USI Registry System

User Guide

for

Training Organisations
VET Admission Bodies
VET Related Bodies
This user guide has been prepared to assist users of the Unique Student Identifier (USI) Registry System to understand the functions and guide them through the processes of primarily creating a USI account on behalf of a student and verifying USIs.

This User Guide will be maintained in “real time” and will be continually updated to reflect feedback from users.

We recommend that users refer to the online version from the USI website at www.usi.gov.au wherever possible to access the latest advice or procedures.
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1 Introduction

1.1 About this document

The purpose of this user guide is to provide information for Vocational Education and Training (VET) organisations on how they can use the USI Registry system to assist students to create their USI accounts.

In addition, it describes how the training organisation can verify a USI and also provides advice about some other useful functions of the system.

The USI Office has developed two connection options:

♦ A web services solution that provides a seamless system to system interface with a training organisation’s student management system and

♦ The USI Registry system.

Both systems allow:

♦ the creation of USI accounts for students who give the training organisation permission to do so

♦ the ability to verify a student’s USI number to ensure its accuracy and reliability before uploading their AVETMISS compliant submission to the National Centre for Vocational Education Research (NCVER) database.

This guide is principally written for training organisations using the USI Registry system, however information for those using web services can be found in Appendix A at the back of this document.

1.2 Who should use this guide

This guide is intended to assist enrolment officers in Registered Training Organisations (RTOs), VET Admission Bodies (VAB) and staff in VET Related Bodies (VRB) to effectively use the USI Registry system.

The definition of a VAB and a VRB appears in this document at 1.4 Definitions, Acronyms and Abbreviations. If you are not sure which definition applies to you please contact the USI Office by email at usi@industry.gov.au.

Separate information is available for students on the USI website at www.usi.gov.au or from the USI Office. The office can be contacted by email at usi@industry.gov.au.

1.3 Related information

Comprehensive information about the USI initiative and the following topics can be found on the USI website www.usi.gov.au

♦ Technical Services Contract Specifications

♦ Collecting a student’s USI

♦ All links to policies and disclaimers in the Terms and Conditions

♦ Help Centre which includes Frequently Asked Questions

♦ Information for System Developers
# 1.4 Definitions, Acronyms and Abbreviations

The following definitions provide clarification of the terms and expressions commonly used in this guide.

<table>
<thead>
<tr>
<th>TERM</th>
<th>MEANING</th>
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</thead>
<tbody>
<tr>
<td><strong>ABN</strong></td>
<td><strong>Australian Business Number</strong> - is a unique 11 digit number issued by the Australian Business Register (ABR).</td>
</tr>
<tr>
<td><strong>ABR</strong></td>
<td><strong>Australian Business Register</strong> operates within the Australian Taxation Office and stores details about businesses and organisations when they register for an Australian Business Number (ABN). It also allocates AUSkeys.</td>
</tr>
<tr>
<td><strong>AQF</strong></td>
<td><strong>Australian Qualifications Framework</strong> A government body that specifies the standards for educational qualifications in Australia.</td>
</tr>
<tr>
<td><strong>AUSkey</strong></td>
<td><strong>AUSkey</strong> is a secure login that identifies you when you use government online services on behalf of a business.</td>
</tr>
<tr>
<td><strong>AUSkey Administrator</strong></td>
<td>This is usually the person who manages the AUSkey in an organisation and can create subsequent AUSkey holders for the business. It is stored on an individual’s desktop.</td>
</tr>
<tr>
<td><strong>Authentication</strong></td>
<td>This process used AUSkey and enables business &amp; agencies to interact securely online with assurance of each other’s identity. It also provides a single logon and verifies an individual’s on-line identity.</td>
</tr>
<tr>
<td><strong>Authorisation</strong></td>
<td>After the AUSkey has been authenticated, the user can select the appropriate ABNs within the organisation that they are authorised to act on behalf.</td>
</tr>
<tr>
<td><strong>CRN</strong></td>
<td><strong>Centrelink Reference Number</strong> – shown on the Centrelink card</td>
</tr>
<tr>
<td><strong>Deactivated record</strong></td>
<td>A USI account is deactivated (not to be used) if it is a compromised record or a duplicate record. This is an activity taken by the USI Office.</td>
</tr>
<tr>
<td><strong>Device key</strong></td>
<td>Is an AUSkey suitable for government online services where no ‘human interaction’ is required. It is used in the USI web services function and is stored on a central server – not a user’s individual desktop.</td>
</tr>
<tr>
<td><strong>DVS</strong></td>
<td><strong>Document Verification Service</strong> - This is a web service provided by the Attorney General’s Department that assists in identity verification processes by confirming the validity of IDs provided for state and federally-issued documents (e.g. passport, driver’s licence).</td>
</tr>
<tr>
<td><strong>DVS Override</strong></td>
<td>This is used if the student does not have a form of ID or one that is acceptable by the DVS system. This right must be applied for by the Organisation to the USI Office and is granted for a period of time and closely monitored.</td>
</tr>
<tr>
<td><strong>ID</strong></td>
<td><strong>Identification Document</strong> eg Driver’s Licence</td>
</tr>
<tr>
<td><strong>Immi card</strong></td>
<td><strong>Immigration Cards</strong> which are an official immigration credential that contains a photograph and personal details and can be used as a form of ID in the USI system.</td>
</tr>
<tr>
<td><strong>NCVER</strong></td>
<td><strong>National Centre for Vocational Education Research</strong></td>
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<tr>
<td>TERM</td>
<td>MEANING</td>
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<tr>
<td>OrgCode</td>
<td><strong>Organisation Code</strong> – assigned by Training.gov.au. It may also be known as a Training Organisation Number, Provider Number, TOID and TGA Number.</td>
</tr>
<tr>
<td>RTO</td>
<td><strong>Registered Training Organisation</strong> - A provider of accredited VET courses that can assist applicants to obtain a USI, is able to verify a USI and access educational information with the student’s permission.</td>
</tr>
<tr>
<td>SAML</td>
<td><strong>Secure Assertion Markup Language</strong> – an OASIS standard.</td>
</tr>
<tr>
<td>Service Provider</td>
<td>An RTO with an SMS using web services from the Office of the Student Identifiers Agency and that uses authentication services from the Security Token Service.</td>
</tr>
<tr>
<td>SMS</td>
<td><strong>Student Management System</strong>. This system is used by many training organisations to capture student records.</td>
</tr>
<tr>
<td>SMS Vendor</td>
<td>Provider of student management systems to RTOs.</td>
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<tr>
<td>SSA</td>
<td><strong>Self Service Authorisation</strong> allows organisations to control which employees can connect to the USI Registry.</td>
</tr>
<tr>
<td>STA or TA</td>
<td><strong>State Training Authority</strong> - that oversees the delivery of VET</td>
</tr>
<tr>
<td>STS</td>
<td><strong>Security Token Service</strong> secures USI Web services by validating digital credentials and generates security tokens which can be used to send one or more messages.</td>
</tr>
<tr>
<td>Student</td>
<td>A person undertaking Vocational Education and Training and who will require a USI from January 2015.</td>
</tr>
<tr>
<td>Suspended record</td>
<td>A student’s account that is currently undergoing investigation by the USI Office.</td>
</tr>
<tr>
<td>TGA</td>
<td><strong>Training.gov.au</strong> - The official National Register of information on Training Packages, Qualifications, Courses, Units of Competency and RTOs.</td>
</tr>
<tr>
<td>Transcripts</td>
<td>A student’s record of all the nationally recognised training undertaken or completed after 1 January 2015.</td>
</tr>
<tr>
<td>Training Record</td>
<td>A record of results or statement of results is a document that simply outlines the units completed and the outcomes received.</td>
</tr>
<tr>
<td>TSC</td>
<td><strong>Technical Services Contract</strong> This document describes the system to system functions provided by the USI web services and is used by student management system (SMS) vendors and RTO in-house system developers.</td>
</tr>
<tr>
<td>USI</td>
<td><strong>Unique Student Identifier</strong> - An exclusive 10 digit number consisting of letters and numbers and used to link a student’s USI account to their training records.</td>
</tr>
<tr>
<td>USI Student System</td>
<td>This system has been developed for VET students to:</td>
</tr>
<tr>
<td></td>
<td>♦ create a USI whilst undertaking Vocational Education and Training</td>
</tr>
<tr>
<td></td>
<td>♦ assign permission for a training organisation to view and/or update their personal and contact details</td>
</tr>
<tr>
<td></td>
<td>♦ view their training records.</td>
</tr>
<tr>
<td>TERM</td>
<td>MEANING</td>
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</table>
| VAB          | **Vocational Education and Training Admission Body** - This is an organisation (that is not an RTO) that provides assistance to students to apply for a USI account. This organisation can also use the USI Registry System to:  
  ♦ Create a USI on behalf of a Student with their permission  
  ♦ Verify a USI  
  ♦ View selected reports (eg listing of Deactivated records).  
  Examples may include (but are not limited to):  
  ♦ Apprenticeship Centres  
  ♦ Schools Authorities with students undertaking VET courses  
  ♦ Tertiary Admissions Centres. |
| VANguard     | **VANguard** is a whole of government program that delivers cost-effective and reliable authentication services to secure business to government and government to government online transactions.                   |
| VET          | **Vocational Education and Training.**                                                                                                                                                                  |
| VRB          | **Vocational Education and Training Related Body** - An organisation that is not an RTO or a VAB but is involved and /or has an interest in the VET sector (eg Commonwealth or State/Territory Department that deals with matters relating to VET, a VET Regulator, or an entity specified in a legislative instrument made by the Student Identifiers Registrar).  
  As a VET Related Body you can:  
  ♦ Verify a USI  
  ♦ View selected reports eg listing of Deactivated records  
  ♦ Find a USI, with the student’s permission |
| Web services | A software system designed to support interoperable system-to-system interaction.                                                                                                                          |
| WSDL         | **Web Services Description Language** – XML based interface definition language that is used for describing the functionality offered by web services                                                           |
| WS-Trust     | A specification that deals with distribution of security tokens.                                                                                                                                         |
2 What is the USI initiative?

From 1 January 2015 students enrolling in nationally recognised training in Australia will need a Unique Student Identifier (USI).

The USI is a form of file number that will link students to their training records which are held in the national training collection. Students will be able to access their records online, download them and share them with future training organisations electronically.

With the student’s permission, training organisations will be able to see their students’ entire nationally recognising training record commencing with records collected in 2015. Training organisations will find it easier to assess pre-requisites and credit transfers and assess students’ eligibility for government funded training places.

Employers will benefit through access to better information on skill levels and the training needs of their workforce, and an authoritative source of the training records of job applicants and staff.

The USI will improve the VET sector’s transparency and responsiveness, enable more evidence based policy intervention by Governments and support the management of government funded student subsidy programs.

Over time the USI will make record keeping, information exchange and business practice in the Australian VET sector easier and smoother in a range of ways. The Australian Office of Best Practice Regulation has examined the USI and has designated it as deregulatory.

The majority of information that is required for a USI is collected and reported through AVETMISS, as well as being used for a training organisation’s day to day business.

2.1 Who needs a USI?

Students who need a USI include:

- students who are enrolling in nationally recognised training for the first time;
- school students completing nationally recognised training; and
- students continuing with nationally recognised training.

A student who is continuing study is a student who has already started their course in a previous year (and not yet completed it) and will continue studying after 1 January 2015.

Once a student creates their USI they will be able to:

- give their USI to each training organisation they study with;
- give their training organisation permission to view and/or update their USI account;
- give their training organisation view access to their transcript;
USI Registry System - User Guide for Training Organisations

♦ view and update their details in their USI account; and
♦ view online and download their training records and results in the form of a transcript from 2016.
♦ control access to their transcript from 2016.

2.2 Role of Training Organisations

Training organisations have an important role to play in either collecting and verifying or creating USIs on behalf of their students.

Most students will be able to obtain their USI on their own, although it will be important for each Training Organisation to prompt them to do this before they enrol.

Training organisations should record a USI for their students at the time of enrolment. However they must ensure that they have recorded a valid USI for each student when they report on training activities or issue an AQF certification document, such as a qualification, statement of attainment or testamur.

You need only create or verify a student’s USI once.
3 Before you start

3.1 Step 1 Decide how your training organisation will connect

There are two ways that a training organisation can use the USI Registry system. They are:

1. through system to system web services interface with the training organisation’s student management system and

2. by accessing the USI Registry system.

Training organisations can use a combination of both pathways and change at any time. The first step is to decide which solution is better for you.

3.1.1 Web services VERSUS USI Registry system

There are numerous differences between the two ways for training organisations to access the USI Registry system but the two important ones are:

♦ Web services offers a more seamless transfer of data for creating a USI account or verifying a USI in a batched submission from your student management system to the USI Registry system. This activity is performed in real time and is known as synchronous processing. This method is recommended for all training organisations, and especially for larger training organisations.

♦ USI Registry system allows you to create a USI account on behalf of a student and verify a USI, one record at a time, without changing your SMS or as a transition measure while changes to an SMS system to enable web services connections are made. This process is also simple and may be suitable for very small training organisations.

3.1.2 How do I decide what system is right for me?

♦ If you are using a student management system that has been developed and is maintained by a vendor, you will need to consult with them to see if they have already been working on a USI web services solution for their clients.

♦ If you have developed your own student management system and it is can consume web services, you will need to discuss with the developers who maintain your system, whether a web service solution is feasible for your organisation.

♦ If you do not have developers or a system administrator that can assist you, or you do not use a vendor, the USI Office can provide advice about vendors which are offering USI web services solution.

♦ Some organisations have chosen to consult with other training providers who have a similar education profile, to discuss their experiences and decisions.

♦ If you are a smaller training organisation, you may wish to use the USI Registry system and create USI accounts individually for students. Remember you must have their permission.
3.1.3 What if I cannot, or choose not to, use the USI online systems to create a USI?
If you do not intend to use the USI Registry system for creating USIs on behalf of your students, you will still need to verify the USIs you collect from students, with the USI Registry to ensure they are correct.

You can do this using the USI Registry system by logging on and selecting Verify USI.

3.2 Step 2 Make sure you are ready

There are some things you need to do to ensure you are able to access the USI system.

3.2.1 Web services

If using web services your SMS vendor/developer will normally assist you in connecting to the USI Registry system. Web services information is covered in Appendix A to this document.

3.2.2 USI Registry system

If you choose to use the USI Registry system, please ensure you have the following:

♦ Listed on Training.gov.au
   To use the USI Registry system, training organisations must be listed and current on Training.gov.au (TGA), the National Register of VET.

   When you are registered on TGA, your Training Organisation will be provided with a Code that corresponds to your business name and the combination of this and your Australian Business Number (ABN) enables access to the USI Registry system.

   The Vocational Education and Training Regulators maintain training organisations details that appear on Training.gov.au. If your details are not up to date or you require changes please contact your regulator, ASQA (National) WATAC (WA) or VSQAC (VIC).

♦ AUSkey
   Your Training Organisation will also require an AUSkey, to verify your identity when accessing the USI Registry system.

   An AUSkey is a secure login that identifies you when you use participating government online services on behalf of a business. An AUSkey reduces the number of usernames and passwords that you need. It gives you the ease and convenience of online access to help your business deal with government in a more efficient way.
If you are unsure if your organisation has an AUSkey, you may wish to seek the assistance of your IT Administrator. In many organisations it is the Chief Financial Officer who has knowledge of the AUSkey/s for the business. It is recommended that a separate AUSkey be used for USI operations.

Obtaining an AUSkey is free. The first step is to contact the Australian Business Register at [www.abr.gov.au](http://www.abr.gov.au).

### 3.3 Step 3 Apply for access to the USI Registry system

#### 3.3.1 USI Access Form

To gain access to the USI Registry system you are required to complete the USI Access Form.

This form is available on the USI website using the following link:


This is an online form and once submitted the USI Registry system will be updated with your information. This will be completed within a couple of business days.

The following is an image of the USI Access Form with indicators pointing to the fields that must be completed.
When you have completed the form, please select the submit button at the bottom of the page.

You will be sent a notification when you have been granted access to the system. Your access should be arranged within 24 hours.

The Submission Complete screen shown below will be displayed and you have the ability to Save Print or Email a copy of the document you have completed.
3.4 Step 4   If you are creating a USI account on behalf of a student

Training organisations can create a USI account on behalf of a student but only if the student gives them permission to do so.

3.4.1 Ensure you have the students permission

The USI legislation requires training organisations to have their students’ authorisation before applying for a USI on their behalf. The training organisation will also need to accept the Terms and Conditions for accessing the USI Registry system in which they declare they have given the student a privacy notice (refer to Appendix 4 for details about the Terms and Conditions). The legislation does not prescribe how such authorisation should be captured. Training organisations can do so in a manner consistent with their business processes.

3.4.2 Confirm the student’s identity

Key information from a form of ID must be shown to match with corresponding details used to create a student’s USI. This is very important to avoid duplication of the USI and ensuring each student’s records are kept together.

* Form of ID used by USI Registry system

The details entered into the USI Registry system must be the same as shown on the form of ID. For the purpose of the USI, abbreviated names, nicknames and other preferred names cannot be used unless they are the exact names shown on the form of ID.

The USI Registry system has been designed to link into the Attorney General’s Department Document Verification Service (DVS) and this is where the form of ID is validated. The DVS provides the ability for the USI Registry system to automatically check the information on identity credentials against the
records of the issuing agency (eg Births Deaths and Marriages, Motor Registries in each state etc), usually taking just a few seconds.

These checks are conducted in real time to inform decisions that rely upon the confirmation of a person’s identity and assists in preventing duplicate enrolment or registration of clients.

The following documents are valid forms of ID in the USI Registry system and can be verified through the Document Verification Service:

- Driver’s Licence – issued in Australia
- Medicare card – current and issued in Australia
- Australian Passport – current
- Australian Birth Certificate
- Certificate of Registration by Descent
- Citizenship Certificate
- Visa
- Immi Card.

3.4.3 No Form of ID or an ID that is not accepted by the DVS?

If a student does not have a form of ID that can be used by the USI Registry System, the Training Organisation may sight another document. To use an alternative document, the Training Organisation will need to apply for DVS override.

The DVS override is a function in the USI Registry system available for organisations, Registered Training Organisations (RTO) and VET Admission Bodies (VAB). It is to be used in limited circumstances when the organisation applies for a USI on behalf of a student who does not have, or cannot obtain, one of the required ID documents needed for the DVS check.

Students must always be encouraged to provide a form of ID suitable for DVS when an organisation is creating a USI on the student’s behalf, and avoid the use of DVS override except where absolutely necessary. Very few students should require you to use DVS override.

Importantly, the DVS override should not be used just because an individual:

- does not have a DVS document available on enrolment day
- is not sure where they have put their documents
- needs to speak to a family member to get access to a DVS document.

This is because the overwhelming majority of students will have at least one form of ID suitable for DVS that is readily available, or easily obtained. Also, it should be remembered that students can always obtain a USI by applying
themselves online, and that it is not essential to have a USI at the time of enrolment.

Categories of students who may be less likely to have access to the required DVS ID documents include, for example:

- Indigenous students living in remote areas of Australia: the unique circumstances of people living in remote places mean that some Aboriginal and Torres Strait Islander births may not have been registered correctly, as well as people changing their names for cultural reasons. This could hinder the ability of Aboriginal and Torres Strait Islander Australians to obtain approved identification that complies with legislative identification processes.

- Students in correctional facilities: In many cases prison inmates may not have access to a document for DVS processing. This could include sentenced prisoners serving a term of imprisonment and un-sentenced prisoners held on remand.

The USI Registry system allows the DVS override to be granted to an RTO and VAB, subject to application and acceptance of the terms and conditions.

The number of DVS overrides that the Student Identifiers Registrar will grant to an organisation varies according to the needs of that organisation as set out in their application to the Registrar. Particular organisations may have a higher than normal requirement for DVS override based on their cohort of students with special circumstances.

There are two categories of DVS override application:

- **Low**: 5% of the training organisation’s student population or 10 DVS overrides in total (very small portion of students likely not to have been issued a DVS proof of ID document)

- **Very High**: Training organisation must specify percentage of overrides required (significant proportion of students likely not to have been issued a DVS proof of ID document).

To apply for DVS override you must read and accept the Terms and Conditions on behalf of your organisation and apply to the Student Identifiers Registrar.

The Student Identifiers Registrar will inform you of the outcome.

To apply for DVS override you must read and accept the Terms and Conditions on behalf of your organisation and apply to the Student Identifiers Registrar.

The USI Office will inform you of the outcome.
Some documents that are acceptable forms of ID if a training organisation has been granted DVS override include:

- Centrelink document (CRN)
- Member of an Indigenous Corporation
- Proof of Age Card (Over 18 Card)
- Working with Children card
- Seniors Identity Document.

The complete list will be provided when a Training Organisation applies for DVS override.
4  Ready to use the USI Registry system

4.1  Website

You can access the USI Registry system through the USI website at www.usi.gov.au.

Select the Training Provider Login tile at the bottom of the screen:

4.2  Terms and Conditions

Before you login you will need to agree to the Terms and Conditions. The Terms and Conditions in the USI Registry system inform you of:

♦ your rights and the rights of the student when creating a USI account,
♦ how the student’s personal and contact details are used,
♦ how the student’s privacy will be maintained,
♦ your responsibility in providing correct information
♦ your responsibility in having the authorization of that individual to create a USI on their behalf
♦ the requirement to ensure your computer is appropriately protected
♦ the standards that the USI Office is required to observe.
The Terms and Conditions ask you to acknowledge that you have read the information about the following:

- **Personal information**: the information that is collected about the student and how it is used.
- **Identity**: the need to obtain details from a form of ID provided by the students.
- **Privacy**: how personal information that is provided is protected by the Privacy Act 1988.
- **Provision of Privacy Notice to Individuals**: the need to advise students of how their privacy is maintained in the USI Registry system.
- **Retention and destruction of Information**: the USI information that you collected is secure and treated in accordance with the Privacy Act and the Student Identifiers Act 2014.
- **Applying for a USI on behalf of another person**: acknowledges that you are applying on behalf of another person and you have their permission to create a USI on their behalf.
- **Verifying a USI**: all USIs need to be verified and this should be done in accordance with Section 14.1d Student Identifiers Act 2014.
- **Disclaimer**: every effort will be made to protect information and you must be aware of the risks associated with using websites.
- **Security Statement**: the security responsibilities of the USI Office and the organisation.
- **Accessibility Information**: the USI Office’s commitment to non-discriminatory system access.

Select NEXT to continue

If you do not agree to the Terms and Conditions by ticking the box, you will not be granted access the USI Registry system.
4.3 Login

Select the Login button at the bottom of the screen.

4.3.1 Authentication

Before you commence, please ensure that AUSkey software is installed on the computer you are using.

This screen is the Vanguard Government authentication screen. You are required to identify your organization and enter your AUSkey password.
Please note: If you have forgotten your password you will need to contact the Australian Business Registrar at www.abr.gov.au and request a new AUSkey. Your AUSkey password cannot be reset.

When you have successfully entered the password select CONTINUE.

4.3.2 Authorisation

In most cases there will be a single entry for your organization and you will go straight to the USI Home Page.

If you have multiple entities under the one ABN, the next screen will be displayed and all entities will be shown in the drop down list. You need to select the one that you are representing each time you connect to the USI Registry system.

Select the entity that you are representing from the drop down list and select NEXT.
4.4 Home Pages

Now you have successfully logged in to the USI Registry system the Home Page will be displayed. All functions are clearly identified by the tiles and by selecting them you can undertake the function to which they refer. If you require assistance please refer to the Help section on the right side of the screen.

The home pages are different for Registered Training Organisations, VET Admission Bodies and VET Related Bodies as they are able to perform different functions

Registered Training Organisations can:
♦ Create an individual USI account on behalf of a student if you have the student’s permission;
♦ Verify a USI;
♦ Find a USI if you have the student’s permission
♦ View standard reports that have been prepared by the USI Office.

VET Admission Bodies can:
♦ Create an individual USI account on behalf of a student if you have the student’s permission;
♦ Verify a USI;
♦ View standard reports that have been prepared by the USI Office.

VET Related Bodies can:
♦ Verify a USI;
♦ Find a USI if you have the student’s permission
♦ View standard reports that have been prepared by the USI Office.
5 Creating a USI Account for a Student

This function can be used by RTOs and VET Admission Bodies. To create a USI account on behalf of a student, please select the Create USI tile on the Home Page.

Please be aware that you must first have the student’s permission. You will also need to accept the Terms and Conditions for accessing the USI Registry system in which you declare that you have given the student a privacy notice (refer to Appendix 4 for details about the Terms and Conditions).

An example of a privacy document can be found on the website www.usi.gov.au.

5.1 Personal Details

The first screen that is displayed is the Personal and Contact Details screen. The mandatory fields are shown with a red asterisk. All personal details must match the form of ID.
The key points to remember when entering **Personal Details** are:

- The personal details must be entered as they are shown on the student’s form of ID (e.g., you must enter the first, and/or middle and the family name exactly as they are shown on the form of ID that the student has presented to you). Abbreviated or nicknames cannot be used unless shown on the form of ID.

- The first question on this screen is “Does the student have a First Name and Family Name?” This is asked because, in some societies, it is common for people to have one name. If only one name appears on the student’s form of ID, please select “No, the student only has one name.” This will then display one field to be completed entitled “Name”.

- There are some fields on this screen that are mandatory. They are indicated by a red asterisk *. The system prevents progressing from this screen if the mandatory fields are not completed.

- If you require information about how to complete the personal details fields select Help on the right of the screen.
Comprehensive help appears as a popup screen if you select More Help.

5.2 Contact Details

As you scroll down the screen you will arrive at the Contact Details section. You need only to complete the students Preferred Contact Method, however this does not preclude from entering all fields if it is requested by the student.

If the student is an Australian student who is currently residing in another country and studying online at an Australian Training Organization, and you have selected the country in which they are presently residing, the following screen will appear. The address field is a free text field. See below:
The key points to remember when entering **Contact Details** are:

- You must provide one Preferred Contact Method for the student. The default is email. However, the student may choose to be contacted by mobile phone or mail. By selecting the Preferred Contact Method from the drop down list, the mandatory fields indicated by a red asterisk *, will show next to the field that is to be completed. For email and mobile, you are required to enter the student’s details and re-enter to confirm they are correct.

- If the student selects mail as the preferred contact method, please ensure all the address fields are completed. You will also need to make the student aware that it will still be necessary for them to access a computer to activate their account and set their password and check questions, and to change their password or other account details.

- The student’s Country of Residence can be selected from the drop down list. In most cases the country of residence will be Australia and this is the default displayed on this screen.

- It is important that the student’s contact details are accurate and up to date so that they can be contacted by the USI Office. This may be to confirm changes to their account, password resets and respond to enquiries from the student.

- You need to advise your students to update their USI account if they change their contact details.

- There are some fields on this screen that are mandatory. They are indicated by a red asterisk *. The system prevents progressing from this screen if the mandatory fields are not completed.

- If you require information about how to complete the contact details fields select Help on the right of the screen. By choosing More Help at the end of the text, additional explanations will be displayed similar to the Personal Details.
5.3 Confirm Student’s Details

It is important to ensure that you have entered the student’s details correctly. The next screen gives you the opportunity to check.

By selecting the BACK button you can return to the previous screen and change any inaccuracies.

If you are confident that all the information is correct, select the NEXT button at the bottom.
5.4 Form of ID

To complete the creation of a USI account, you will need to select the form of ID document being used by the student from the list of document types shown then enter the details from a suitable form of ID for the Student (eg Driver’s Licence, Medicare card).

This process is designed to ensure the name and some other identity fields used to create a USI match those accepted in a formal identity process. It is easiest and preferable if the student is holding the ID document but acceptable for them to provide the information in another way if necessary.

This information is checked automatically in a process that will normally take less than 30 seconds, by the Attorney General’s Department, Document Verification Service.

When you select the form of ID type from the screen the details that are required to verify a student’s identity are displayed - see below for an example of a NSW Driver’s Licence.
To continue and send the ID information for checking by the DVS system, select NEXT.

The key points to remember when completing the **Form of ID** details are:

♦ There are some fields on this screen that are mandatory. They are indicated by a red asterisk *. The system prevents progressing from this screen if the mandatory fields are not completed.

♦ Most document types have examples that can be enlarged. Samples of all documents can also be viewed on the website.

♦ Some of the required fields are document specific according to the document type you are using (e.g., there are differences between birth certificates in different states and years).

♦ If you require further information about how to complete the Evidence of Identity fields, select Help on the right of the screen. By choosing one of the identity documents in the Help section, more information about that document is displayed.

♦ If you want to start again select the BACK button.

♦ Checking by the DVS will normally take no longer than 30 seconds.

### 5.5 DVS Override (assisting students who do not have proof of identity documents)

Almost all students and most RTOs will have access to one or more forms of ID accepted by the USI Registry system and staff of RTOs must use every best endeavour to create USIs using those forms of ID. RTOs are able to assist students with certain special circumstances to create a USI using alternative ID processes.
This is referred to as Document Verification Service (DVS) Override. Conditions for using DVS Override are available at [http://usi.authprod.ind/Training-Organisations/Pages/proof-of-id.aspx](http://usi.authprod.ind/Training-Organisations/Pages/proof-of-id.aspx).

If you have been granted DVS override, the button will appear at the end of the list of document types. More information about obtaining DVS override can be found in section 3.4.3 of this document.

You will then be asked to confirm that you wish to use override.
5.6 DVS Results

If the DVS check is successful the following screen will be displayed with the USI.

![USI Registry System - User Guide for Training Organisations](image)

- The key points to remember after you have created a USI account for a student are:
  - The student will be notified that they have a USI account created for them.
  - There will be a link in the notification sent to the student’s preferred contact method, and they will be required to access the link and activate their account by setting their password and check questions.
  - You will need to copy the USI number from the screen and enter it into your student management system or record with the student’s details as the USI is a requirement of AVETMISS reporting.
  - Please see Appendix 2 Troubleshooting at the end of this document for issues that you may have with DVS failures.
6 Verify USI

This function can be used by RTO’s, VET Admission Bodies and VET Related Bodies.

All training organisations are required to verify the USIs they have collected from students, before uploading their AVETMISS data to the NCVER data warehouse, unless they have created the USI account on behalf of the student. When a training organisation creates the USI account on behalf of a student they are not required to separately verify the USI. This step is very important, as the student may have made a mistake when they provided their USI to you.

You should undertake verification during or soon after enrolment as this is the easiest time to work with the student to correct any errors.

To verify a USI through the USI Registry system, select the Verify USI tile on the Home Page.

When using the USI Registry system, you need only to enter the USI and First name, Family Name and Date of Birth, then select the Verify button at the bottom of the screen – see below. If you have a system-to-system connection, verification will normally happen automatically and notify you of any errors.
After the data has been submitted, the Verification Results are displayed on the screen. All fields that have been successfully verified will be shown with a green tick ✅, indicating the data matches the corresponding information in the USI Registry system.

If the data is not verified, the fields that do not match are shown with a cross ❌.

The following screen displays a Verification that is unsuccessful. The action to take is shown in the Appendix 3 of this document entitled Troubleshooting.
The key points to remember when verifying a USI are:

- You must enter the details correctly. It is important that you ensure the student is giving you the exact details (for example name format) they used when they created their USI. This may be different to the name details already stored in your Student Management System.
- Mandatory fields are indicated by a red asterisk *. The system prevents progressing from this screen if the mandatory fields are not completed.
- Please see Appendix 2 Troubleshooting at the end of this document for issues that you may have with verification failures.
7 Find USI

This function can be used only by RTOs.

Training organisations that have previously been given the student’s permission to view and or update their personal and contact details or see their training records are able to use this function.

Find USI allows an RTO to:

- search list and view a USI
- update and view the students details if they have permission

The following screen will be displayed. There are no mandatory fields. You can search on any field by completing one, some or all fields, then select Search.
If you choose to select fields that may not identify an individual (e.g. if you select surname “Jones”), you may be presented with a list of students that have given you permission to view their records with the same surname.

If the account has not been activated (ie the student has not set the password and check questions), the record will not be displayed.

Select the one that matches your find criteria.

Find USI may be used for the following purposes:

♦ If a student needs assistance with changing their personal or contact details. If they have given you permission, the following screen will appear. By accessing the Update link, you can make the changes. However, for changes to key personal details (eg first name, family name, one name, date of birth, gender) the student will need to provide a form of ID displaying the changes.
You need to view the students training record to evaluate whether their previous study will entitle them to be eligible for recognition for prior learning. (Please note this function will not be available until after January 2016 and will only include training completed since the introduction of the USI).

The key points to remember when using **Find USI** are:

- This function is only available to RTOs.
- To use Find USI, the student must have given you permission in their USI account to view their records.
- If the student has not given you permission, the message “**No records were found that match the search details**” will be displayed. To gain access you will need to ask the student to log in to their account and set permission for your organisation to gain access.
8 **View Reports**

This function can be used by RTO’s, VET Admission Bodies and VET Related Bodies to access reports that have been published by the USI Office.

When you select View Reports from the Home Page tile the following screen will be displayed. It will show only the reports that you have access to.

8.1 **Types of Reports**

The essential reports that will be available include:

- **Deactivated USIs X Reason X Source Of Application**

  This report will present the USI that has been deactivated and the current record.

  To maintain the integrity of the data included in the USI Registry system, routine checks will be undertaken to ensure that not more than one USI account has been created for a student (duplicate records) and not more than one student has the same USI (compromised records).

  If either of these problems occurs, the USI Office will investigate and take immediate action to resolve and inform the affected parties.
The list of deactivated records and their replacement USI number will be available weekly from the USI Registry system and a notification that the report is available will be published on the website. These reports can be downloaded.

We expect that a student or a Training Organisation that identifies a duplicate record will contact the USI Office and report their findings.

♦ **Suspended USIs x Date Suspended**

This report will list all suspended USIs that are currently under investigation by the USI Office. The suspension may be a result of the office being advised that there is a possible duplicate or compromised record. This report will be updated weekly.

♦ **Number of USIs generated x Month x source**

This report will be a routine report to gauge traffic across the USI Registry system. It will provide the opportunity for the USI Office to be aware of the load on the system and the peaks and troughs. This report may be of interest to training organisations.

Other reports are being developed. Many of the management reports are for the purpose of administering the system and will report on performance, operations and functionality and will not be published.

It is also intended that training organisations will be able to request ad hoc reports to assist them with their business processes. If you require reports please contact the USI Office by email at usi@industry.gov.au

The key points to remember when using **View Reports** are:

♦ You can only view the reports that are available to your log in.

♦ You can view the reports on screen or download them to your computer.

♦ If you require additional reports to assist you to manage your USI business, you will need to contact the USI Office at www.usi.gov.au.

♦ Check the website for the announcement about the latest reports that are available through the USI Registry system.

♦ Reports are not available through the USI Web services.
Appendix 1  Web services

This section is for vendors that provide Student Management Systems for training organisations and have decided to adapt their systems to consume web services. It is also intended for in-house developers who have decided on this option for their organisation.

1  Accessing the USI Registry System

All training organisations can access the USI Registry system using Web Services that enable system to system functions between Student Management Systems (SMS) and the USI Registry. A Web Services connection with the USI Registry enables you to integrate USI functions with your broader enrolment and student management systems. This is the easiest way to manage USI functions especially for RTOs with a large number of students. To establish Web Service functionality you will need to work with the supplier or internal developer of your SMS to integrate the USI with your system.

Access to Web Services will allow the following functionality:

- Create a USI record for an individual and receive an immediate response;
- Submit bulk USI creation requests for processing;
- Retrieve the results of a previously submitted bulk create request;
- Verify a USI for an individual and receive an immediate response; and
- Verify bulk USIs.

2  What do I need to do before I can access USI web services?

Before you can access the USI Registry System using Web Services you will need to:

- be registered with the Vocational Education and Training Regulator and be included on the training.gov.au website. It is important to ensure your details are correct and up to date;
- have an Australian Business Number;
- have a Device AUSkey. In the first instance you must identify your AUSkey Administrator who can issue your Device AUSkey or nominate an Administrator within your organisation who will need to set up and activate your AUSkey with the Australian Business Register;
- have a tested SMS implemented in the workplace; and
- apply to the Student Identifiers Registrar for access to Web Services via the USI website.

For more information on how a training organisation can request access to the USI Registry, please visit www.usi.gov.au.
3 Make sure your system is ready

There are some things you need to do to ensure you are able to access the USI Registry system.

3.1 Technical Services Contract (TSC)

The TSC informs SMS vendors, and in house system developers on the interface between an RTO, VANguard as the federated trust broker, and the USI web services.

One of the aims of the TSC is to reduce the need for data transformations as two services interact with each other, which can be achieved if the service contracts use standardized data models (e.g. XML schemas if the services have been implemented as web services). This also helps in making services more interoperable.

Another important objective of the TSC is to use a standardized way of expressing service capabilities so that their purpose and ability can be easily understood. The technical service contract is composed of a Web Services Description Language (WSDL), an XML-based interface definition language that is used for describing the functionality offered by a web service. It provides a machine-readable description of how the service can be called, what parameters it expects, and what data structures it returns.

A copy of the latest TSC can be found on the website at [www.usi.gov.au](http://www.usi.gov.au). If you require additional information about the TSC the FAQs on the website may be helpful or please email the USI Office at [usi@industry.gov.au](mailto:usi@industry.gov.au).

3.2 Listed on Training.gov.au

To use the USI web services, training organisations must be listed and current on Training.gov.au (TGA).

When you are registered, your training organisation will be provided with an organisation code and the combination of this and your Australian Business Number (ABN) enables access to the USI system.

The Vocational Education and Training Regulators maintain the training organisations details that appear on Training.gov.au. If your details are not up to date or you require changes please contact your regulator.

If an ABN is associated with multiple training organisations it is the responsibility of the web service user to provide the appropriate organisation code for each service call.

3.3 Device AUSkey

To gain access to the USI system using web services your organisation will require a Device AUSkey.
The Device AUSkey identifies a business rather than a person. It is usually installed on a server within the organization and except for the custodian of the Device AUSkey, users do not have to obtain their own AUSkey.

You should also be aware the USI Web Services are secured using the VANguard Security Token Service (STS). The STS is a WS-Trust compliant service used to validate digital credentials and generate security tokens which can then be used to create secure web service channels.

Each call made to the USI web services must complete the following steps:

♦ Obtain a valid and current SAML security token for the organisation from the VANguard Security Token Service (STS). This token can be used for multiple web service calls within the same session, until it expires.

♦ Call the required USI web service attaching the SAML security token.

3.4 Access to the Testing Environment

Once your student management system has been modified and you are confident that your organisation is ready to test the system to system connectivity, please contact the USI Office at usi@industry.gov.au and you will be sent an ADK Request Form to complete.

This process is known as third party testing and is intended to allow software developers to integrate and test their software with a non-live implementation of the USI web services that is guaranteed to behave the same as the live system.

This environment is configured to use only test AUSkey certificates, org codes and mock version of the document verification service. Any USIs generated by the test environment are not valid in the live environment.

Developers wishing to access the third party testing environment must complete the enrolment process available from the USI Website. Once completed, participants will be issued with appropriate certificates, orgcodes and connection instructions.

3.5 Apply for access to the USI Registry system

To gain access to the USI Registry system you are required to complete the USI Access Form.

This form is available on the USI website www.usi.gov.au. It is an online form and once submitted the USI Registry system will be updated with your records. You may need to wait overnight for access until the system is refreshed.

The fields on the USI Access form that must be completed are:

♦ Trading Name – this may also be referred to as your Business Name.
Preferred Display Name - Sometimes the trading name is not the common name by which your organisation is known. This name will appear when the student is giving your organisation permission to view their records.

USI Contact Email – The USI Office will send training organisations notifications about system issues, when reports are being posted and general and individual advice. We are hoping that by having a specific email for USI matters that messages will be directed promptly and to the correct contact.

ABN – your Australian Business Number ensures that we have entered the correct details against you information.

OrgCode – this is a number allocated by Training.gov.au. You may also know it as the “Trading Provider Number”, “Provider Number”, Training Number” or “TGA number”.

How will you connect to the USI system? – If you have developed your student management system to link directly to the USI Registry system through web services, please select both

- Please note that you will need access to the USI Registry system to access reports.

Terms and Conditions - When you select Web services, additional information will be displayed. This is the Terms and Conditions and you need to read and agree to them before you will be granted access.

Please select the Terms and Conditions link and see what your responsibilities are as well as what the USI Office is required to do, particularly in relation to access to the USI Registry system and also the protection of personal information.

It is also important that we are aware of the person that is authorised to agree to and accept the Terms and Conditions on behalf of your organisation.

Is your organisation registered on Training.gov.au? – The USI Registry system has been set up to use the Training.gov.au information to confirm that training
organisations that want access to the USI Registry system are genuine and registered. It is important that your information on training.gov.au is up to date. If your details are not current or you require changes please contact your regulator.

Does your organisation have an AUSkey Administrator? - If you do not have an Auskey Administrator, please contact the Australian Business Register. You cannot gain access to the USI Registry system unless you have an AUSkey. The Australian Business Register website address is www.abr.gov.au.

When you have completed the form, please select the Submit button at the bottom of the page. You will be sent a confirmation message when you have been granted access to the system. Your access should be granted within a 24 hours. An example of the Access Form is at 3.3 of this guide.

4 Creating an account on behalf of a student

Training organisations can create USI accounts on behalf of students but only if the student gives them permission to do so.

4.1 Ensure you have the student’s permission

The USI legislation requires training organisations to have their students’ authorisation before applying for a USI on their behalf. However, the legislation does not prescribe how such authorisation should be captured. Training organisations can do so in a manner consistent with their business processes.

4.2 Confirm the student’s identity

Specific information from an accepted form of ID must be provided by the student to the training organisation in order for a USI account to be created on behalf of the student. This is a way of confirming that the person is who they say they are and maintaining the uniqueness of records in the USI Registry system.

4.2.1 Form of ID used by USI system

The details entered into the USI Registry system must be the same as shown on the form of ID. Abbreviations or nicknames or preferred names cannot be used unless they match the name shown on the form of ID.

The USI Registry system has been designed to link into the Department of the Attorney General’s Document Verification Service (DVS) and this is where the form of ID is validated. The DVS provides the ability for the USI Registry system to check the information on identity credentials against the records of the issuing agency (eg Births Deaths and Marriages, Motor Registries in each state etc).
These checks are conducted in real time to inform decisions that rely upon the confirmation of a person’s identity and assists in preventing the enrolment or registration of clients who may be using fraudulent identities.

The following documents are acceptable forms of ID in the USI Registry system and can be verified through the Document Verification Service:

- Driver’s Licence – issued in Australia
- Medicare card – current and issued in Australia
- Passport – Australian passport
- Birth Certificate – issued in Australia
- Certificate of Registration by Descent
- Citizenship Certificate
- Visa – the international passport number is required to link to the visa
- Immi Card – issued in Australia.

4.2.2 No Form of ID accepted by the DVS

If a student does not have a form of ID that can be used by the USI Registry system, the training organisation may sight another document. To use an alternative document, the training organisation will need to apply for DVS override. This functionality is offered ONLY to organisations that have a reasonable business case in which to do this. For example students that definitely do not have a form of ID acceptable by the DVS and are not in a position to obtain one, as opposed to those who have not brought it with them on the day of enrolment. DVS override can be revoked at any time by the USI Office and it will also be monitored closely to ensure there is no misuse of the function.

The other acceptable forms of ID that can be used if a training organisation has been granted DVS override include:

- Centrelink document (CRN)
- Member of an Indigenous Corporation
- Proof of Age Card (Over 18 Card)
- Working with Children card
- Seniors Identity Document

5 Ready to use USI Web services

5.1 Authentication and access

The USI Web Services are secured using the VANguard Security Token Service (STS). The STS is a WS-Trust compliant service used to validate digital credentials and generate security tokens which can then be used to create secure web service channels. A typical interaction is as follows:
1. The training organisation creates a request for security token message which is signed using their digital credential. This message is sent to the VANguard STS.
2. The STS validates the signature over the message and the digital credential used to sign it and returns a SAML security token.
3. This token is used to secure one or more messages sent to the USI Web Services.

**Interaction overview**

5.2 **Authorisation**

When the authentication has been completed by VANguard, there are a series of authorisation steps to ensure the consumer has web service access to the USI Registry Web Services. In particular the OrgCode specified in the request is checked for:

- registration in the USI Registry system
- an ABN that matches the certificate generated from the AUSkey
- authorisation to use USI web services by the Student Identifiers Registrar
- the correct Organisation Type to use the called method (eg RTOs/VABs can Create USIs; RTOs/VABs/VRBs/TAs can Verify USIs).

6 **Web service functions**

Access to Web Services will allow the following functionality:

- Create a USI record for an individual and receive an immediate response;
- Submit bulk USI creation requests for processing;
USI Registry System - User Guide for Training Organisations

- Retrieve the results of a previously submitted bulk create request;
- Verify a USI for an individual and receive an immediate response; and
- Verify bulk USIs.

### 6.1 Create a USI record

Each request to Create a USI and Bulk Create USI will need to include the following:

- Request ID and Org Code
- First name and family name or single name (where applicable)
- Date of Birth
- Country/City of birth
- Gender
- Country of study
- Preferred Contact Method (either email, SMS or postal address)
- Details from one form of ID e.g.
  - Driver’s Licence
  - Medicare Card
  - Australian Passport
  - Visa (with Non-Australian Passport) for international students
  - Birth Certificate (Australian)
  - Certificate Of Registration By Descent
  - Citizenship Certificate
  - Immi Card
- Receipt number (which is used to retrieve the batch results).

The DVS document details required vary slightly between documents. These details are included in the specification available on [www.usi.gov.au](http://www.usi.gov.au).

**Please note:** The student’s details you enter when you create their USI must match exactly with the corresponding details displayed on the student’s chosen form of ID.

### 6.2 Retrieving the results

The Receipt Number will be required to retrieve the bulk upload Create USI results.

Each Create USI request from the batch will produce a result. If the batch is not complete, the response will be **Batch Not Completed**.

If the DVS is not available for a particular form of ID, the USI Registry system will continue to poll DVS until that service becomes available. This could delay the results for the batch.
If DVS override is used to create USIs the USI Registry system will check this permission and reject any transactions that specify DVS override where it has not been permitted by the USI Office.

6.3 Verifying a USI

Each request to Verify a USI and Bulk Verify USI will need to include the following:

♦ the USI
♦ first name and family name or single name (where applicable)
♦ date of birth.

Please note: This part is very important as the student may have made a mistake when they gave the USI to you or simply has the wrong USI number. Also make sure the student is giving you the exact information they used when they created their USI.

To verify the information either:

Enter this information into the USI website

or

Enter this information into your USI integrated software

Note: both methods of verifying indicated above can achieve the same result.

The verification result will include:

♦ The USI status. The message can be **Valid, Invalid, Suspended or Deactivated**.
♦ For each of First Name, Family Name (or Single Name) and Date of Birth. The message will be **Match or No Match**.
## Appendix 2  Troubleshooting

<table>
<thead>
<tr>
<th>FUNCTION</th>
<th>ISSUE</th>
<th>SOLUTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Log in</td>
<td><strong>AUSkey not installed</strong>&lt;br&gt;This occurs when the organisation is not listed on TGA; has not been registered with the USI Office; or has not installed their AUSkey</td>
<td>Ensure the training organisation has applied for an AUSkey from the Australian Business Register and the AUSkey has been issued to you by the AUSkey administrator within your organisation.</td>
</tr>
<tr>
<td>Log in</td>
<td><strong>Authentication failed</strong>&lt;br&gt;This error occurs if you try to log on to the USI Registry system and you have not registered with the USI Office.</td>
<td>If you are an RTO you need to ensure that you are registered with the Regulator and appear on Training.gov.au. You will then need to go to the website at <a href="http://www.usi.gov.au">www.usi.gov.au</a> and complete the Access form. If you are a VAB or a VRB you will need to go to the website at <a href="http://www.usi.gov.au">www.usi.gov.au</a> and complete the Access form for VABs and VRBs.</td>
</tr>
<tr>
<td>Create USI</td>
<td><strong>DVS failure</strong>&lt;br&gt;This occurs when the student’s personal details submitted to the DVS service do not match the details on the form of ID.</td>
<td>Check the student’s details exactly match the details on the form of ID and try again. You can also ask the student to provide you with another form of ID and try again.</td>
</tr>
<tr>
<td>Create USI</td>
<td><strong>DVS unavailable</strong>&lt;br&gt;This occurs when one of the DVS agency systems are not available to process the form of ID check.</td>
<td>Check the status of the DVS service on the USI Office website. You can also ask the student for another form of ID and try it.</td>
</tr>
<tr>
<td>Create USI</td>
<td><strong>Not a unique email.</strong>&lt;br&gt;An error will occur while creating the USI account if the email address the student provided has been used by another USI account. Email addresses must be individual in the USI Registry system.</td>
<td>Contact the student and ask them to nominate another email address or another form of preferred contact.</td>
</tr>
<tr>
<td>FUNCTION</td>
<td>ISSUE</td>
<td>SOLUTION</td>
</tr>
<tr>
<td>--------------</td>
<td>----------------------------</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Create USI</td>
<td><strong>Data matching</strong></td>
<td>Check with the student to see if they already have a USI. The student can use the forgotten USI function on the USI Student Registry system to find their USI. If the student definitely does not have a USI, contact the USI Office to investigate.</td>
</tr>
<tr>
<td></td>
<td><strong>There are one or more USI records that match the personal details</strong></td>
<td></td>
</tr>
<tr>
<td>Find USI</td>
<td><strong>No record found</strong></td>
<td>You may wish to contact the student and ask them to set Permissions for you to access their record</td>
</tr>
<tr>
<td></td>
<td><strong>This message occurs when the student has not given you permission to view and / or update or view their transcripts.</strong></td>
<td></td>
</tr>
<tr>
<td>System</td>
<td><strong>Timed Out</strong></td>
<td>If there is no keyboard activity for 20 minutes then you will be timed out and will need to log in again.</td>
</tr>
<tr>
<td>Verify USI</td>
<td><strong>Verification is unsuccessful</strong></td>
<td>An incorrectly entered USI will always be a <strong>No Match</strong> on all fields. Check the USI with the student</td>
</tr>
<tr>
<td></td>
<td><strong>USI - No match</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>First name – No Match</strong></td>
<td>If all other fields match, check with the student that they have provided the name that appears on the form of ID they used to create the USI account.</td>
</tr>
<tr>
<td></td>
<td><strong>Surname – No match</strong></td>
<td>If all other fields match, check with the student that the name they provided is the name that appears on the form of ID they used to create the USI account. If they have changed their name they will need to log in to their account and change the surname using a form of ID that reflects the new name.</td>
</tr>
<tr>
<td></td>
<td><strong>Date of Birth – No match</strong></td>
<td>If all other fields match, check with the student that the date of birth is accurate.</td>
</tr>
<tr>
<td>Verify USI</td>
<td><strong>Deactivated USI</strong></td>
<td>Refer to the Deactivated USIs X Reason X Source Of Application Report in the USI</td>
</tr>
<tr>
<td></td>
<td><strong>This message will appear if the</strong></td>
<td></td>
</tr>
</tbody>
</table>
### USI Registry System - User Guide for Training Organisations

<table>
<thead>
<tr>
<th>FUNCTION</th>
<th>ISSUE</th>
<th>SOLUTION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>USI Office has identified duplicate or compromised records. One or more records may be unusable and the student and or Training Organisation will have been advised</td>
<td>Registry system. This will list the reason for its deactivation.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Check with the student and confirm that they have been notified of the USI they should be using.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Contact the USI Office at <a href="mailto:usi@industry.gov.au">usi@industry.gov.au</a> if there is an issue.</td>
</tr>
<tr>
<td>Verify USI</td>
<td><strong>Suspended USI</strong></td>
<td>If a record is suspended, you will need to contact the USI Office for further information at <a href="mailto:usi@industry.gov.au">usi@industry.gov.au</a></td>
</tr>
<tr>
<td>Find a USI</td>
<td>This message will appear if the USI Office is currently investigating a USI record. This may be because it has been reported as a potential duplicate or compromised record or some other issue has come to the attention of the Student Identifiers Registrar.</td>
<td></td>
</tr>
</tbody>
</table>
Appendix 3  
Self Service Authorisation (SSA) for Organisations

1  What is SSA?

SSA allows organisations to set up authorisation attributes (permissions) to limit which employees can access the USI Registry System using the employee’s Standard, or individual, AUSkeys.

SSA is not part of the USI Registry System. It is a service operated for whole of government and is known as the Australian Government Self-Service Authorisation Service. More information and access is available at https://thirdparty.authorisation.business.gov.au/ssa.

2  Why use SSA?

SSA has two key functions. It can:

1. Limit access to the USI Registry System to specific personnel, and permission within that access.
2. Devolve management of USI access from the AUSkey Administrator to a Business Administrator, one or more.

Access to the USI Registry System is managed by the whole of Government Authentication Service using AUSkeys.

This allows any employee within an organisation, defined by ABN, who has an AUSkey to access the USI Registry system.

2.1  Limit access to the USI Registry System to specific personnel

SSA gives an organisation the ability to regulate access and limit access to the USI Registry System to specific personnel within the organisation.

SSA allows a particular employee to perform specific actions in the USI Registry System eg applying for or updating a USI account on behalf of a student and/or using the DVS override function where approved by the Student Identifiers Registrar.

2.2  Devolve management of USI access to a Business Administrator

SSA also allows an organisation’s AUSkey Administrator to devolve responsibility for managing USI employee access, as outlined above, by creating a Business Administrator.

The AUSkey Administrator may assign this permission to a person, or persons, in their organisation who have standard AUSkeys. The Business Administrator can then manage SSA permissions for USI personnel on behalf of the AUSkey Administrator.
3 Attributes for the USI system

The list of attributes displayed in the SSA system for any organisation may include some that are not applicable in the USI Registry system as this is a whole of government service, not just for the USI Registry System.

A detailed description of SSA attributes for the USI Registry system are:

<table>
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<tr>
<th>Attribute</th>
<th>Comment / Description</th>
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</thead>
</table>
| SSA - Business Administrator | An organisation’s AUSkey Administrator will automatically have this attribute.  
                                 | The AUSkey Administrator may assign this attribute to a person, or persons, in their organisation who have a Standard AUSkey and who will be responsible for managing the attributes of specific USI personnel and their access to the USI Registry System.  
                                 | The role of the Business Administrator is to manage (add, update or delete) attributes for an organisation’s Standard AUSkey holders who need to connect to the USI Registry system. |
| USI - Represents VET organisations | This attribute allows an organisation’s Business Administrator, and by default their AUSkey Administrator, to control which Standard AUSkey holders are authorised to access the USI Registry system.  
                                 | This attribute must be set to ‘Yes’ for a Standard AUSkey holder to be able to connect to the USI Registry system.  
                                 | **This will be the most commonly used attribute.** |
| USI - Override DVS | This attribute provides for an organisation’s Business Administrator to control which holders of a Standard AUSkey (authorised to connect to the USI Registry system) can use “DVS Override” functionality.  
                                 | This attribute must be set to ‘Yes’ for a user to be able to bypass the DVS Identity check when creating a USI on behalf of a Student.  
                                 | Even though a Business Administrator can assign this attribute to an individual, the organisation must have applied for and be given permission by the Student Identifiers Registrar and authorised within the USI Registry system to be able to override the DVS identity check. |

Table 1: USI Attributes for SSA
4How to apply for SSA for the USI Registry System

To apply for the SSA service, the AUSkey or Business Administrator needs to:

♦ Step 1 - advise the Student Identifiers Registrar that they wish to use the SSA service for the USI Registry system.

To do this select the SSA option on the Access Smartform found on the www.usi.gov.au website and allow up to a week for processing after submission.

The USI Office will advise the organisation when SSA access has been processed.

♦ Step 2 - access the Australian Government’s Self-Service Authorisation Portal.


The following screen will be displayed:

An SSA user guide is available at


For the USI specific setup, please follow the guide below.

Select Log in

Select your organisation and enter your AUSkey password.

Select Continue
The following welcome page will appear. You can select:

- **Manage authorisation attributes** – this enables you to assign attributes to an employee.
- **View the Business Administration Guide** – for further information.
USI Registry System - User Guide for Training Organisations

By selecting *Manage authorisation attributes*, the following screen will appear where you can view all the employees within your organisation that have a standard AUSkey.

Select the employee or employees for which you want to assign or change an attribute to apply to the USI Registry System.

![Image of the Self Service Authorisation screen](image)

The following welcome page will appear.

![Image of the Attributes for Gino Form](image)

**Note 1**
Until set by the Administrator, the default value of ‘*Is Set?*’ column will be ‘*No*’.

**Note 2**
The list of attributes displayed above will include attributes for all government services using SSA. Choose USI attributes to manage permissions for the USI Registry System.
For each employee, the choice of attributes, as detailed at Paragraph 3, Table 1 in the USI Registry System are:

- **Override DVS**
  Minimal use – enables an employee to create a USI account on behalf of a student and use DVS override if the organisation has applied for and been granted this function.

- **Represents VET Organisations**
  This will be the most commonly used attribute. Enables an employee to create or amend a USI account on behalf of a student with the student’s permission, but does not have DVS Over-ride permission.

- **Business Administrator** – one or more may be appointed by the AUSkey Administrator to manage attributes (permissions) or specific USI personnel.

---

**Override DVS**

![Image of Override DVS tool](image_url)
Represents VET Organisations

Note 1
The ‘Attribute Value’ that must appear against your business users Authorisations is the organisation’s “Code”. (For a Registered Training Organisation the TGA Code is the only detail that should appear.)

Note 2
If an SSA - Business Administrator chooses to “Add” a new ‘Attribute Value’ to a user’s authorisation, only the TGA Code should be entered. No other detail should be entered.

If you require further help, the following user guide may be of some assistance:

Appendix 4  Suggested Privacy Notice

If your organisation applies for a USI on behalf of a student, you are required first to make available to that student a privacy notice that seeks their consent. The text that follows is intended to assist your organisation in meeting this requirement and obtaining an acknowledgement from the student that you have done so. You can include this in material you provide to your students during enrolment or when you are creating their USI.

Privacy Notice

If you do not already have a Unique Student Identifier (USI) and you want [insert organisation name] to apply for a USI to the Student Identifiers Registrar (Registrar) on your behalf, [insert organisation name] will provide to the Registrar the following items of personal information about you:

- your name, including first or given name(s), middle name(s) and surname or family name as they appear in an identification document;
- your date of birth, as it appears, if shown, in the chosen document of identity;
- your city or town of birth;
- your country of birth;
- your gender; and
- your contact details.

When we apply for a USI on your behalf the Registrar will verify your identity. The Registrar will do so through the Document Verification Service (DVS) managed by the Attorney-General's Department which is built into the USI online application process if you have documents such as a Medicare card, birth certificate, driver licence, Australian passport, citizenship document, certificate of registration by descent, ImmiCard or Australian entry visa.

If you do not have a document suitable for the DVS and we are authorised to do so by the Registrar we may be able to verify your identity by other means. If you do not have any of the identity documents mentioned above, and we are not authorised by the Registrar to verify your identity by other means, we cannot apply for a USI on your behalf and you should contact the Student Identifiers Registrar.

In accordance with section 11 of the Student Identifiers Act 2014 Cth (SI Act), we will securely destroy personal information which we collect from you solely for the purpose of applying for a USI on your behalf as soon as practicable after the USI application has been made or the information is no longer needed for that purpose, unless we are required by or under any law to retain it.

The personal information about you that we provide to the Registrar, including your identity information, is protected by the Privacy Act 1988 Cth (Privacy Act). The collection, use and disclosure of your USI are protected by the SI Act.
If you ask [insert organisation name] to make an application for a student identifier on your behalf, [insert organisation name] will have to declare that [insert organisation name] has complied with certain terms and conditions to be able to access the online student identifier portal and submit this application, including a declaration that [insert organisation name] has given you the following privacy notice:

You are advised and agree that you understand and consent that the personal information you provide to us in connection with your application for a USI:

♦ is collected by the Registrar for the purposes of:
  o applying for, verifying and giving a USI;
  o resolving problems with a USI; and
  o creating authenticated vocational education and training (VET) transcripts;

♦ may be disclosed to:
  o Commonwealth and State/Territory government departments and agencies and statutory bodies performing functions relating to VET for:
    ▪ the purposes of administering and auditing Vocational Education and Training (VET), VET providers and VET programs;
    ▪ education related policy and research purposes; and
    ▪ to assist in determining eligibility for training subsidies;
  o VET Regulators to enable them to perform their VET regulatory functions;
  o VET Admission Bodies for the purposes of administering VET and VET programs;
  o current and former Registered Training Organisations to enable them to deliver VET courses to the individual, meet their reporting obligations under the VET standards and government contracts and assist in determining eligibility for training subsidies;
  o schools for the purposes of delivering VET courses to the individual and reporting on these courses;
  o the National Centre for Vocational Education Research for the purpose of creating authenticated VET transcripts, resolving problems with USIs and for the collection, preparation and auditing of national VET statistics;
  o researchers for education and training related research purposes;
  o any other person or agency that may be authorised or required by law to access the information;
  o any entity contractually engaged by the Student Identifiers Registrar to assist in the performance of his or her functions in the administration of the USI system; and

♦ will not otherwise be disclosed without your consent unless authorised or required by or under law.
Privacy policies and complaints

You can find further information on how the Registrar collects, uses and discloses the personal information about you in the Registrar’s Privacy Policy or by contacting the Registrar on (email/telephone). The Registrar’s Privacy Policy contains information about how you may access and seek correction of the personal information held about you and how you may make a complaint about a breach of privacy by the Registrar in connection with the USI and how such complaints will be dealt with.

You may also make a complaint to the Information Commissioner about an interference with privacy pursuant to the Privacy Act, which includes the following:

♦ misuse or interference of or unauthorised collection, use, access, modification or disclosure of USIs; and
♦ a failure by Us to destroy personal information collected by you only for the purpose of applying for a USI on your behalf.

[Where you are an organisation issuing this notice to a student, and you have a privacy policy, please also include the following]

For information about how [insert name of organisation] collects, uses and discloses your personal information generally, including how you can make a complaint about a breach of privacy, please refer to [insert name of organisation]’s privacy policy which can be found at [insert link to your organisations privacy policy and detail what information your privacy policy covers].

(Signature of acceptance by student) …………………………………………………………………………..

Name of student …………………………………………………………………………………………………………..

Notes for RTO’s:

1. You may be an Australian Privacy Principle (APP) entity bound by the Privacy Act or an entity bound by State or Territory Privacy legislation. Please consider whether your organisation is bound by any privacy legislation and if so, what your organisations obligations under such legislation would be.

2. Please note, in addition to the above, if your organisation contravenes sections 11, 16 or 17 of the SI Act, then pursuant to sections 23 of the SI Act, your organisation will be considered to be an APP entity bound by the Privacy Act and the contravention may be subject to investigation by the Information Commissioner.

3. Where your organisation is bound by Commonwealth or State or Territory Privacy legislation, your organisation may need to provide students, either in connection with applying for the USI on their behalf or more generally as part of the enrolment information, advice about how the student’s information is stored and protected, such as for example secure server at the RTO, third-party server in the cloud, or if hard-copy, in a locked file/cupboard.