

## APPRENTICESHIP CONSENT FORM PROCESS

V1 Effective from 1<sup>st</sup> April 2015

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## Introduction

From the 1st April 2015, The Federation will be implementing a revised and simpler process, within ACE, designed to meet the ASCL Act requirements that every Apprentice signs a declaration form at the end of their Apprenticeship and, where necessary, authorises a named third party to claim their Apprenticeship Completion Certificate on their behalf.

This new process within ACE is accompanied by the launch of a new Apprentice Consent Form which will replace the existing V3 Apprentice Declaration & Authorisation form. Although the new Apprentice Consent Form **will still need to be signed by every Apprentice on completing their Apprenticeship**, a copy of it will only have to be uploaded to ACE when requested. We have built into ACE a sophisticated sampling process which will randomly request copies of completed Apprentice Consent Forms, based on a percentage figure that will initially be set in accordance with your historic submission rates. ACE then has the ability, over time, to either increase or decrease the percentage level of random form upload requests that are made, based on your previous performance of correctly uploading Apprentice Consent Forms, when requested.

The key driver behind this change is to simplify the process for both ACE claimants and Certification Bodies and to minimise the level of claim rejections that currently arise as a result of queries/issues with submitted V3 Apprentice Declaration & Authorisation Forms.

This guide has been designed to explain the changes to the certification process within ACE and how the new Apprentice Consent Form fits into this change of process.

If you have any questions please do not hesitate to contact the ACE Support Team via the online Helpdesk.

**Apprentice completes their Apprenticeship and signs Apprentice Consent Form. Apprentice's ACE record is completed and all required evidence is uploaded to the Certification Evidence Tab. The FINAL requirement is for the claimant to complete the Apprentice Consent Form declaration at the bottom of the Certification Evidence Tab. Upon selecting the Apprentice Consent Form tick box a pop up will appear:**

**APPRENTICE DECLARATION & AUTHORISATION CONFIRMATION**

By completing this form, I am confirming that <APPRENTICE FIRST NAME SURNAME> has completed and signed the required Apprentice Consent Form and has authorised <CENTRE NAME> to apply for their Apprenticeship Completion Certificate on their behalf. A copy of the signed consent form has been retained by <CENTRE NAME> as part of the Apprentice's record. I have read, understood and adhered to the [Terms and Conditions of Use of ACE](#).

**CANCEL**

Closes the pop-up and the claimant will have to start the process again. Please note that the tick will be removed from the Apprentice Consent Form field on the ACE Certification tab.

**AGREE**

Records the ACE Username of person logged in and also date and time stamps the "Tick to Agree" action. Then one of 2 things happens: - 1 or 2.

**1. Continue to claim**

At this point you will be returned to the Certification Evidence tab

**2. Pop-up opens to enable upload of signed Apprentice Consent Form:**

Please upload a copy of the signed Apprentice Consent Form.

**BROWSE & UPLOAD**

Browse facility opens, select the appropriate file and upload – file is saved in the ACE Consent Form part of ACE Certification Tab.

**CANCEL AND UPLOAD LATER**

Retains the "Tick to Agree" details and flags the ACE record to indicate that a signed Apprentice Consent Form is still required to be uploaded. Key data in the ACE record is then locked to prevent further editing / deleting/ processing of the record. The status cannot be changed until the requested Consent form is uploaded.

Consent Form ready to be uploaded - claimant goes to the ACE Certification Tab & uploads required Consent Form. Form is saved in the Apprentice Consent Form section. The ability to change status is now enabled.

**Continue with Apprenticeship Certification claim**

You can now continue the process of submitting a claim for the Apprenticeship Completion Certificate.

## New Apprentice Consent Form Process – An Overview

It is essential that you ensure that the Apprentice record on ACE has been **fully completed PRIOR** to the Apprentice Consent Form box, at the bottom of the ACE Certification Evidence Tab, being ticked. Ticking this box will then start the new process. This is described in more detail in the following pages.

Please note that once you confirm the new pop-up declaration that you have the Apprentice's signed Consent Form and their authority to claim their Apprenticeship Completion Certificate, on their behalf, then key parts of the Apprentice's ACE record will then be **locked** and you will no longer be able to edit them (these are the **Apprentice first name, middle name and surname**).

In ACE, on the Basic Information tab there is a new date field for you to complete which is the **Last date in learning**. This is a **mandatory** field. This date has been recorded in ACE previously but was completed by Certification Bodies, taken from information recorded on the V3 Apprentice Declaration & Authorisation Form. Going forward, not all Consent Forms will be required to be uploaded to ACE so, in some cases, Certification Bodies will not have access to the Last date in learning information. This is why it is now a requirement for the ACE claimant to complete this date field on ACE.

The **Last Date in Learning** is the date on which the Apprentice is informed that all training activities, assessments and exams, relating to their Apprenticeship, have been successfully completed. The Submission Date on ACE remains an auto-populated field and ACE will complete this date field when you submit an ACE claim.

The screenshot displays two sections of the ACE form. The 'Start & Last Date' section on the left contains two rows of date pickers. The first row is for the start date, showing '01', 'November', and '2011'. The second row is for the 'Last date in learning', showing '08', 'March', and '2015'; this row is highlighted with a red border. Below these is a checkbox labeled 'Prior learning recorded ?'. The 'Submission Date' section on the right shows a single row with the date '14', 'March', and '2015'.

Start & Last Date			
* Start	01	November	2011
* Last date in learning	08	March	2015
<input type="checkbox"/> Prior learning recorded ?			

Submission Date			
Submission date	14	March	2015

## Apprentice Declaration & Authorisation Confirmation

After an Apprentice's ACE record is **fully** completed (i.e. all data fields completed and achievement evidence uploaded) you then need to select the Apprentice Consent Form tick box at the bottom of the ACE Certification Evidence Tab.

A pop up will appear when you tick the box. This pop up is a declaration confirming that the Apprentice has completed and signed an Apprentice Consent Form and given you authority to apply for their Apprenticeship Completion Certificate, on their behalf. You also have to confirm that a copy of the signed Consent Form has been retained by you as part of the Apprentice's record.

By accepting this agreement ACE will automatically record your ACE username and date and time stamp the Apprentice record with these details. Once you have agreed to the declaration, the **first name, middle name and surname** fields within the ACE record will be **locked** for any further editing (including if the record is subsequently rejected). **The only way to make any changes to the Apprentice name fields is to contact the ACE Support Team.**

If, for any reason, at the point of making this declaration you do not have a signed Apprentice Consent Form from the Apprentice then you can click **Cancel** which will return you to the ACE record and clears the Consent Form tick box on the Certification tab and no data fields on the record will be locked.

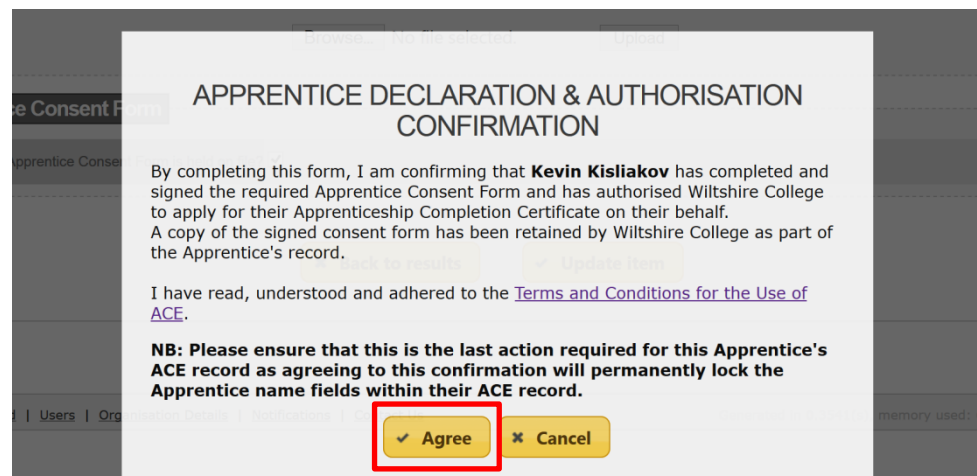
However, please note that if you cancel the declaration pop-up then you will be unable to submit the ACE record for certification processing until you have agreed to the statements in the Apprentice Declaration & Authorisation Confirmation pop-up and, if requested, uploaded a copy of the signed Apprentice Consent Form.

When you have ticked to **Agree** the details in the Apprentice Declaration & Authorisation Confirmation pop-up, the **name fields in the ACE record will be locked** and no further editing will be possible in these fields without contacting the ACE Support Team.

Upon making the agreement one of two things will happen:-

### 1. Agree to the declaration – no request for the Consent Form to be loaded

If you agree to the Declaration and you are returned to the Certification Evidence tab you will **not**, on this occasion, be required to upload the Consent Form and will be able to proceed updating the record's status to PENDING CERTIFICATION.

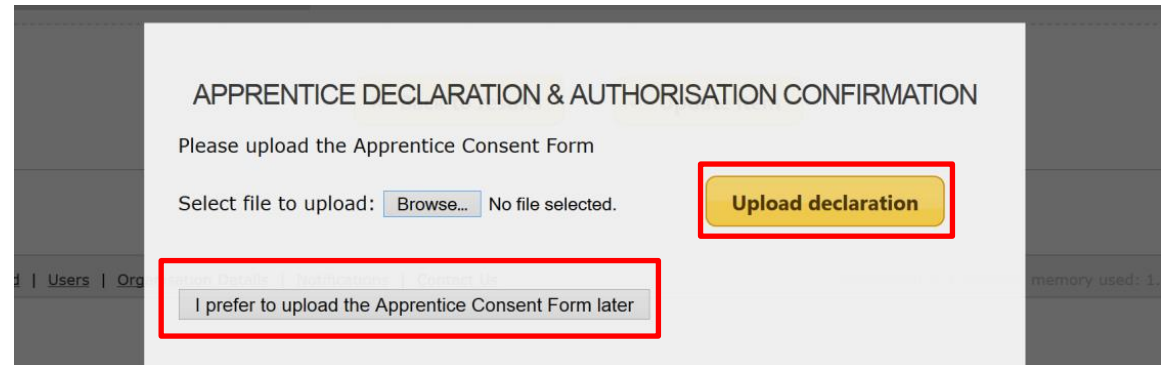


The screenshot shows a modal window titled "APPRENTICE DECLARATION & AUTHORISATION CONFIRMATION". The text inside reads: "By completing this form, I am confirming that **Kevin Kisliakov** has completed and signed the required Apprentice Consent Form and has authorised Wiltshire College to apply for their Apprenticeship Completion Certificate on their behalf. A copy of the signed consent form has been retained by Wiltshire College as part of the Apprentice's record." Below this, it says "I have read, understood and adhered to the [Terms and Conditions for the Use of ACE](#)." A bold note states: "NB: Please ensure that this is the last action required for this Apprentice's ACE record as agreeing to this confirmation will permanently lock the Apprentice name fields within their ACE record." At the bottom, there are two buttons: "✓ Agree" (highlighted with a red rectangle) and "✗ Cancel". The background shows a blurred view of the system interface with tabs like "Users", "Organisation Details", and "Notifications".

## 2. Agree to the declaration – a request for the Consent Form to be loaded appears

The ACE system has been designed to **randomly** request signed Consent Forms to be uploaded. If this is the case, once you have agreed to the declaration the following pop up will appear.

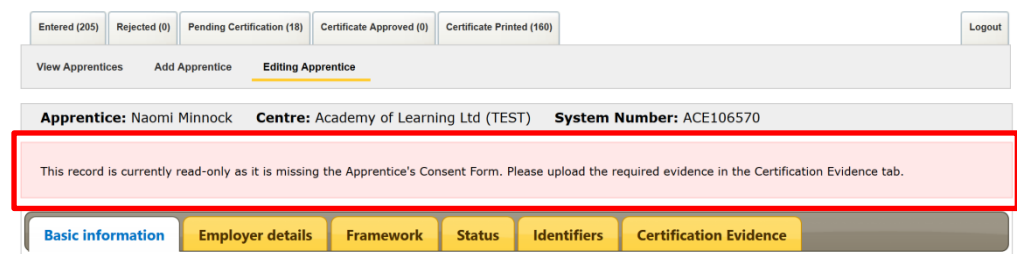
This is the **APPRENTICE DECLARATION & AUTHORISATION CONFIRMATION** giving you the option to browse your files for the requested Apprentice's Consent form. Once you have chosen the appropriate file, click on the **Upload declaration** button which will upload the file and return you to the Certification Evidence tab within the Apprentice's record where you then see confirmation that the file was uploaded successfully. You can now continue to process the request for certification.



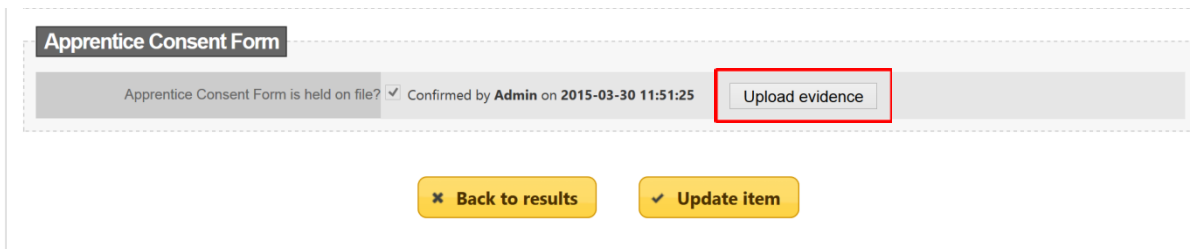
### Uploading the form at a later date

There may be occasions where you do not have the file to hand when you are requested to upload the Consent Form. If this is the case you will be able to select the option ***I prefer to upload it later*** which will return you to the Apprentice's record but you will be **unable to process the certification claim until you have loaded the requested file**.

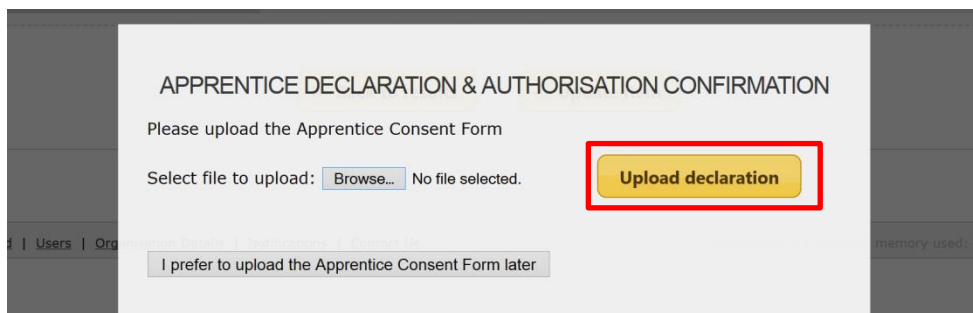
In this scenario, the "Tick to Agree" details are retained and the Apprentice's ACE record is flagged to indicate that a signed Apprentice Consent Form was requested and is still required to be uploaded. Key data in the ACE record is then **locked** to prevent further editing / deleting / processing of the record. The record's status **cannot be changed** until the requested Consent Form has been uploaded.



When you return to an Apprentice's record to load the requested Consent Form, you will notice that the Consent Form field has remained ticked along with the information, captured by ACE, relating to the person who originally agreed to the Apprentice Declaration and Authorisation Confirmation. You will also see a new button *Upload evidence*, selecting this option will display the following pop up which allows you to upload the file using the *Upload declaration* button.



The screenshot shows a web interface for an 'Apprentice Consent Form'. At the top, there is a header bar with the title 'Apprentice Consent Form'. Below this, a status bar indicates 'Apprentice Consent Form is held on file?' with a checked checkbox, followed by 'Confirmed by Admin on 2015-03-30 11:51:25'. To the right of this status bar is a button labeled 'Upload evidence', which is highlighted with a red rectangular box. Below the status bar, there are two yellow buttons: 'Back to results' with a close icon (x) and 'Update item' with a checkmark icon (✓).



The screenshot shows a pop-up window titled 'APPRENTICE DECLARATION & AUTHORISATION CONFIRMATION'. The text inside says 'Please upload the Apprentice Consent Form'. Below this, it says 'Select file to upload:' followed by a 'Browse...' button and the text 'No file selected.'. To the right of this text is a yellow button labeled 'Upload declaration', which is highlighted with a red rectangular box. At the bottom of the pop-up, there is a link that says 'I prefer to upload the Apprentice Consent Form later'.



## Rejected Claim

If a submitted ACE record is rejected by a Certification Body because of an issue with an uploaded Apprentice Consent Form, this will be notified by the note: **\*Error on Consent Form** message which will appear in the Status Tab under the rejection reason section. This means that the issue with the Consent Form will need to be addressed prior to the claim being resubmitted. **However, please note that the Apprentice name fields on the ACE record are non-editable and any changes can only be made to these fields by contacting the ACE Support Team.**

## Correcting a Rejected Consent Form

If the Consent Form is rejected by the Certification Body then you will need to complete the corrective action required. When you are ready to upload the amended form you will need to return to the **Certification Evidence tab** and the **Apprentice Consent Form** field. Here you will see the confirmation of the original agreement is recorded and an orange and red button.

Rejected request 2015-03-18

Skills CFA Admin (Skills CFA) 2015-03-18

Rejected By Body @ 2015-03-18 15:28:26  
The following apprentice has been rejected by Skills CFA  
ACE Number: 0d5aa2  
Name: SUSAN STEWART  
Framework: Customer Service (12/4/11 - 31/8/14)  
Level: Advanced  
Pathway: Customer Service

Comment:  
The consent form is incomplete. Please fill in all of the required fields before resubmitting this apprentice.  
If you have any questions please do not hesitate to contact us at reject@rejection.com

\* Error on Consent Form

Your comment:

Add comment

Browse... No file selected. Upload

Apprentice Consent Form

Apprentice Consent Form is held on file ✓ Confirmed by Vanessa Cover on 2015-03-19 14:46:00

Back to results Update item

Selecting the **red button** will open a pop up to allow you to delete the existing, incorrect Consent Form. You will be asked to confirm that you want to remove the selected evidence.



In agreeing to delete the file currently uploaded to the ACE record you are then able to **upload new evidence** (Consent Form). Selecting this option will allow you select a file and upload as before.

**Please note:** the ACE system will prevent you from submitting a certification request until you have reloaded a corrected Consent Form. Until this is done, the **Re-submit button** will be deactivated. Once a corrected form is uploaded, the **Resubmit button** will become active and you can now submit the claim for processing.

A screenshot of a web application interface showing the 'Apprentice Status Details' page. At the top, there is a section for 'Additional Documents e.g Marriage Certificate, Evidence for RPL, Name Change Document' with a file upload area labeled 'Evidence.docx'. Below this is a section titled 'Apprentice Consent Form' which shows a status 'Apprentice Consent Form is held on file? ✓' and a confirmation 'Confirmed by Vanessa Cover on 2015-03-19 14:46:00'. A red rectangular box highlights a button labeled 'Upload evidence' in red text. Below this is a section titled 'Apprentice Status Details' with a status dropdown set to 'Pending certification'. To the right of the dropdown are two buttons: 'Re-submit' (highlighted with a red box) and '[ Request rejected ]'. At the bottom is a 'Status History' table with three rows: 'Entered', 'Pending certification', and 'Rejected request', all dated '2015-03-19'. At the very bottom are two buttons: 'Back to results' and 'Update Item'.

## Additional Information

### Prior Completion of the Apprentice Consent Form

The third party claimant can pre-populate some fields on the Apprentice's Consent Form including:-

- Apprentice Name
- Date of Birth
- Nominated ACE Centre
- Last Date in Learning

However the Apprentice **MUST** sign and date the Consent Form, having read, understood and agreed to any data that has been pre-populated on the Consent Form.

### Amendments to the Apprentice Consent Form

If an Apprentice Consent Form (or a V3 Declaration Form submitted on, or after, 1<sup>st</sup> April 2015) needs to be amended either prior to submission, or following a rejection, then either the Apprentice or the Third Party Claimant can make the required change/s. The only changes that are not permitted is to the Apprentice's signature. If for any reason an amendment needs to be made to Apprentice signature then a new Apprentice Consent Form should be completed.

NB: Any other changes made to the Consent Form (or V3 Declaration Forms submitted on, or after 1<sup>st</sup> April 2015) are permitted and **will not require a countersignature**.

## Electronic Signatures

It is acceptable for Apprentice Consent Forms (and legacy V3 Declaration Forms) to be signed electronically. **We no longer require ACE Centres, wishing to use electronic signatures, to seek pre-approval from the Federation.**

However, all ACE centres using electronic signatures must ensure that they are:-

- Unique to the signatory.
- Created using means within a signatory's sole control.
- Capable of being linked to the relevant document or data in such a manner that any subsequent changes to that document or data would be detectable.

We have brought our policy on the acceptance of electronic signatures in line with the guidance issued by The Department of Business Innovation & Skills (BIS) in September 2014. Further guidance on the use of electronic signatures can be found here: [Electronic Signatures Guidance](#)

## Phasing out V3 Declaration Forms

Although the new Apprentice Consent Form is being implemented on 1<sup>st</sup> April 2015, the current V3 Declaration form can be used up until 30<sup>th</sup> June 2015. This means that over the next 3 months either form can be uploaded to an Apprentice's record. If a V3 Declaration Form has been signed and dated **prior to 30<sup>th</sup> June 2015** but submitted **on, or, after 1<sup>st</sup> July 2015** then these forms will still be accepted. However, no V3 Declaration forms should be signed after 30<sup>th</sup> June 2015. Forms signed after this date must be the new Apprentice Consent Form .

## Employer E-mail Address

From the 1<sup>st</sup> April 2015, the Employer e-mail address is a **mandatory** field for ACE claimants to complete for every ACE record. Certification Bodies will be checking the Employer e-mail address entered into this field and we will not be accepting the Training Provider's e-mail address as an alternative. Where a Training Provider e-mail address is provided the Certification Body will reject the ACE claim and ask for a legitimate Employer e-mail address to be provided.