedure	SRTOs 2015	7.4;	
	ESOS National Code 2018	4.2.1;	
Policy 6.1.11: VET Governance Policy and Procedure	SRTOs 2015	7.1; 7.2; 7.3; 7.4; 7.5;	
	ESOS National Code 2018		
Policy 6.1.12: Work Health and Safety/Occupational Health and Safety	SRTOs 2015	2.1; 2.4; 7.4;	
	ESOS National Code 2018	6.9.1; 6.9.2; 6.9.3; 11.2.5;	
	SRTOs 2015	2.1; 2.4; 7.4;	

Royal International College
RTO Code: 46036| CRICOS Code: 04153F
ABN: 94 656 983 121 ACN: 656 983 121
Suite 2, Level 6, 341 Queen Street Melbourne VIC 3000
Ph: 0461414506
Email: info@royalinternational.edu.au; **Website:** www.royalinternational.edu.au

Policy 6.1.13: IT Policy and Procedure	ESOS National Code 2018	6.5; 6.7; 6.9.1; 6.9.2; 6.9.3; 11.2.5;	
Policy 6.1.14: Staff Recruitment and Appraisal Policy and Procedure	SRTOs 2015	1.3; 1.6(b); 1.13; 1.14; 1.15; 1.16; 1.22; 1.23; 6.1(a); 2.1;	
	ESOS National Code 2018	5.2.1; 6.5; 6.7; 6.9.1; 11.2.5; 11.2.6;	
Policy 6.1.15: Compliance and Communication with the Regulator and Compliance with Legislative Regulations Policy and Procedure	SRTOs 2015	2.1; 2.2; 2.3; 2.4; 7.1; 7.2; 7.3; 7.4; 7.5; 8.1; 8.2; 8.3; 8.4; 8.5; 8.6;	
	ESOS National Code 2018		
Policy 6.1.16: Agreements with other Organisations and RTO Policy	SRTOs 2015	2.3; 4.1(e); 4.1(f); 5.2(b)iv; 5.2(d)ii; 5.3; 5.4; 6.1(b); 6.2; 7.3; 8.2;	
	ESOS National Code 2018	1.2.1; 11.1.4;	