

# DfE (and Executive Agencies) Data Sharing Service Application Form

### Introduction

This form is for all requests to DfE for accessing DfE[[1]](#footnote-1) personal data (DfE data). This form must be used by all applicants, for operational purposes, central or local government research and third-party research, evaluation or analysis, including internal DfE teams who wish to send DfE personal data to DfE contractors, and other government departments.

There are separate application forms for:

* Applying to deposit linked DfE data for onward sharing under Digital Economy Act (DEA),
* Applying for linked DfE/MoJ data – [MoJ Data First](https://educationgovuk-my.sharepoint.com/personal/sarah_barnard_education_gov_uk1/Documents/Downloads/add%20link),
* Applying for DfE personal data for a DfE-commissioned research projects (that is, where DfE are contracting with a third party for the purpose of carrying out research). Please talk to your DfE contact before attempting to complete this application form.

**Evidence to be submitted with application**

The following evidence must be submitted alongside the application form:

* Evidence of any ethical consideration for your project.
* Detailed data requirements using the latest, relevant data tables.
* [Information Security Questionnaire](https://www.gov.uk/guidance/apply-for-department-for-education-dfe-personal-data#apply-for-direct-access-to-dfe-personal-data) (ISQ) for those applying for a direct supply of personal data. Associated evidence to support the ISQ.
* Evidence of your organisation’s policies regarding appropriate background checks for those individuals processing DfE personal data through a direct supply data share, see section 6
* For DfE teams hiring contractors for DfE commissioned projects, you will need to submit the Suppler Assurance form for Section 6.

For crown bodies, the only evidence that is required to support this application are the detailed data requirements using the latest, relevant data tables.

Please complete all relevant questions in the application form with the support of the [guidance notes](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1186390/DfE_data_sharing_service_application_form_guidance_v1.7_September_2023.pdf). For any advice on completing the form, or submitting a completed form, please contact data.SHARING@education.gov.uk Incomplete applications and missing evidence will delay the approval process.

Information from the answers to the \* (asterisk) questions will be published in [DfE external data shares](https://www.gov.uk/government/publications/dfe-external-data-shares).

### Contents

Complete the following sections:

Section 1-2: Purpose & Data

Section 3: Ethics

Section 4: ONS SRS

Section 5: Direct Supply - applicants seeking a direct supply of DfE personal data

Section 6: Individuals requiring access

Section 7: Data Protection Roles

Section 8: Lawful Basis for processing DfE personal data

## Section 1 – Personal details

### Applicant name

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| **Applicant name** |  |
| **Organisation** |  |
| **Applicant’s contact details (email address/telephone number)** |  |

### Application type

All applicants to answer these questions.

DfE receives applications for 3 main types of data shares using this application form. Please tick the box that most describes the purpose of your project.

Operational purposes

Central or local government research

Third party research, evaluation, or analysis

Please state why you think your project fits the application type above.

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### Name of Research, Project, Programme, Digital Service that requires personal data

All applicants to answer this question.

Provide the name of the project or system in no more than 10 words.

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### Grant Award Reference Number

All applicants to answer this question if applicable (optional).

If the research has been allocated a Grant with a Grant Number please provide the number.

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### Brief Purpose\*

All applicants to answer this question.

Provide a short description of the project and its benefits, in no more than 150 words, in the box below using the following structure.

*[insert your organisation name] wishes to use [describe high level DfE data requirements]. With this data they will [describe your project]. The public benefit of this work will be [describe project benefits].*

This will be published on [DfE External Data Shares](https://www.gov.uk/government/publications/dfe-external-data-shares) please use plain English language that would be easy to understand by an interested citizen, avoid heavy ‘research jargon’ or ‘education speak’, avoid acronyms and write in the third person (i.e., do not use “I” or “We”).

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### Fuller Description

All applicants to answer this question.

Provide a detailed description of your project’s aims and objectives and state whether the project is part of a larger body or program of work. For research projects, please provide the specific research questions being addressed by this project.

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### Research Methodology

All applicants (except those projects for operational purposes) to answer this question.

Provide a detailed description, in no more than 1000 words, of the research protocol and/or methodology you will follow, as well as how you intend to use the DfE data.

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### Public Benefit (Public Good)

All applicants to answer these questions.

You must demonstrate that your project will deliver a clear public good. Your project should deliver one or more of the public benefits listed below. Please provide as much detail as possible for those that apply.

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| **Public Good**  | **Details** |
| Provide an evidence base for public policy decision-making |  |
| Provide an evidence base for public service delivery |  |
| Provide an evidence base for decisions which are likely to significantly benefit the UK economy, society, or quality of life of people in the UK. |  |
| To replicate, validate or challenge Official Statistics |  |
| To replicate, validate or challenge existing research |  |
| To significantly extend understanding of social or economic trends or events by improving knowledge or challenging widely accepted analyses |  |
| To improve the quality, coverage, or presentation of existing statistical information |  |

If you think your project provides a different public benefit, please explain.

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### Risk to Public Benefit (Public Good)

All applicants to answer these questions.

Have any risks to public benefit been identified?

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If you have identified any risks to delivering public benefit, or any other adverse effects, give details of them below. Also include details of what you have done or plan to do to reduce or eliminate them.

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### Areas of Research Interest (ARI)

Please list below [DfE Area of Research Interest (ARI)](https://www.gov.uk/government/publications/department-for-education-areas-of-research-interest) of work that the research will be related to (max 150 words). Please make sure you include the number of the ARI for audit trail purposes.

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### Intended Outputs

All applicants to answer these questions.

What research outputs do you intend to produce to make your research available to the public, please complete all that apply.

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| **Type of Output** | **Provide more details for your project** |
| Exploratory analysis / internal work (publication not intended at this stage) |  |
| Freely available research findings/reports (add publication details if known) |  |
| Chargeable research findings / reports (add publication details if known) |  |
| Research findings / reports primarily for use by the media (please provide details on how the media might use your findings) |  |
| Free software products / webtools for data analysis  | Open accessRestricted accessSubscription-based service |
| Chargeable software products / webtools for data analysis | Open accessRestricted accessSubscription-based service |
| Refereed journal publication |  |
| Book chapter or book |  |
| Report for Government Department or funder |  |
| Published presentation (conference, workshop seminar etc) |  |
| Research dissertation/thesis (PhD/MSc, MA etc) |  |
| Published news piece/blog post/audio interview |  |
| Other |  |

If you are not intending to publish your outputs at this stage, please explain why.

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### Statistical Disclosure Control

All applicants to answer these questions.

 Please tick if you wish to directly identify educational establishments in your outputs

If you do require directly identifiable educational establishments, please explain why.

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Please provide details of the lowest level of geography you wish to identify in your outputs.

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### Project Timescales

All applicants to answer these questions.

Please provide the estimated duration of the use of DfE data in your project (start date to end date) and a comprehensive breakdown of your project’s milestones.

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What is your best estimate of the date you will no longer need access to the data (this will inform DfE’s proposed licence end date)?

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### Link to any previous DfE data requests

All applicants to answer these questions.

If this data request is a continuation of a previous DfE data request, please provide the following details:

* DSAP number and/or any other DfE reference numbers provided;
* ONS SRS Project Area Reference Number (where relevant);
* Details of how this is related to previous requests;
* Details of project progress relating to the previous requests including any links to previously published outputs.
* For direct supply requests only: Details of whether you are proposing to use the DfE data you previously received alongside the new DfE data you are requesting in this application.

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### Future Intentions

All applicants to answer this question.

Please provide any details of how your project might evolve over time. We need to understand what data is required on an ongoing basis or what data is required at regular frequencies or at intermittent points.

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## Section 2 – Data

### Data Requirements\*

All applicants to answer these questions.

Please provide details of the DfE data you require. Make sure you include enough detail to uniquely identify the DfE personal data you want. For example, you should include completed [data tables](https://www.gov.uk/guidance/apply-for-department-for-education-dfe-personal-data#data-tables) (where provided) and list the dataset name, years, releases, key stages, cohorts, variables, version. You may also use the [Find & Explore NPD Data](https://find-npd-data.education.gov.uk/) to find data that you are interested in. Please also provide adequate justification for the volume of data that you are requesting.

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All applicants who are seeking to add reference data (i.e., non-personal data) into their ONS SRS project space alongside DfE data requested in this application to answer this question.

You may add reference data into the ONS project space but it **must** be approved by DfE first via this application form. As a minimum, please provide the following details:

* description of the reference data source(s), including details of where the reference data is published, or where this is not published who owns this data;
* a summary of the justification for the reference data to be used alongside the DfE data;

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Before you applied to DfE for personal data, please state what other non-DfE data sources you have considered for your project and why they are not sufficient for your purposes.

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If you require [identifiable](https://www.gov.uk/guidance/data-protection-how-we-collect-and-share-research-data#riskofidentification) data from DfE (i.e., risk level 1 (instant identifiers) or risk level 2 (meaningful identifiers)), please state your reasons here. Use the relevant data tables for the required dataset to help you understand the classifications of specific data items.

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If you require [sensitive](https://www.gov.uk/guidance/data-protection-how-we-collect-and-share-research-data#sensitivity) data from DfE (i.e., categories B (highly sensitive), C (sensitive not classed as special categories under UK GDPR) including criminal offence data or D (special categories under UK GDPR), please state your reasons here. Use the relevant data tables for the required dataset to help you understand the classifications of specific data items.

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Are you aware of any limitations of using the DfE data for the purposes of your project? If so, how will you mitigate against these and/or caveat these within any outputs?

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### Data Already Held

All applicants that wish to retain data that has already been agreed with DfE to answer this question.

Please provide details of DfE data (which datasets for which academic years and provide any relevant reference numbers) you currently hold for this specific project and provide a justification as to why you still need all of it. [If you cannot provide suitable justification, we will ask you to destroy the data]

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### File Format

All applicants to answer these questions.

What is the preferred file format for data extracts?

Tab-delimited text file

CSV

Excel (not available for NPD)

SPSS

SQL database (with SQL schemas) – the SQL format is not available in ONS SRS

SQL database creation script (in MS SQL Server format)

Please provide any further details that may assist DfE in creating the DfE extracts in the right file format

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### Matching Requests – Personal data

All third-party applicants seeking to match personal data that that they hold to DfE data being requested in this application, to answer this question.

Matching personal data to DfE data using ‘instant’ or ‘meaningful’ identifiers must be carried out by DfE (contact data.sharing@education.gov.uk in advance of submitting your application if this is an issue). As a minimum, please provide the following details:

* a summary of the justification for the matching taking place in the context of this application and use of DfE data;
* description of the personal data source(s) to be matched to DfE data, including contact details of the data owner(s);
* details of the expected number of individuals/records that will be required to match to DfE data;
* description of the ‘instant’ or ‘meaningful’ identifier data variables that will be provided to DfE for matching
* description of the meaningless identifier data variable that you require to be added to the DfE data to enable future linkage to any additional data variables you hold;
* when you will be ready to send the ‘instant’ or ‘meaningful’ identifier data variables securely to DfE for matching;
* description of the data variables that will be required for onward analysis alongside the DfE data (contextual data) and confirmation that the applicant is content uploading their contextual data into ONS SRS.

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### Matching Requests - Identification Risk

All applicants who are seeking to match reference data that they hold to DfE data being requested in this application to answer this question.

This section should be used to classify any data supplied to DfE for matching. The guidance note includes examples of these.

DfE categorises its data for identification risk using the mechanism below. We need you to tell us the highest level of identification risk that your data poses.

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| **DfE External Data Shares labelling** | [**Identification Risk**](https://www.gov.uk/guidance/data-protection-how-we-collect-and-share-research-data#riskofidentification) | **Tick highest level** |
| **Individually identifiable data** | 1. Instant identifiers
 | [ ]  |
| **Individually identifiable data** | 1. Meaningful identifiers
 | [ ]  |
| **De-identified individual data** | 1. Meaningless identifiers
 | [ ]  |

Please justify why your project requires this level of identifiability in the box below

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### Matching Requests - Sensitivity

All applicants who are seeking to match reference data that they hold to DfE data being requested in this application to answer this question.

This section should be used to classify any data supplied to DfE for matching. The guidance note includes examples of these.

DfE categorises its sensitive data using the mechanism below. We need you to tell us the sensitivity levels of your data.

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| **Sensitivity level** | **Description** | **Tick all that apply** |
| B | Highly Sensitive: Contains data about interactions with Children’s Services | [ ]  |
| C | Sensitive data not classed as a special category under UK GDPR, but a public expectation would be that we treat it sensitively [Please note: DfE has re-classified Gender to sensitive data, it is not a UK GDPR special category] | [ ]  |
| D | Sensitive data captured as a special category under UK GDPR:1. Personal data revealing racial or ethnic origin
2. Personal data revealing political opinions
3. Personal data revealing religious or philosophical beliefs
4. Personal data revealing trade union membership
5. Genetic data
6. Biometric data (where used for identification purposes)
7. Data concerning health
8. Data concerning a person’s sex life
9. Data concerning a person’s sexual orientation
 | 1.[ ] 2.[ ] 3.[ ] 4.[ ] 5.[ ] 6.[ ] 7.[ ] 8.[ ] 9.[ ]  |
| E | Other, non-sensitive data variable | [ ]  |

Please justify why your project requires this level of sensitivity.

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### Information Asset Owner (DfE teams only)

All DfE (and Executive Agencies) teams requesting approval from Data Sharing approval Panel (DSAP) to share DfE personal data with external organisations under a DfE commercial contract to answer this question.

Please provide the name of the Information Asset Owner and their contact details.

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### DfE (and executive agencies) agreement

All applicants to consider this question.

If you have discussed this application and its data requirements with anyone in DfE, Education and Skills Funding Agency (ESFA), Standards and Testing Agency (STA), or Teachers Regulation Agency (TRA) please provide their name and contact details.

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### Data Requirements Sign Off

All applicants to answer this question.

Please enter the name of the person in the project or your organisation who has the authority to sign off the Data Requirements and can confirm that the stated requirements meet the project objectives. Mistakes cannot be rectified once the data extract has been created.

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## Section 3 - Ethics

### Ethics

Answer this question if you a third party requesting DfE personal data (N/A for DfE commissioned projects or requests from crown or public bodies)

DfE requires an ethics approval for your project. Please submit either:

1. Details of the ethical approval body, and any caveats from their findings and any relevant supporting documentation, or
2. the UK Statistics Data Ethics self-assessment form. Go to the [UKSA website](https://uksa.statisticsauthority.gov.uk/about-the-authority/committees/national-statisticians-data-ethics-advisory-committee/ethics-self-assessment-tool/) for an overview, form and guidance.

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### Services offered to schools

Answer these questions if your request for data is associated with offering services to schools.

Please provide details as to how your service aligns with the principles as detailed in the [Teacher Workload Advisory Group’s Making Data Work Report](https://www.gov.uk/government/publications/teacher-workload-advisory-group-report-and-government-response). In particular in the following areas:

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| That the purpose and use of data is clear, is relevant to the intended audience within schools and is in line with the school values and aims. |  |
| That the precision and limitations of data, and what can be inferred from it, are well understood by the applicant and the schools who are receiving this service offer. This includes supporting users of services within schools such as data managers, teachers, middle & senior leaders, and governors to use good data well.  |  |
| That the service will reduce workload burdens associated with data, including working with trusts and local authorities to review and reduce data practices that are not helpful for pupil progress and that increase teacher workload. |  |

### Services offered to individuals

Answer these questions if your request for data is associated with offering services to individuals (e.g., learners, workforce members, parents).

Please provide details as to how your service supports individuals. In particular in the following areas:

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| Ensure the service helps the target market, and wider education and children’s services sector, through enabling better informed choice and / or widening participation. |  |
| Ensure the service is developed and improved through user-centred design (i.e., putting the user first). |  |

### Commercial considerations

Please answer these questions **only** if you intend to use DfE personal data in any products or services that have a commercial element to it.

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|  |  | **Yes** | **No** | **Details** |
| 1 | Will DfE personal data inform a product where access to that product will be bought or sold? | [ ]  | [ ]  |  |
| 2 | Is there any intention to generate a financial profit using DfE personal data? | [ ]  | [ ]  |  |
| 3 | If ‘yes’ to Q1-2, will the DfE personal data itself be sold on? | [ ]  | [ ]  |  |
| 4 | If ‘yes to Q1-2, will this duplicate any DfE analysis or DfE product? | [ ]  | [ ]  |  |

If you haven’t already, please explain which organisations, or which individuals, will benefit from your product or service. Please include a URL to the product or service.

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Please explain your company’s position in the market in relation to this product or service. It would be helpful if you could provide details of any competitors in the market and the size of the market you are targeting over the next 5 to 10 years.

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Please explain how users pay (or how you intend for users to pay) for access to the elements of the product or service that are based on DfE data.

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Please explain how your business model could be improved to ensure DfE’s aim that DfE personal data should not be shared for commercial gain is upheld

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## Section 4 – ONS SRS

We are asking all applicants to complete this section.

For those seeking a direct supply of data, this is to speed up the process should your application be rejected by the Data Sharing Approval Panel.

### Research Theme

All applicants to answer this question.

Select one theme that most closely matches the subject of your research project. If your project theme is not included below, please select ‘Other theme’ and specify it in the box provided.

Births and mortality Migration

Business and industry Personal and household finances

Crime and justice Sector specific

Economic output and productivity Country specific

Economy and trade Other theme

Education, training, and skills

Employment and labour market

Environment, housing, and infrastructure (including transport)

Health, social care, and wellbeing

Population and social insights (e.g., social mobility equality and inclusion)

If other, please provide details in the box below.

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### Software

Please state the software that you will require for your project.

[For ONS SRS – see their [latest](https://www.ons.gov.uk/aboutus/whatwedo/statistics/requestingstatistics/approvedresearcherscheme#software) list]

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If any of the software you would like is not easily available, please provide details – we may be able to discuss your requirements with ONS SRS.

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## Section 5 – Direct Supply

### Reasons why ONS SRS is not suitable for your project

Please provide reasons as to why your project cannot be carried out in the ONS SRS

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Please state which exemption applies to your project.

1. Data is being processed to fulfil an essential public task, such as the running of education or children’s services;

2. You are doing research funded by, or commissioned by, DfE and its executive agencies or other government departments;

3. You are doing research that is sponsored or supported by DfE and its executive agencies as adding significant value to the evidence base supporting education or children’s services.

Please state why you have chosen the exemption above.

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### Information Security Assessment

Answer this question if applying for a Direct Supply of DfE personal data.

Provide details of all organisations that will receive a direct supply of DfE personal data. Each organisation must submit an Information Security Questionnaire (ISQ). [Please note: applicants from other crown organisations do not need to provide an ISQ, but their third-party processors will need to].

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| Name of organisation | Primary contact name, role / position, email address | Information Security Officer’s and Data Protection Officer’s name and email address  | Data Protection Role on project and details of agreements in place with the organisation that is going to sign the commercial contract, the Data Sharing Agreement, or the Memorandum of Understanding with DfE  |
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Provide details of a) anything that might reassure DfE of your organisation’s information security for DSAP to approve your application for a direct supply of data or b) of mitigating circumstances as to why the information security assessment might be deficient in some places.

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## Section 6 – Individuals requiring access

All applicants to answer these questions.

For each individual requiring access to DfE data, please provide their details below. If individuals are from different organisations, under UK GDPR there must be a suitable contract / arrangement in place between these organisations. Please tick the box below to confirm that there are appropriate contracts / agreements between the organisations who will be processing DfE personal data and provide these details in Section 7.

I confirm that there are appropriate UK GDPR data sharing agreements between the organisation that will sign the DfE DSA/MoU and any individuals listed below from different organisations and I have included copies of these agreements

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| Researcher Role | Name | Organisation | Business Address | Email Address | Research Accreditation Number (if approved for ONS) |
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If DSAP approves access through its preferred route (via ONS SRS), please provide names of the Project Lead and Deputy Lead.

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### Individuals requiring a direct supply of data (DfE processors under DfE contract)

For a direct supply of data, please provide a copy of the [DfE Supplier Assurance](https://educationgovuk.sharepoint.com/sites/security/SitePages/procurement-suppliers.aspx?xsdata=MDV8MDF8fDMwZTUwNjQxYmQ0MDQzMTY4NTQyMDhkYjcyNDk3YzE4fGZhZDI3N2M5YzYwYTRkYTFiNWYzYjNiOGIzNGE4MmY5fDB8MHw2MzgyMjk0MzIxNDMyMTc5ODZ8VW5rbm93bnxWR1ZoYlhOVFpXTjFjbWwwZVZObGNuWnBZMlY4ZXlKV0lqb2lNQzR3TGpBd01EQWlMQ0pRSWpvaVYybHVNeklpTENKQlRpSTZJazkwYUdWeUlpd2lWMVFpT2pFeGZRPT18MXxMMk5vWVhSekx6RTVPalpsTmpFM1ltVTRMV05rT0dRdE5EbGhNUzA0WVROa0xXUmxPVFkwWWpsalpXRXpaVjlsTnpJMVkyWmxOeTAyWVdReUxUUXpPV1l0WWpnNFlTMHpNREUyWVRkbE5UazVNMkZBZFc1eExtZGliQzV6Y0dGalpYTXZiV1Z6YzJGblpYTXZNVFk0TnpNME5qUXhNemN3Tnc9PXxiMGFjMmVjOWNkNGU0ODg4ODU0MjA4ZGI3MjQ5N2MxOHxiYTg4ZGRmZWFhOTc0ZGI2OGYyNDY0ZDFmMDZjNTU5ZQ%3D%3D&sdata=YnUyY1NJdUtvdFY0NXFZalZVYmJiTFF5VzZ1T0ZaOHQxQXhBQm9yNHpabz0%3D&ovuser=fad277c9-c60a-4da1-b5f3-b3b8b34a82f9%2CGwen.McGill%40EDUCATION.GOV.UK&OR=Teams-HL&CT=1687346450240&clickparams=eyJBcHBOYW1lIjoiVGVhbXMtRGVza3RvcCIsIkFwcFZlcnNpb24iOiIyNy8yMzA1MDEwMDQyMiIsIkhhc0ZlZGVyYXRlZFVzZXIiOmZhbHNlfQ%3D%3D#supplier-security-assurance) form (this is a prerequisite for all DfE contracts) to ensure the organisation that intends to process DfE personal data carries out appropriate background checks (Q3.1).

Please use this space to provide any other information that is pertinent to this organisation and/or data share regarding background checks.

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### Individuals requiring a direct supply of data (all other third parties)

All applicants requiring a direct supply of data to additionally answer these questions. This section is not applicable for any crown organisation employee (i.e., a civil servant) processing DfE personal data. It is HMG policy that anyone with access to information classified as OFFICIAL (e.g., all DfE personal data) must be cleared to an equivalent of the HMG Baseline Personnel Security Standard (BPSS). The department’s expectation is that DfE suppliers and those organisations we share data with will carry out the following background checks:

* Identity
* Nationality and Immigration Status
* Employment history (past 3 years)
* Criminal record (unspent convictions only)

For direct supply data shares, can you indicate which of these background checks are carried out on those individuals who will have access to DfE personal data? Tick all that apply and submit appropriate evidence to support your application.

☐ Yes – to Baseline Personnel Security Standard (BPSS)

☐ Yes – we apply BS 7858

☐ Yes – other [National Security Vetting](https://en.m.wikipedia.org/wiki/Security_vetting_in_the_United_Kingdom) checks, please provide details

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☐ Yes – but not to BPSS or BS7858 standard, please provide details

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☐ No, please describe the background checks you carry out, or intend to carry out, for these individuals.

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## Section 7 – Data Protection Roles

The questions in this section are to ensure DfE understands what is required to document the sharing of DfE personal data and to establish which organisation is most appropriate to sign the agreed documentation with DfE. This is especially important if individuals that require access to DfE data are from different organisations.

### Type of Documentation to Facilitate the Data Share

All applicants to answer this question.

To share DfE personal data, suitable documentation must be in place first. Please tick the box that most describes the documentation you are seeking.

Memorandum of Understanding (for sharing with crown bodies) – “MoU”

Independent Controller to Independent Controller Data Sharing Agreement (for sharing with third parties) – “DSA”

Commercial Contract (for DfE-commissioned projects) where the contractor is acting as DfE’s processor – “Contract”

Other

If other, please explain below.

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### MoU – Name and address of Signatory Organisation

All applicants requiring an MoU to answer these questions.

Please provide the name and address of the organisation(s) that will sign the MoU with DfE.

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Please provide the email address of the person that will sign the MoU. We will be using AdobeSign software to sign the MoU, so this email address is crucial.

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Please explain why you have chosen the organisation named above to be the legal party that DfE should sign the MoU with if it is not the Controller or Joint Controller(s).

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Please provide the role of the person(s) who will sign the MoU and their contact details.

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Please provide contacts details of the primary contact(s)

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Please provide contact details of the secondary contact(s)

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Please provide name, address and contact details of the Data Protection Officer(s) of the Controller or Joint Controller(s)

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### DSA – Name and address of Signatory Organisation

All applicants requiring a DSA to answer these questions (except those who are applying as Joint Controllers – please move to the next section).

Please give the name and address of the organisation that will sign the DSA with DfE. This must be the Controller. \*

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Please provide the email address of the person that will sign the DSA. We will be using AdobeSign software to sign the DSA, so this email address is crucial.

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Please explain why you have chosen the organisation named above to be the legal party that DfE should sign the DSA with if it is not the Controller.

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Please provide the role of the person who will sign the DSA and their contact details.

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Please provide contacts details of the primary contact

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Please provide contact details of the secondary contact

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Please provide name, address and contact details of the Data Protection Officer

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ICO registration number and registration expiration date. If registration expires within the next 3 months, please confirm that this will be renewed.

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### Applications from Third-party Joint Controllers (or their processors)

Only answer questions in this section if this application is from third-party joint controllers (or their processors).

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| **Please answer the following questions** | **Yes** | **No** |
| Have both joint controllers carried out a formal assessment of their DPA roles using the ICO checklist? | [ ]  | [ ]  |
| Have both joint controllers understood the application guidance for this question and its implications for both controllers?  | [ ]  | [ ]  |

Please state which organisation will be the “Requester” that will sign the independent controller to independent controller data sharing agreement with DfE for DfE personal data?

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Please state which organisation will be the “Joint Requester”?

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Please provide the role of the person who will sign the DSA as the Requester and their contact details.

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Please provide contacts details of the Requester’s primary contact.

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Please provide contacts details of the Requester’s secondary contact

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Please provide name, address and contact details of the Requester’s Data Protection Officer

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Requester’s ICO registration number and registration expiration date. If registration expires within the next 3 months, please confirm that this will be renewed.

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Please provide the contact details of the Joint Requester

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Please provide contacts details of the Joint Requester’s primary contact

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Please provide contacts details of the Joint Requester’s secondary contact

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Please provide name, address and contact details of the Joint Requester’s Data Protection Officer

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Joint Requester’s ICO registration number and registration expiration date. If registration expires within the next 3 months, please confirm that this will be renewed.

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### DfE commercial contract – Name and address of Signatory Organisation

All applicants requiring personal data to fulfil a DfE commercial contract to answer these questions.

Please give the name and address of the organisation that will sign the commercial contract with DfE. This must be DfE’s processor. \*

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Please provide the email address of the person that will sign the contract.

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Please explain why you have chosen the organisation named above to be the legal party that DfE should sign the commercial contract if it is not the processor.

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Please provide the role of the person who will sign the DfE commercial contract and their contact details.

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Please provide contacts details of the primary contact.

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Please provide contact details of the secondary contact.

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Please provide name, address and contact details of the Data Protection Officer

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ICO registration number and registration expiration date. If registration expires within the next 3 months, please confirm that this will be renewed.

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Please provide your Companies House reference number.

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### Any organisation(s) that require DfE personal data

This section must be completed for any other organisation not already detailed above that is intending to access DfE personal data

Please provide details of all organisations that need to access DfE personal data.

I confirm that there are appropriate UK GDPR data sharing agreements between the organisation that will sign the DfE DSA/MoU and any organisations below.

**Organisation 1**

|  |  |
| --- | --- |
| Name of Organisation  |  |
| Project Role (e.g., sponsored, funded, or commissioned by DfE or other organisations) |  |
| Data Protection Role on project (e.g. Controller, Joint Controller, Processor) |  |
| Relation to the organisation that will sign the MoU, Commercial Contract or DSA with DfE and details of any contracts, agreements etc. in place. |  |
| Business Address of the organisation |  |
| Primary Contact including name, position, telephone number, email address |  |
| Secondary Contact including name, position, telephone number, email address |  |
| Data Protection Officer name, business email address, telephone number, business postal address |  |
| ICO registration number and registration expiration date. If registration expires within the next 3 months, please confirm that this will be renewed. |  |

**Organisation 2**

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| --- | --- |
| Name of Organisation  |  |
| Project Role (e.g., sponsored, funded, or commissioned by DfE or other organisations) |  |
| Data Protection Role on project (e.g. Controller, Joint Controller, Processor) |  |
| Relation to the organisation that will sign the MoU, Commercial Contract or DSA with DfE and details of any contracts, agreements etc. in place. |  |
| Business Address of the organisation |  |
| Primary Contact including name, position, telephone number, email address |  |
| Secondary Contact including name, position, telephone number, email address |  |
| Data Protection Officer name, business email address, telephone number, business postal address |  |
| ICO registration number and registration expiration date. If registration expires within the next 3 months, please confirm that this will be renewed. |  |

**Organisation 3**

|  |  |
| --- | --- |
| Name of Organisation  |  |
| Project Role (e.g., sponsored, funded, or commissioned by DfE or other organisations) |  |
| Data Protection Role on project (e.g. Controller, Joint Controller, Processor) |  |
| Relation to the organisation that will sign the MoU, Commercial Contract or DSA with DfE and details of any contracts, agreements etc. in place. |  |
| Business Address of the organisation |  |
| Primary Contact including name, position, telephone number, email address |  |
| Secondary Contact including name, position, telephone number, email address |  |
| Data Protection Officer name, business email address, telephone number, business postal address |  |
| ICO registration number and registration expiration date. If registration expires within the next 3 months, please confirm that this will be renewed. |  |

### Any organisations that have a project role but do not require DfE personal data

This section must be completed for any other organisations not already detailed above that have a project role but do not require DfE personal data.

Provide details of all other organisations that are involved in the success of the project but do not need a direct supply of DfE personal data or access to DfE personal data in ONS SRS

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| Name of organisation | Primary contact name, role / position, email address | Relationship with other organisations on this application form |
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## Section 8 – Lawful basis

### Lawful Basis

[All applicants (except DfE teams) must answer this section. DfE teams move to next section]

We need further information on your lawful basis for processing personal data received from DfE and, where appropriate, the condition you meet for processing any DfE special category data to allow us to draft the data sharing agreement (for private companies and public bodies) or Memorandum of Understanding (for crown bodies) if your request is approved.

Please note, it is not for DfE to determine the validity of your selected lawful basis and all parties to the data sharing agreement will be responsible and accountable for their own compliance with data protection legislation. If you are unsure which lawful basis applies, please check your own Data Protection Impact Assessment (DPIA) and / or consult with your Data Protection Officer.

Select the lawful basis that you will rely upon for the processing of DfE personal data as part of your project (select one only).

Consent

Contract

Legal obligation

Vital interests

Public task

Legitimate interest

Where legitimate interest is being relied upon, please confirm the following:

 you have completed a [Legitimate Interest Assessment](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/legitimate-interests/) (LIA) and have embedded your LIA into this application form

 you have decided to rely on legitimate interest having identified that no other lawful basis applies.

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Where special category data is being processed, select below the condition you meet for processing DfE special category personal data as part of your project.

Not Applicable (N/A)

Explicit consent

Employment, social security, and social protection

Vital interests

Not-for-profit bodies

Made public by the data subject

Legal claims or judicial acts

Reasons of substantial public interest

Health or social care

Public health

Archiving, research, and statistics

Where criminal offence data is linked to DfE data and being processed as part of this project, select below the condition you meet for processing criminal offence personal data as part of your project

Not Applicable (N/A)

Official authority

Specific condition in Data Protection Act 2018 (DPA), Schedule 1

Where a Specific Condition is relied upon, please provide details of which condition applies and how it applies.

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### Status of DfE DPIA

[This section must be completed by DfE teams that are applying for DSAP approval]

You need to provide the status of the DPIA you have submitted to Office of the DPO via the [DPIA Portal](https://educationgovuk.sharepoint.com/sites/lvewp00158/SitePages/DPIA.aspx).

In Progress

Complete

Where it is in progress, please provide details.

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Where it is completed, please provide the completion date, name of the ODPO case worker and any outcome provided to you by ODPO.

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### Check and Send

Prior to returning this form, please check the following:

**Section 1 – Purpose**

|  |  |  |
| --- | --- | --- |
| **Action** | **Done?** | **N/A?** |
| All applicants to complete this section | [ ]  | [ ]  |

**Section 2 – Data**

|  |  |  |
| --- | --- | --- |
| **Action** | **Done?** | **N/A?** |
| All applicants to complete this section | [ ]  | [ ]  |
| Evidence submitted: relevant DfE personal data – metadata tables | [ ]  | [ ]  |

**Section 3 – Ethics**

|  |  |  |
| --- | --- | --- |
| **Action** | **Done?** | **N/A?** |
| Ethics & Research Methodology – all applicants  | [ ]  | [ ]  |
| Commercial consideration – any applicants whose project will be using DfE personal data for commercial gain | [ ]  | [ ]  |
| Evidence submitted: Ethical approval body documentation or UKSA Ethics Self-Assessment form (latter is mandatory if no other ethics evidence is available) | [ ]  | [ ]  |

**Section 4 – ONS SRS**

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| **Action** | **Done?** | **N/A?** |
| All applicants to complete this section | [ ]  | [ ]  |

**Section 5 – Direct Supply**

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| **Action** | **Done?** | **N/A?** |
| Those applying for a Direct Supply of DfE personal data to complete this section | [ ]  | [ ]  |
| Evidence submitted: ISQs for each organisation to receive DfE personal data & other supporting evidence (e.g., security policies) | [ ]  | [ ]  |

**Section 6 – Individuals Requiring Access**

|  |  |  |
| --- | --- | --- |
| **Action** | **Done?** | **N/A?** |
| Contact details of those who will be using the data (through Direct Supply or via ONS SRS) to complete this section. | [ ]  | [ ]  |
| Evidence submitted: your organisation’s policies regarding appropriate background checks for those individuals processing DfE personal data through a direct supply data share.  | [ ]  | [ ]  |
| Evidence submitted: DBS certificates for those organisations that currently do not carry out checks for a criminal record (unspent convictions only) | [ ]  | [ ]  |
| Evidence submitted: Copies of agreements provided | [ ]  | [ ]  |

**Section 7 – Data Protection Roles**

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| --- | --- | --- |
| **Action** | **Done?** | **N/A?** |
| All applicants to complete relevant questions. | [ ]  | [ ]  |
| Evidence submitted: ICO exemption if relevant | [ ]  | [ ]  |

**Section 8 – Lawful Basis**

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| --- | --- | --- |
| **Action** | **Done?** | **N/A?** |
| All relevant applicants to complete this section | [ ]  | [ ]  |
| Evidence submitted: Legitimate Interest Assessment (LIA), if relevant | [ ]  | [ ]  |

### Communications from DfE

Answer this question if you would like to receive communications from DfE (e.g., regular newsletter, ad hoc messages relating to service updates and/or notifications). We would also like to offer you a mechanism for providing feedback on our service.

If you would like to opt into this service, please provide an email address of one person in the organisation that DfE could use as the main contact for DfE communications.

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### Declaration

The information contained in this Application Form is true, correct, and complete. I understand that any misrepresentation or incorrect information may lead to a delay in handling your application.

To be signed by the independent controller that will sign the DSA or MoU with DfE.

|  |  |
| --- | --- |
| **Signature** |  |
| **Name** |  |
| **Organisation Business Address** |  |
| **Date (DD/MM/YYYY)** |  |

Where DfE is the controller that is sharing personal data with DfE’s processor under contract, this section must be signed by the DfE contract manager.

|  |  |
| --- | --- |
| **Signature** |  |
| **Name** |  |
| **DfE Directorate, Division and Team** |  |
| **Date (DD/MM/YYYY)** |  |

**Thank you. Please submit your form to** data.SHARING@education.gov.uk

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1. DfE data sharing service covers all requests for personal data from DfE, Education and Skills Funding Agency (ESFA), Teaching Regulation Agency (TRA), Standards and Testing Agency (STA) and Linked Data (National Pupil Database, Individualised Learner Record and Higher Education data [↑](#footnote-ref-1)