

Guide for Registered Training Organisations.

Government Funded VET Activity - Tasmania.

Detailed Reporting and Funding Allocation Guide

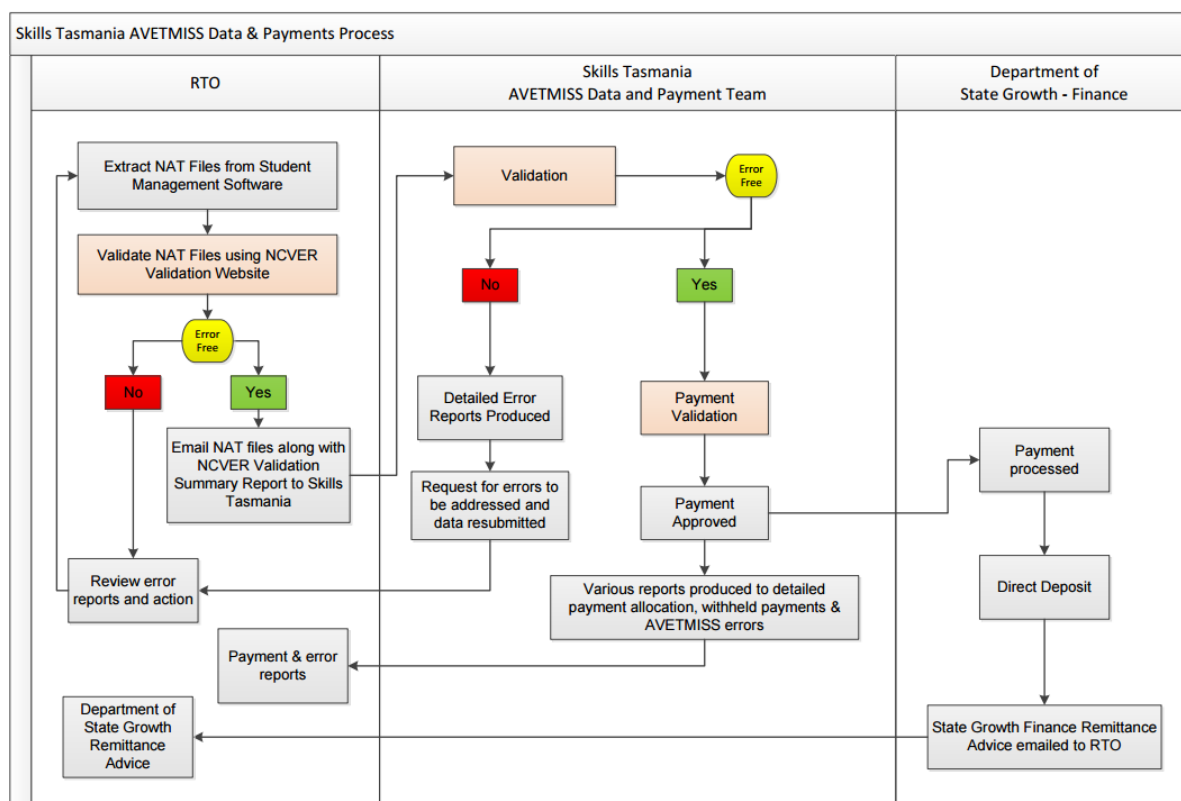
Table of Contents

Skills Tasmania VET Data and Payments Process.....	4
VET Data submission - Processing Steps.....	4
NCVER AVETMISS Validation Software (AVS)	5
Guide to reporting funded VET activity in Tasmania	5
AVETMISS.....	5
Tasmania Specific.....	5
Reporting funded training activity to Skills Tasmania.....	5
Data Entry	6
VET Activity Data – <u>Non</u> Skills Tasmania reporting requirements	6
Reporting Timeframe - Quarterly Reporting – Compulsory	6
Quarterly Reporting dates	6
End of year Data reporting.....	7
Skills Tasmania data reports	7
TrainingNet Error Report	7
NAT Check Report	8
NatCheck - Common Errors	8
Missing Continuing Clients Report.....	9
Missing Trainees Report	9
Unique Student Identifier (USI)	10
Data validation to payment processing	10
Funding Allocation for VET Activity.....	10
Payments Validation	10
Funding allocation process	10
Purchasing / Funding Validation and Reports.....	11
Client Matching.....	11
Payment reports	11
Payment processing timelines in a New Year	11
Payment Summary Report.....	11
Payment Detail Report.....	11
Withheld Payments Report.....	12
Complete Qualification – Payments Pending Report	12
Variations	12
Variation - Exceed client capping.....	12
Variation - Exceed schedule capping	12
Variation - Exceed schedule places.....	12
Variation - Complete qualification	12

Variation - Withholding Final Payment.....	12
Payment Calculation	13
Payment Processing finalised	13
Minimum payment	13
Negative balance.....	13
Miscellaneous	13
Unused places against Purchasing Agreements	13
Reporting a Withdrawn (40) Outcome	13
Reporting a not competent (30) Outcome	13
“Qualification” and “Unit of Competency/module”	14
Auditing.....	14

Skills Tasmania VET Data and Payments Process

This flowchart illustrates the process for VET Data submission and funding allocation:



VET Data submission - Processing Steps

1. RTO extracts NAT files from Student Management System (SMS).
2. RTO uploads NAT files to National Centre for Vocational Education Research (NCVER) AVETMISS Validation Software (AVS) and correct any resulting errors.
3. Once error free, RTO emails set of 10 error free Nat files and NCVER Collection processing summary report (in PDF) to avetmiss@skills.tas.gov.au with email unit **RTO ID, RTO Name**.
4. Skills Tasmania processes files according to receipt order.
5. Skills Tasmania validates data against various information and produces a range of reports.
6. If resulting errors need correction prior to processing payment, reports will be returned to the RTO for correction.
7. RTO must attend to all errors by correcting information in their SMS. Once done, follow steps 1, 2 and 3.
8. Skills Tasmania carries out steps 4, 5 again.
9. Assuming errors have been corrected, data will be processed for funding allocation.
10. Data will be validated against Purchasing Contract specifications and Business Rules.
11. Payment will be forwarded for approval (assuming no significant errors are present).
12. Once approved, payment will be generated by Department of State Growth and a simple remittance advice will be forwarded to RTO.
13. Skills Tasmania will forward detailed reports outlining summary and breakdown of data reported, payment applied and payments withheld.
14. RTO should review all reports and address any errors highlighted in the email prior to the next submission.

NCVER AVETMISS Validation Software (AVS)

All VET data submissions to Skills Tasmania must be accompanied by an error free NCVER AVS validation summary reporting in PDF file type. While Skills Tasmania can't process data with AVS errors, warnings will be accepted throughout the year.



NCVER AVS

<https://avs.ncver.edu.au/avs/>

Guide to reporting funded VET activity in Tasmania

AVETMISS

Essential Resource: AVETMISS Data element definitions (available online) Make sure you have the current version of this documentation. In November 2016 a major update was published.

Data reported to Skills Tasmania must meet AVETMISS Standards, not only in structure but also by definition. RTOs are responsible for understanding the definitions of AVETMISS Data fields in relation to what is reported.

For example, to gain a better understanding of AVETMISS data, do a search online for 'AVETMISS Data element definitions' and download it. Find 'activity start date'. Under the Guidelines for use, you will find the definition for the 'activity start date' field. This definition clarifies what that start date means.

It is the RTOs responsibility to understand what is reported in data.

Tasmania Specific

Tasmania has specific reporting requirements for funded training activity. The specific field information below allows funding to be allocated correctly.

Reporting funded training activity to Skills Tasmania

- **State Funding Source**
Tasmania uses a range of State funding source codes specific to the type of funding being reported. These codes map to National funding codes and PCID types and are outlined in the downloadable guide available on the Skills Tasmania website:
http://www.skills.tas.gov.au/data/assets/pdf_file/0007/149371/State_Funding_Codes_24_May_2017.pdf
- **Purchasing Contract Identifier**
Referred to as the 'PCID', this is a reference number allocated to a Funding Agreement Schedule. Reporting the PCID is required to trigger funding allocation. The Purchasing contract has details of the individual funding specifications. These are essential for reporting purposes.
- **Trainee ID and Training Contract Registration Number (Apprentices and Trainees)**
These numbers identify a student's training contract registration number and the student's unique ID in TrainingNet. These numbers are required for some funding types (User Choice) to trigger funding allocation.
- **TrainingNet**
TrainingNet is an internet-based system provided by Skills Tasmania to allow the exchange of information between Skills Tasmania and Apprenticeship Network Providers (ANPs), Group Training Organisations (GTOs), registered training organisations (RTOs) and schools. Training Contract information can be viewed on-line or downloaded into a database or spreadsheet.



TrainingNet

<http://www.skills.tas.gov.au/providers/trainingnet>

Data Entry

All staff responsible for entering information into the SMS will need access to the Skills Tasmania Agreement for funding.

Information from the Agreement includes the PCID, qualification or skill set units, reporting dates and number of places. These details connect data and allows relevant funding allocation.

Staff should also have access to TrainingNet, which provides information relating to students who have a Training Contract.

Terms and conditions of the 'Skills Tasmania Agreement' are essential for staff to understand, along with the AVETMISS reporting standards.



2015-2017 Skills
Tasmania
Agreement

http://www.skills.tas.gov.au/_data/assets/pdf_file/0005/126491/2015-2017_Skills_Tasmania_Agreement_18_Dec_2015_Final.pdf



AVETMISS

All AVETMISS information and specifications can be found on the NCVER website. Select 'support > AVETMISS' <https://www.ncver.edu.au/>

VET Activity Data – Non Skills Tasmania reporting requirements

RTOs delivering training in Tasmania are also required to submit quarterly to the **Office of Tasmanian Assessment, Standards and Certification** (TASC).

TASC and Skills Tasmania are two different organisations which both require data on a quarterly basis.



TASC reporting requirements

<https://www.tasc.tas.gov.au/providers/rto-reporting/>

Reporting Timeframe - Quarterly Reporting – Compulsory

When data is reported to Skills Tasmania, funding will be allocated to any new training activity or results. It is recommended that RTOs report monthly in order to maximise funding allocation and also to keep a check on data errors. By submitting monthly, the amount of errors will be easier to manage than if submitted only for the compulsory quarterly reporting.

***NEW QUARTERLY REPORTING PROCESS (AUGUST 2017).**

Previously, quarterly reporting accepted data for ONLY the quarterly reporting period. For instance, in the July submission only data for January to June was accepted.

This processing rule no longer applies. For quarterly reporting periods, current data with activity beyond the quarterly period can be accepted. This means throughout the year current data can be submitted at all times. Quarterly reporting is essential, but there is no longer a requirement to extract just the reporting period data. When validating submissions in a quarterly period through AVS, use the extended period rather than the quarterly reporting date option. (i.e. for July – select January to September in AVS validation). End of year submissions remain unchanged.

The minimum reporting frequency is for quarterly reporting, the dates are below:

Quarterly Reporting dates

- 1st quarter due 15 April
- 2nd quarter due 15 July

- 3rd quarter due 15 October
- 4th quarter due 15 January

1 January ending 31 December (this quarterly report is the final data submission for previous year).

Skills Tasmania is responsible for submitting the data it receives to NCVER at quarterly intervals. This fulfils RTOs responsibilities in relation to reporting to NCVER.

End of year Data reporting

Submissions for end of year data reporting are due by 15 January. It is very important NOT to enter any New Year data in your SMS until after the final data Submission is accepted by Skills Tasmania.

Detailed reports will be provided based on the data submitted. Checking all error and payment reports generated from your data is vital, particularly for end of year reporting. Any funded activity that is incorrectly reported at the end of the year is likely to have negative financial implications. These are usually unable to be resolved once the final data is accepted. Please see the section on payment reports in this document for more information.

Once end of year data has been processed and is error free, the final payment will be applied. Along with payment reports, you will be sent a declaration form to sign and return to Skills Tasmania. This declaration confirms that you accept the submission to be your final for the year. Once signed and returned, no changes can be made to your data for that year.

* Failure to meet quarterly reporting requirements is a material breach of the Skills Tasmania Agreement and may lead to termination of the agreement or it could be taken into account in the review of your endorsed provider status.

For more information, please refer to Clause 1.3 of the 2015-2017 Skills Tasmanian Agreement Schedule 1.2.

Skills Tasmania data reports

Produced during processing step #5, page 4.

TrainingNet Error Report

Validation compares

RTO NAT File Data		TrainingNet data
Trainee ID and Training Contract Registration Number	↔	Trainee ID and Training Contract Registration Number
Student Details		Student Details

The details on TrainingNet are from the Training Contract database. The student name and date of birth reported in VET data must match details on the Training Contract. When an error is present on this report, payment will not be made against any units for the student.

With the introduction of the Unique Student Identifier (USI), there is a requirement that USI details are consistent with what is reported in the first instance.

How to correct this error:

1. Double check source of information such as driver licence
2. Review student information in your SMS and update if any errors are found
3. If your SMS and USI information are correct, TrainingNet will need to be updated. To do this, forward proof of ID (such as drivers licence) and explanation to your Apprenticeship Network Provider (ANP) or Skills Tasmania, Training Agreements email trainingagreements@skills.tas.gov.au
4. If the USI information is incorrect, information on how to update can be found here: <https://www.usi.gov.au/faqs/how-do-i-update-my-account-details>

NAT Check Report

Validation includes:

- State reporting requirements;
- TrainingNet information;
- PCID;
- Funding codes and qualifications;
- RTO information; and
- Start and end dates of training activity.

Errors listed on the NatCheck report must be corrected where instructed. If there are instances where an error can't be corrected, please provide an explanation when the files are resubmitted. Errors that cannot be corrected will continue to appear on error reports and may result in payments being withheld.

Warnings listed are for information only, however, they should be reviewed. If a warning does require action, it will be noted in the description area of the report.

NatCheck - Common Errors

Here are a few tips on avoiding the most common NatCheck errors.

Topic	How to avoid it
State and National Funding Source errors	Check the 'State Funding Source Codes' document on the Skills Tasmania Website. This lists which State and National Funding Source to use for different funding types. State Funding Source Codes
Unit dates	When reporting a unit with an outcome of '70-Continuing', the end date needs to be in the future. To avoid errors on the NatCheck report, put the end date at the end of the year. The end date will be updated when an outcome is reached.
Invalid Training Contract details	The training contract details are available through accessing TrainingNet. http://www.skills.tas.gov.au/providers/trainingnet
Skill sets	As skills sets are usually not part of a qualification, when reporting a skill set, there should be no qualification reported in the qualification field.

Missing Continuing Clients Report

This report is run at the beginning of a new reporting year and again towards the end. The missing continuing clients report relates to data between two reporting years.

1. All units with an end date in the **current or future reporting years** are extracted from the SMS.
2. When extracting NAT files from the SMS, they are extracted for the reporting year only. That means, any units with an end date in the previous year do not get exported.
3. If units are visible in the SMS, but are listed on the missing continuing report, it is because the unit end date has been changed in the SMS **after** the final data submission for the previous year and has been given an end date in the previous year (backdated).

Let's try that explanation a different way: In FINAL data reporting for the year, when units are reported as continuing in to the next year, it is expected that in the next reporting year, the unit will still be in data. For example:

Student Name	Qual	Unit	Start Date	End date	Outcome
Amanda Smith	ACM40412	ACMSPE312A	14/10/2015	20/03/2016	70

When NAT file data is extracted from the SMS, it is for one year (the current year). If, for any reason, in 2016 the end date of Amanda's unit is changed to 2015, the unit will no longer be reported.

For instance, in April 2016, an assessment for Amanda's unit was found to have been completed on 12 December 2015. This has to be updated in the SMS. (as below)

Student Name	Qual	Unit	Start Date	End date	Outcome
Amanda Smith	ACM40412	ACMSPE312A	14/10/2015	12/12/2015	20

This is a legitimate scenario but there are implications. Any funding that has been applied for this unit will be reversed. The record will show up on the Withheld Payment Report as having been removed from data and will also be listed on other payment reports. It will also show up on 'Completed qualification – payment pending' report if/when the qualification is reported as completed, as there will be one unit less than required. In this instance the 20% completion payment will not be allocated.

To avoid these scenarios from occurring, ensure that all records are up to date, all assessments, completions and withdrawn units are recorded appropriately in the final end of year reporting submission.

Missing Trainees Report

This report relates to students with a Training Contract. Records on this list indicate one of two things:

1. The student is yet to undertake training activity and therefore hasn't been reported (not an error – this is for your information)
2. The student is reported as having undertaken training activity, but the Trainee ID and Training Contract Registration Number isn't included against the student's records.
3. The student was reported in the previous year as completed, but the training contract wasn't registered as completed until the current year (this instance can be ignored).

If the Trainee ID and Training Contract registration number are unknown, you can look them up on TrainingNet.



Unique Student Identifier (USI)

Commencing 1 January 2017, funding will only be applied to students who are reported with a valid USI. RTOs must report a valid USI. Exemptions may be considered for extenuating circumstances.

When Skills Tasmania identifies a student has registered with the USI office more than once, giving them more than one USI, Skills Tasmania will notify the USI Office who advises Skills Tasmania which USI will remain active.

The RTO will be advised by the USI office or Skills Tasmania if the USI they were reporting is to be deactivated.

Data validation to payment processing

Once data has been validated error free in stage one of processing, it is forwarded to the payments section for funding validation. You will receive an email when this occurs.

Funding Allocation for VET Activity

Payments Validation

Data is validated against Purchasing Agreement specifications and Business Rules.

Staff involved in administering the RTOs SMS and/or data entry should have access to the following documentation. This is necessary so that the Agreement specifications are reported correctly:

- 2015-2017 Skills Tasmania Agreement
- Funding application and eligibility criteria
- Approved Funding Agreements from Skills Tasmania

The funding application, which is returned to the RTO, will contain the PCID to be used in data reporting and the start/end date of the funding agreement.

RTOs are reminded that the 1st reported training activity start date for the student must be within the funding agreement commencement and end dates.

Students should continue to be reported against the same PCID (i.e. trainee commences training in 2014; a 2014 PCID is used) unless there is a change of qualification and in the case of User Choice where the training contract is cancelled and training recommenced.

Funding allocation process

The 50% upfront payment applies at the unit level and is payable when commencement of training activity for a unit is reported. This policy applies for all types of Purchasing Contracts.

The 50% upfront policy for withdrawn outcomes has continued and may be reviewed at any time. Skills Tasmania will notify all RTOs of any changes that are forthcoming.

Funding is allocated to training activity that meets Purchasing Contract specifications. Data reported in NAT files will trigger funding allocation when all conditions are valid. The Purchasing Contract will contain information for each approved PCID. The PCID report will include important information required to allocate funds, such as;

- Qualification / Skill Sets
- Total funded places
- Total price per funded place
- PCID – essential for funding allocation via data reported
- *Purchasing Contract commencement date*: The commencement date is the date training delivery can commence on or after.
- *Training to commence by date*: This is the date when training MUST have commenced by.

Purchasing / Funding Validation and Reports

Client Matching

Client matching checks existing student details against newly submitted data and matches if details are similar. Minimum student details must include:

- First Name
- Middle Name
- Surname
- Date of Birth
- Gender
- USI
- Mobile phone number
- Street address
- Email address

Payment reports

All reports should be thoroughly reviewed when they are provided, particularly for the final submission of a year.

Payment processing timelines in a New Year

Skills Tasmania validates and then combines all RTO data at start of each year, to generate the final data submission for the previous year. Once all errors are corrected, the entire data set is forwarded to NCVET. Due to the volume of data processed at end of year reporting, payments for normal monthly data submissions will not resume until late February/early March. An email will be sent to all RTOs when regular processing begins again and files can be submitted.

Payment Summary Report

This report contains two separate worksheets:

- Sheet 1: shows payment per PCID and total payment,
- Sheet 2 and Sheet 3: are variable. If there is funding that hasn't been claimed against in the current year, this will be shown on sheet 2, with an extra sheet showing payment per student and total payment per PCID. This report is also useful to check which qualifications have been reported as completed. It details any variations that have been applied to the full qualification/skill set amount, how much has been paid to date and when the last payment date was made. This report used in conjunction with the payment detailed report will give a thorough picture of activity reported and funded.

If all funding for the current year is actively being claimed, Sheet 2 will show payments per student.

Payment Detail Report

This report details payment per unit and total payments for individual students, listed in PCID order. The report also includes information on withheld payments and variations. To the right of the report table, highlighted in yellow, is extra information relating to reporting. Any units listed with '*' beside it (MSS405004A*) indicates that the data was in a previous years submission. These entries cannot be changed. Sometimes the data in your SMS will not be the same as the data on payment report; this occurs when information is changed in your SMS **after** the confirmed end of year data submission.

Withheld Payments Report

This report details occurrences where funding has been withheld. Funding can be withheld for various reasons and will be detailed in the report. Entries on this report include units against all active PCIDs. This means that some entries on the report will have an end date in previous years. It is important to note that entries on the report for previous years are unable to be amended because your SMS no longer exports those units with end dates in previous years and the Skills Tasmania dataset is static and not editable for previous years' data.

RTOs are advised to review all entries and amend information, where possible, before the next submission.

Skills Tasmania reserves the right to request evidence supporting all reported outcomes.

Evidence should be retained for five years and must be provided when requested on the withheld payment report.

Complete Qualification – Payments Pending Report

This report is generated when a completion has been reported with insufficient units to satisfy the qualification requirement. A common reason for this is when credit transfers aren't reported, or are reported with dates in a previous year. Change credit transfer dates to the current year.

If you receive this report, please review the details. If no changes can be made, please provide information on your next submission so the entries can be removed from the report.

A qualification completion can be reported for the previous year.

Variations

Adjustment to payments will be made under certain circumstances and are referred to on reports as variations. There are many reasons why a variation may be applied.

Variation - Exceed client capping

Where the nominal hours reported for a student are greater than the funded nominal hours a negative variation will be made to reduce the calculated payment down to the total funded price, less any Credit Transfer units reported (adjusted client cap).

Payment is reduced to 80% of the cap until the student has been reported as having completed the qualification. Once completed the remaining 20% is applied.

Variation - Exceed schedule capping

When a student withdraws from training under a program other than User Choice, they may be replaced by another student within 3 months of the program commencing. This can result in the total funded amount for the program being exceeded. A negative variation will be made against student/s to reduce payment for the program down to the total amount funded (the schedule cap).

Variation - Exceed schedule places

Under User Choice funding, when more students are reported against a PCID than places available, the newest reported students will not be funded.

Variation - Complete qualification

Student reported as complete. Where calculated payment is less than funded amount, a variation will be made against the student to pay up to the adjusted cap.

This situation occurs where nominal hours for units undertaken are less than qualification nominal hours.

Variation - Withholding Final Payment

Where a student reaches the maximum hours nominated in the agreement, before completing the qualification, the price paid will not exceed 80% of the full subsidised price. The final 20% will be paid once the student completes the appropriate amount of units.

Payment Calculation

Data that has passed validation with payable outcomes will be processed for payment based on the nominal hourly rate.

- Total price/funded hours = hourly rate. E.g. Total price \$3,000.00 / 300 hours = \$10 per hour
- Unit hours x hourly rate = price paid for competency. E.g. Unit = 15 hours x \$10 per hour = \$150 paid for unit.

Payment Processing finalised

Once approved, payment details are forwarded to Department of State Growth Finance Branch for processing. Once processed, remittance advice will be forwarded, according to the method of contact on file.

New and current RTOs must ensure that any changes to bank details, contact person and method of contact are reported to the finance area of the Department of State Growth.

To update any of your RTO details please contact:

- email: financehelpdesk@stategrowth.tas.gov.au or
- phone: 03 6165 5653.

Skills Tasmania will send an e-mail with detailed payment reports to the person who submitted the data to Skills Tasmania. There will also be reports which may require action prior to the next month's submission. These items should be attended to without delay.

Minimum payment

If data generates a payment less than \$20, the amount will not be paid but will be allocated to the next data submission/payment.

Negative balance

If data generates a negative balance and no further training activity is taking place, Department of State Growth will invoice the RTO for repayment.

Miscellaneous

Unused places against Purchasing Agreements

If there are approved funding agreements that will not be used within the prescribed timeframe, it is suggested that the RTO contacts Skills Tasmania to advise them accordingly. If the Payment Summary Report has three sheets, unused funding agreements can be found on Sheet 2.

Reporting a Withdrawn (40) Outcome

50% payment applies to withdrawn units. Skills Tasmania reserves the right to withhold payment and request evidence of training activity for withdrawn units. Skills Tasmania also reserves the right to contact the student directly to discuss their learning experience.

For a unit to be reported as withdrawn, evidence of training activity having started must be available. If training activity didn't actually start, the unit should be 'withdrawn – not started'.

As defined by the AVETMISS standard, training activity involves some form of learning at the unit level. Enrolment and induction sessions do not constitute "training activity". For further information on acceptable audit evidence to verify participation, refer to the 'non-financial audit guidelines - NCVER', which can be found online.

Reporting a not competent (30) Outcome

The AVETMISS Standard definition for an outcome 30 – competency not achieved/ fail is:

"The client has attempted all of the requirements for the assessment and has been assessed as not competent, or as not satisfying one or more of the requirements for the Unit of Competency or module. For

example, this code would apply if a client attempted ten of ten required assessments and was assessed as not competent in one or more of the assessments. However, if a client had only attempted nine of the ten assessments, this code would not be used as the client must attempt all of the assessments in order to receive a 'Competency not achieved/fail' code."

This outcome is funded at 100%. Care must be taken when awarding this outcome, as it must meet AVETMISS Standards. This outcome can only be reported when the student has been assessed and the assessment outcome is that the student is not competent in the unit. It is a final result and not to be used if the student will be continuing to attempt to reach competency.

In August 2017, a new validation was introduced to highlight when a not-competent outcome is reported. In order to claim a not competent result, evidence of training and assessment must be submitted to Skills Tasmania. This information will be highlighted on the 'Withheld Payment Report'.

"Qualification" and "Unit of Competency/module"

As part of the changes that took place with AVETMISS 7.0 the term "qualification/course" was changed to "program" and the term "module/Unit of Competency" changed to "subject".

These changes came into effect with the introduction of registered Skill Sets. Skills Tasmania will continue to refer to 'units' and 'qualifications' and reports provided by Skills Tasmania will remain using terms '**unit**' and '**qualification**'.

Auditing

RTOs are reminded that they are obligated to provide correct and up-to-date data and that commencement for a unit must only be reported where training activity has taken place.

Delivering a resource to a student doesn't constitute 'training activity' and funding will not be applied to this scenario.

Any training reported is subject to audit by Skills Tasmania, NCVET and ASQA. Documentation with evidence of training activity must be available for any activity reported, this includes withdrawn outcomes.