

Data Submission, Sharing, Storage and Protection

Document History

| Version | Date | Reason for Revision |
|---------|----------------|--|
| 1.0 | December 2015 | First published |
| 2.0 | September 2016 | Updated to combine data protection with data sharing and storage |
| 3.0 | 30 July 2017 | Updated following Policy review group |

Introduction

The Energy and Utilities Independent Assessment Service (EUIAS) as part of its end-point assessment function needs to collect and retain certain information about its technical experts, assessors, apprentices and final decision panel members and external examiners to allow it to:

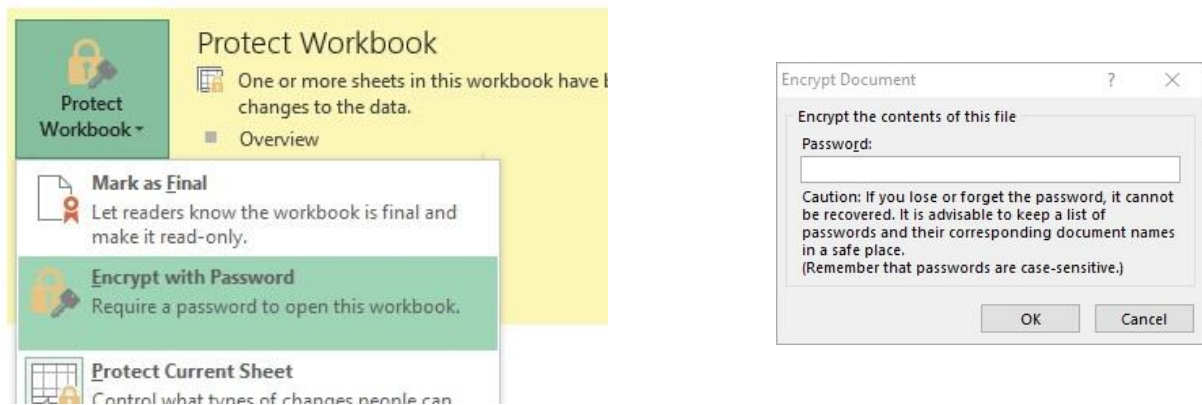
- Recruit, appoint and / or approve appropriate technical experts for end-point assessment activities
- Schedule and ensure reliable, rigorous and robust delivery of end-point assessment activities
- Effectively and efficiently organise final decision panels or external examiner visits
- Apply for apprentice certificates from the Education and Skills Funding Agency on behalf of the Institute for Apprenticeships
- Monitor performance, achievements, processes and compliance
- Ensure legal obligations to funding bodies and government are consistently complied with

This policy details how to register apprentices and experts with the EUIAS, how the information should be submitted, how it is stored and compliance with data protection.

Registration of Apprentices

In order to register your apprentices with the EUIAS we provide you with a spreadsheet to capture and submit key apprenticeship, apprentice, employer and training provider details. This must then be encrypted and password protected before being submitted back to the EUIAS.

To encrypt the spreadsheet, click 'File' then click 'Protect Workbook' then select 'Encrypt with Password'. A pop-up box will appear asking you to enter a password as shown in the following page. Please make a note of the password before clicking OK. The password should be different for each submission for security purposes.



The following is a list of what must be provided at the point of registration:

- Apprentice name
- Apprentice unique learner number (ULN)
- Apprentice date of birth
- Apprentice gender
- Apprentice ethnicity
- Apprentice contact details
- Apprenticeship name and pathway
- Apprentice start date
- Apprentice planned end date
- Employer name
- Employer reference number (ERN)
- Employer contact details
- Lead provider name (the organisation drawing down the public funding)
- Lead provider, provider reference number (UKPRN)
- Lead provider contact details
- Confirmation that the apprentice has agreed for their data to be shared (further detail in later sections of this document)

The encrypted spreadsheet must be sent to **kelly-ann.stubbs@euskills.co.uk** and should include contact details so that we can securely obtain the password. Please do not include the password in the email, or email the password to Energy & Utility Skills. For added security, a member of the EUIAS team will contact you to confirm the password.

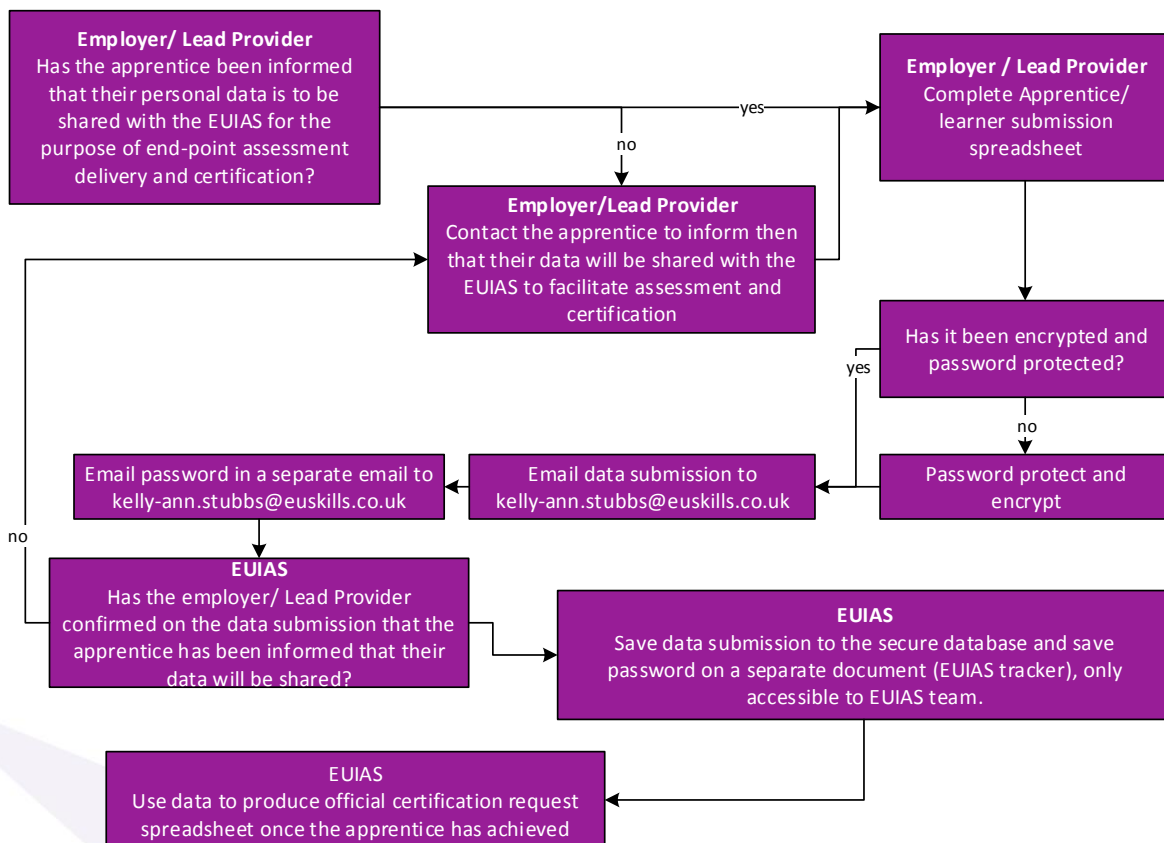
Data Sharing of Apprentice Data

It is important that an agreement to share information should be reached and defined in a data sharing agreement or signed statement with the apprentice. This is because some of their personal information will be used to register the apprentice with the end-point assessment organisation, EUIAS, and with the Education and Skills Funding Agency and Institute for Apprenticeships for certification. It is important for the employer to seek their own internal legal advice on the data sharing agreement. Many employers will already have a data sharing statement or agreement suitable for use, for example enrolment forms with training providers.

The following is an example of a data sharing statement:

- To meet legal responsibilities under the Apprenticeship, Skills, Children and Learning Act 2009, your details will be shared with the organisation funding and delivering your apprenticeship training, assessment and certification. For training it will be either the Education Skills Funding Agency (ESFA) or the Department for Education (DfE). For assessment it will be the approved apprentice end-point assessment organisation, Energy and Utility Skills Limited, and for certification it will be the Education Skills Funding Agency (ESFA), and the Institute for Apprenticeships (IfA). At no time will your personal information be passed to organisations for marketing or sales purposes.

Personal apprentice information is not used for any purpose other than registration and certification. Anonymised apprentice data will be used for the purposes of monitoring and quality assurance, for example, gender and age analysis.



Registration of Technical Experts and Assessors

Some apprenticeship Standards allow the employer to provide the technical experts and assessors for end-point assessment delivery. In these circumstances the EUIAS must approve / appoint these experts to deliver end-point assessment activities. In order to approve / appoint the assessors and experts, EUIAS requires copies of their experience, technical qualifications and assessor certificates. These can be sent across by the assessor / expert or from their employer, subject to permission from the assessor / expert. This information does not need to be password protected unless requested by the assessor / expert, but once received they are stored securely on the EUIAS database. No personal details other than assessor / expert name will be included on any technical expert approval documentation.

Data Storage and Protection

To meet the legal obligations of the DPA, the EUIAS has in place the following procedures to ensure the security of data for all apprentices engaged with the end-point assessment and award of apprenticeship certification:

- All members of EUIAS staff, employers of the apprentices, training providers, technical experts, assessors and apprentices have access to a copy of this policy
- All employers and training providers are required to inform apprentices of how their data will be processed for the purpose of assessment, award and certification, and the obligations that exist for data sharing. For some organisations this may be covered within their data protection and data sharing agreements used at enrolment and within the apprenticeship agreement. If it is not included within the enrolment form and / or apprentice agreement, the apprentice must be informed in writing by the employer / training provider.
- The learner data submission template for end-point assessment registration, which must be completed by the employer / training provider, includes a column to be completed to confirm that the apprentice has been informed. Evidence must be retained by the employer / training provider for audit.
- No data is used for the purposes of marketing, unless the apprentice provides written consent to confirm that this is acceptable.
- No personal data is disclosed, written or verbal, to anybody outside of the EUIAS unless written consent from the apprentice is provided to confirm that this is acceptable.
- All records received are electronically stored, with password protection in place to prevent unauthorised access from non-EUIAS members of staff.
- Only nominated members of the EUIAS have access to personal data and process this information in accordance with the requirements of the awarding function.
- The EUIAS may also ask for information about particular health needs of staff and apprentice, such as allergies to particular forms of medication, or any learning difficulties and / or disabilities conditions. The EUIAS will only use the information provided in the protection of the health and safety of the apprentice.

Keeping Data up to Date

All records are kept accurate and up to date as far as practicable; the EUIAS relies on the employer / training provider to communicate any changes to personal data as and when applicable.