Department		
Retail Institute – RTO (ID4049)		
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RI_RTO_002	USI Requirements – Policy and Procedures	January 2015
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Aaron Hines	July 2023	
Director, ARA Retail Institute		
Reason for change	General review of the content and improvement.	

1. Policy objective

1.1. The objective of this Policy and procedure is to ensure that the Australian Retailers Association (the ARA), via its training division, the ARA Retail Institute (RI), comply with the responsibilities set by law as a nationally Registered Training Organisation (RTO).

1.2. This Policy ensures compliance with ASQA and related VET Standards for RTOs 2015 (Clause 3.6 Participate in the Unique Identifier Scheme)

1.3. The ARARI, through the application of this Policy, will:

1.3.1. Ensure that all students enrolling into a nationally recognised training listed in the Scope of the Registration for the Australian Retailers Association RTO 4049 follow the procedures required under the Australian Government Unique Identifier Scheme and Registry System.

1.3.2. Advise students on how to obtain a Unique Student Identifier (USI).

1.3.3. Ensure verifying students' USI before it is used, including issuing an Australian Qualification Framework (AQF) qualification or applying for publicly funded training, unless an exemption applies under the Act.

1.3.4. Outline USI and enrolment process and procedures:

- to collect privacy consent to secure the USI,

- to ensure the security of how documents provided by students, including information stored in its student management system,

- to verify with the Student Identifier Registrar (the Registrar) a USI before it is used for any purpose, including issuing AQF documentation, unless an exemption applies,

- to approve and manage necessary USI Transcript updates, and
- to report USI data for every student undertaking nationally recognised training data unless an exemption applies under the Student Identifiers Act 2014.

2. Definitions

2.1. For the purpose of this Policy, and associated Procedures, the following definitions apply:

2.1.1. Training course – is defined as a pathway to achieving a nationally recognised qualification or Skill set from a VET Training Package as listed on the ARA's Scope of Registration.

2.1.2. AQF – the Australian Qualifications Framework

2.1.3. ASQA – Australian Skills Quality Authority, the national VET Regulator for RTOs, enforces the National VET Regulator Act 2011.

2.1.4. RTO – Registered Training Organisation

2.1.5. VET – Vocational Education and Training

2.1.6. NRT – Nationally Recognised Training, training that consists of training packages, qualifications, units of competency, accredited courses, and skill sets

2.1.6.1. For more information, go to the website: training.gov.au - About

2.1.7. ARA – Australian Retailers Association

2.1.8. ARARI – ARA Retail Institute, the entity responsible for administering the ARA's RTO

2.1.9. USI – the Unique Student Identifier scheme administrated by the USI Registrar.

2.1.10.   PII – Personally, Identifiable Information

2.1.11.   SOO - Service Skills Organisation

2.1.12.   SMS – Student Management System

2.1.13.   UoC - Unit of Competency (UoC)

2.1.14.   CoA - Certificate of Qualification (CoQ)

2.1.15.   SoA - Statement of Attainment (SoA)

2.1.16.   SMS – Student Management System

3. Scope

3.1. This Policy applies to all individuals who must ensure the ARARI complies with the Standards for RTOs and other laws and conforms to its conditional arrangements with other interested parties critical to the operations of the ARARI. Including:

- any student enrolled and participating in a nationally recognised training program within ARA's Scope of Registration,

- all ARARI staff and or other persons ("other" individuals engaged by the ARA) who facilitate student enrolment,

- all ARA Partners ("Partners" Third Party Arrangements/Agents and staff), and

- all ARARI Directors and the ARA CEO.

4. Related Documents

Enrolment and Admission – Policy and procedures

Student Information Handling – Policy and procedures

Record Management – Policy and procedures

Issuance of a Certificate – Policy and procedures

Participants Handbook

4. Policy

4.1. The ARARI's implementation of the USI data collection process must comply with:

   4.1.1. The Student Identifiers Act 2014 (the Act) and related regulations whereby Training service providers must ensure that the USI management arrangements are effective, managed with accuracy, validity, and securely and in a timely manner.

   4.1.2. The Privacy Act 1988 protects students' privacy – Training service providers must ensure security arrangements related to personally identifiable information (PII) relating to the student.

   4.1.3. The VET Standards RTOs 2015 (Clause 3.6 Participate in the Unique Identifier Scheme)

4.2. Only staff or contractors required to use the SMS as part of their daily duties have permission to access where USI is verified and stored following the ARARI student information handling procedures.

4.2. It is the responsibility of:

   4.2.1. The student enrolling in a nationally recognised training to apply for and provide the ARARI with their USI,

   4.2.2. ARARI Administrators to conduct the USI verification process, and

   4.2.3. The ARARI RTO Director and ARA CEO to ensure this Policy and related RTO procedures comply with related laws.

4.3. If a student has difficulty applying for a USI, ARARI will create a USI on behalf of the student.

   4.3.1. The student must permit ARARI to access the register and create the USI.

4.4. Evidence gathered solely for proof of ID, to verify or to create a USI will be securely held until no longer needed following the ARARI's student information handling and record management processes

   4.4.1. Handling student information and records management policy documents will be maintained and updated on the ARARI policies and procedures pages of the ARA website.

   4.4.2. For more information and USI privacy, visit the USI website at www.usi.gov.au/providers/student-permissions.

4.4. The ARARI is responsible for contacting students who failed to provide a USI before completing the training program and advising them that they must do so before any Qualification or Statement of Attainment can be issued unless an exemption is in place as outlined in the Student Identifiers Act 2014.

4.5. ARARI will not provide a CoQ or a SoA to any student who does not have a verified USI recording the SMS; unless an exemption is in place as outlined in the Student Identifiers Act 2014.

4.6. Suppose the USI Registrar grants an exemption for USI. In that case, ARARI will inform the student before either the completion of the enrolment or commencement of training and assessment, whichever occurs first.

   4.7.1. Training results will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the USI Registrar.

4.8. The ARARI will not issue a CoQ or SoA until all entry requirements are received, any training program fees paid, and all training program requirements (assessments and work placement) finalised.

4.8. ARARI will not provide a CoQ or SoA to any student who does not have a verified USI recording the SMS; unless an exemption is in place as outlined in the Student Identifiers Act 2014.

4.9.1. Information about the USI system and its' requirements will be maintained and updated on the ARARI policies and procedures pages of the ARA Website.

4.9. ARA will ensure that current and past students can access records of their achievements.

4.10.1.All students with a verified USI can access their records through the USI system. For more information, visit the USI website at www.portal.usi.gov.au/student.

4.10. Students who participated in training before January 1, 2015, can access their records in another way by applying directly to ARARI through a request.

4.11. Changes to this Policy will be made at the time of review or when there are changes to the standards for RTOs as directed by the AQSA.

5. Application of the USI

5.1. Once a USI is provided to the ARARI, the procedure is as follows:

5.1.1. The USI is entered into the SMS for verification.

5.1.2. If verification is not validated., the student is contacted to reconfirm details.

5.1.3. When the correct USI is received, SMS is updated and verified.

5.1.4. CoQ is awarded, and a record of SoA is entered into the ARARI SMS.

5.1.5. Data is reported

6. USI Exemption

6.1. A person with a genuine personal objection to being assigned a USI can apply for an exemption from the USI Registrar.

6.2. To apply for an exemption, the participant must complete the Commonwealth Statutory Declaration Form found at: https://www.usi.gov.au/documents/usi-statutory-declaration

The participant must send it to the register at the following address:

Student Identifiers Registrar
C/- Department of Education and

Training
GPO Box 9880
Canberra, ACT 2601

6.2.1. If a USI exemption is granted, then the training results will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.

6.2.2. Note: Exemptions are provided for offshore international students, but this is not relevant to ARARI.

7. Procedure

Pre-enrolment	Responsibility

7.1. As part of the Enrolment & Admission Notification procedures, prospective students are informed: • how to apply for a USI and directed to the USI website at http://www.usi.gov.au/create-your-USI/Pages/default.aspx. • why the ARARI requires it • how to apply for USI and the implications • how the ARARI can create a USI on their behalf 7.2. Provision for the USI on the related training Enrolment Form encourages all participants to generate their own USI. 7.3. An ARARI Administrator or other persons will assist a prospective student to enrol through its Notification of Enrolment Policy and Procedure available on the ARA Website and any additional pre-enrolment information communicated to the student directly or indirectly. USI is created/provided by the student – Verifying USI number 7.4. An ARARI Administrator or delegated personnel will ensure student provides their USI on Pre-enrolment Screening or through a related Enrolment Form. 7.5. Upon receipt, an ARARI administrator will enter the USI into the SMS, and enrolment will not be finalised until the USI is verified (unless the USI exemption is granted). 7.6. The student will be contacted if the USI check returns a "not valid" response. Therefore, the student must make a further check through the USI Registry System. 7.7. A student's details on the SMS record are verified USI. USI is created by ARA 7.8. If the student cannot provide the USI, ARARI will help and guide the student to apply on USI website at: www.usi.gov.au/ and submit it for verification. 7.9. The student must confirm permission to create a USI using a proforma or checked item on an enrolment form. This information is submitted to ARA RTO staff or partnering organisation along with required supporting student identification evidence ARARI Administrators to follow the steps as indicated below: 1. Confirmation of ID (driver's license, Medicare card, passport, Immi card) 2. Have contact details ready (e.g., email address, or mobile number, or address). 3. Check if a USI already exists for the student - www.usi.gov.au/trainingorganisations/using-usi-registry system/existing-usi-search-locate-usi 4. Visit the USI website at: www.usi.gov.au/	ARARI RTO Administrators

5. Select 'Student Entry' and then Select 'Create a USI' link and follow the steps.	
6. Agree to the Terms and Conditions.	
7. Follow the instructions to create a USI – it should only take a few minutes. Upon completion, the USI will be displayed on the screen.	
8. The USI is also sent to the student's preferred contact method.	
9. The student should then write down the USI and keep it somewhere handy and safe.	
7.10. ARARI Administrator will enter the USI in the SMS, and enrolment will not be finalised until the USI is verified	
7.11. All USIs are verified at enrolment	ARARI RTO Administrators
Check eligibility	ARARI RTO Administrators
7.12. Once a student has completed all training program requirements (the units or modules within a qualification), they are eligible to have their qualification issued.	Finance Dept Administrators
7.13. Students who have completed a qualification and paid all fees will have their qualification issued within 30 calendar days of completing the qualification requirements.	
7.14. The student must have a valid USI at the time of certification which must be verified by ARARI before issuance.	
7.15. ARA will follow up with the student if the student has met all the enrolment and admission qualification requirements, and training program requirements (assessments and mandatory work placement) but has not paid all fees. In this case, the qualification will be issued after receiving the final payment.	
7.16. A record of results will accompany a certificate.	
AWARD the Certificate of Qualification (CoA)	ARARI RTO Administrators
7.17. Record the award of the qualification on the SMS	
7.18. The date of the award will be the date on which the award is generated/issued.	
Print the CoQ and record of results	ARA CEO
7.19. Use the approved template to print the certificate.	ARA RI Directors
7.20. Use the approved template to print the record of results.	
7.21. Ensure the certificate and record of results are signed by either the	ARA RI RTO Administrators
7.22. CEO or Director.	

7.23. Ensure the details printed on the certificate and record of results are accurate.	
7.24. Have the authorised person sign the certificate.	
7.25. Keep a copy of the certificate and record of results on the student's file.	
7.26. The ARARI will destroy any personal information collected solely to apply for a USI on behalf of a student as per the Student Identifiers Registrar's Privacy Policy on www.usi.gov.au/.	
RECORD the Statement of Attainment (SoA)	ARARI RTO Administrators
7.27. A record of the issue of the SoA will be entered into the SMS, and a physical copy in the student file.	
Print the SoA	ARARI RTO Administrators
7.28. Use the approved template to print the Statement of Attainment.	
7.29. Ensure the details printed on the Statement of Attainment are accurate. ARARI's SMS will record the date of issue.	
7.30. Ensure the document is signed by either the CEO or Director.	
7.31. Keep a copy of the document in the student file.	
7.32. The ARARI will destroy any personal information collected solely to apply for a USI on behalf of a student as per the Student Identifiers Registrar's Privacy Policy on www.usi.gov.au/.	
Issuing Certificate of Qualification (CoA) or Statement of Attainment (SoA)	
Check eligibility	ARA RI RTO Administrators
	Finance Dept Administrators
7.33. Verification of participation in a nationally recognised training qualification or Skill set listed on the ARA Scope or RTO Registration (current or previously), including: • completed the NRT qualification, a single unit, or Skill Set, and • withdrawn from NRT qualification and has completed some units or modules.	
7.34. A valid USI at the time of attainment certification, which ARARI must verify before issuance.	
7.35. If all fees have been paid.	
7.36. Where a student has completed the USI requirements to be issued a CoA and or SoA but has not paid all their fees or completed training program requirements (assessments work placement), ARARI will follow up with the student. In this case, the CoA and or SoA will be issued after the final payment.	