

Data Analyst Template 4 – The Employer Reference

Apprentice details

Name	Daniel Bearcroft
ULN number	8118998346

Training provider details

Contact name	
Company name	Corndel
Company address	315 Highgate Studios, 53-79 Highgate Rd, London NW5 1TL

Employer details

Name	UBS
Company address	5 Broadgate Circle London EC2M 2QS

Signed by:

Print Name: **Laura-Louise White**

Job title: **EMEA Head Global Banking Operations, Group COO**

Date:

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Section 1

Technical competence evaluation

Please provide your evaluation of the technical competence of the apprentice using the tables below. Under each heading is a list of activities that a competent apprentice should be able to demonstrate.

Please indicate your assessment of each competency using the checkboxes, and then provide an overall evaluation of the apprentice's technical competence

Competence – Gather Data

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Identify, collect and migrate data to/from a range of internal and external systems?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in gather data?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel collects and works data from numerous of UBS' systems as part of his BAU work as well as sourcing data as part of his data analyst projects.
- He uses a number of different UBS systems to collate data from on a daily basis:
 - Entity Master (The client legal master system)
 - MasterFiles (Accounts master system and credit aggregator system)
- He uses a number of different tools to collect data directly from these systems :
 - Desktop Intelligence Business Objects
 - Macro strategy.
- He has helped create and maintain an internal database for request capture in offboarding.
- He has collected data from external sources
 - Kaggle
 - Government websites
- These have been used as part of this data analyst practice and for this project submissions.
- He also provides ad-hoc data requests to senior management on a regular basis. This could be revenue data, activity data or offboarding request status information which is sourced from numerous different UBS systems.

Please continue on a separate sheet if required.

Competence – Manipulate and Link Data

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Manipulate and link different data sets as required?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in manipulate and link data?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel is able to link and manipulate a number of different data sets using different techniques and using different software.
- He is very efficient in Excel using VLOOKUP and INDEX MATCH functions alongside more advanced nested function logic (AND/ OR statements within multiple nested IF functions).
- He has been involved in the development, and maintenance of macros that are being used on a daily basis by the entire team. These were coded in Visual Basic.
- As part of his data analyst projects he has used Python to manipulate, clean, and merge data frames as part of his practise and project submissions.
- Examples of this include dropping columns, creating new variables with specific columns, creating new variable's with specific attributes included only. Evidence of this can be found in Daniel's regression, and time series analysis projects.

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Competence – Interpret and Apply Security Standards

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Interpret and apply the organisation's data and information security standards, policies and procedures to data management activities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in interpret and apply security standards?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- On 11th April 2019, Daniel completed the UBS training module " Information Security and Records Management" affirming his ability to understand and apply the company's data security policy.
- On 10th July 2019, he also completed the "Cyber Security & Social Engineering" training module.
- On 22nd May 2018 he completed the " Understanding CID and policy-compliant data" training module.
- He has actively practised this by masking all Client Identifying Data (CID) when submitting projects for his data analyst course when using internal data. An example of this can be found in his classification project.
- When working with offshore teams he has remained vigilant about potential issues relating CID and was involved in making sure when the team was using a vendor in India, all CID data was stripped out before being handed over for analysis.

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Competence – Acquire Data from Different Sources

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Collect and compile data from different sources?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in acquire data from different sources?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has collected data from a number of different sources internally and externally.
 - He has used UBS' internal systems to collect client and account data and this was used his regression and clustering projects.
 - He has used Kaggle to collect public domain data about Santander bank complaints to use in his classification project.
 - He has used census web-site to collect demographic information for use in practising his clustering analysis based on the population on Haringey council
- He has followed recommendations for data extraction from the public domain and for the bank complaint data sourced that himself using Google and extracted from Kaggle

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Competence – Perform Queries

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Perform database queries across multiple tables to extract data for analysis?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in perform queries?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has performed database queries across multiple tables to extract data as part of the SQL module his data analysts course.
- He has also used internal reporting functionality to pull data from a number of different tables as part of the Entity Master system. This was done in order to assist the Know Your Customer (KYC) function identify their book of work for 2020. This is based on clients that are inactive in the legal entity master system, what clients are out of KYC review, and what clients were currently in the offboarding pipeline.
- He has also used Python libraries such ‘pandas’ and ‘numpy’ as to pull data to different data frames and merged in them to create a sole data frame for manipulation and analysis as part of his association rules practise module. Daniel has also done this as part of his time series analysis project when predicting the potential amount of requests the offboarding team will be receiving in the next three months.
- He uses Excel to bring together data from the two request capture systems in order to create more meaningful metrics and insight based upon the age of request, priority rating and the principal place of business in order to split the pipeline by geographic region.

Please continue on a separate sheet if required.

Competence – Perform Statistical Analysis

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Perform routine statistical analyses and ad-hoc queries?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in perform statistical analysis?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel performs routine analysis and ad-hoc query analysis as part of his day to day work.
- He has recently provided a breakdown of the rejection rates for requests we get from our KYC function and used this to demonstrate there has been a reduction in 2019 compared to 2018.
- He has also helped provide management information regarding which teams are answering the most queries and processing requests using PivotChart functionality in Excel.
- He has also developed new functionality into the SharePoint based request capture table to automatically generate statistics on how long cases are spending in the two different parts of the offboarding process. He has used SharePoint list functionality with formulations as characteristics of this column to achieve this.
- He also is relied on my Financial Crime to provide ad-hoc analysis on the client data setup on clients of interest. This routinely involves navigating the numerous client hierarchies and merge the data to provide a complete view of account information, what products and vetting standards clients are entitled to and if any client obligations (such as outstanding long-dated positions) exist.

Please continue on a separate sheet if required.

Competence – Apply Techniques

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Use a range of analytical techniques such as data mining, time series forecasting and modelling techniques to identify and predict trends and patterns in data?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in apply techniques?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has created a time series analysis forecasting the amount of offboarding requests we are expected to receive in the next three months. This can be used to determine the number of resources which will be required over the Christmas period to make sure we are not understaffed. He has used an ARIMA model to analyse the number of requests the team have processed.
- As part of his classification project, Daniel has also created a classification model to classify customer complaints using a random forest classifier model. This was then used to create a decision tree based on the model's output.
- As part of the data analytics project, Daniel has produced a clustering analysis project based on offboarding data. This has been used to help identify trends in the data around the average length of time it is taking to offboard different priority cases.
- Daniel has also enhanced the request tracker to provide statistical information on how long each case takes to get through the two different parts of the offboarding process. This will allow the team to look into more detail about which requests are on average taking the longest and redeploy resources and focus to make the process for these inputs more efficient.

Please continue on a separate sheet if required.

Competence – Performance Dashboards and Reports

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Assist production of performance dashboards and Reports?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in performance dashboards and reports?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has assisted in creating the offboarding risk pack which is presented in the global risk meetings. This report contains the age range of the offboarding pipeline along with a split by geographical region.
- Daniel has also helped create the offboarding rejection report. This is sent to KYC on a weekly basis. The report contains the accumulated rejections year to date along with the rejection reason and a contact who the KYC team can reach out to. This is important as the KYC team uses this information to identify new business sponsor who can take responsibility for the client relationship and help acquire the documents required for the KYC review.

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Competence – Data Quality Checking

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Assist with data quality checking and cleansing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in data quality checking?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has assisted with a number of data quality issues this year.
- As part of his data analytics course, he has on multiple times had to perform data clean up and data quality checking. The skills he has demonstrated involved dropping all null (NaN) values in data sets and converting string data types into integers, checking for missing data and converting dates into a DateTime object types.
- One of the key techniques Daniel has had to learn is how to clean header names in a data set to make referencing the headers easier. Dropping white space and using underscores to separate words has helped make coding a lot easier reduced the possibility for errors to occur.
- At UBS Daniel has also been working with the Data Management Office (DMO) in order to report data quality issues to system owners. An example of this is finding a client account in the account master system which is not linked to the client legal entity in the legal master system. This data quality issue means the KYC review might miss a vital check required for a country as the contracting entity is not feeding upstream properly.

Please continue on a separate sheet if required.

Competence – Data Visualisation and Presentation

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Apply the tools and techniques for data analysis, data visualisation and presentation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in data visualisation and presentation?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has helped produce a number of different data visualisation as part of his day to day work and as part of his data analyst projects.
- In the projects, he has produced a number of different charts in Python using the matplotlib, seaborn, plotly amongst other Python packages used.
- He has produced box plots, bar charts, line graphs, word clouds, histograms, scattergraphs. He has also produced some interactive plots.
- Outside of Python, Daniel has used Excel to create a number of graphs and pivot charts for different visualisations which are presented to the team, and the wider business.
- He has helped the team created pie charts to show the breakdown of different priority cases worked, line graphs and bar charts and visualisations related to throughput from the team and the impact this is having on the request backlog.

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Competence – Reports

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Assist with the production of a range of ad-hoc and standard data analysis reports?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in reports?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has assisted in the KYC team in identifying what approvals are required by performing data analysis on account level attribute to determine what product and business division they belong to. This is an ad-hoc client data report which is produced upon request
- An example of this is when a client product is listed as “Data Migrated for MF”. This is a legacy issue when products were mastered in the MasterFiles systems. Daniel has used his domain knowledge and been able to link account attributes to particular products and as a result, has been able to link this product to a business division. The business division is the driver behind what approvals are required,
- In order to do this Daniel has had to perform account data analysis on the attribute data table and the contracting entity data tables found in the MasterFiles system.
- Daniel has developed a report which automatically updates from a SharePoint site. This report is used to record statistics on offboarding request capture process and contain information on how many requests each team member is processing on a daily/ weekly basis. This is important as the team has goals around this which must be met. This report uses a pivot table linked to an Excel table. The linked pivot chart has enhanced simple record-keeping into actionable data analysis. This is then sent to senior management.
- The same data is also used to send information to the KYC teams regarding the most common reasons for offboarding to reject their request (e.g. offboarding form filled out incorrectly) which has been used to highlight where they focus on to improve the quality of their work.

Please continue on a separate sheet if required.

Competence – Summarise and Present

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Summarise and present the results of data analysis to a range of stakeholders making recommendations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in summarise and present?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel has developed his public speaking and presenting in the last 18 months.
- He presented the offboarding team's end of year achievements pack to offboarding management at the end of 2018 and his confidence in public speaking has increased throughout the year.
- In June 2019 Daniel won joint best speaker and best use of argument in the UBS broadly speaking debate competition.
- Daniel is now a lot more confident at presenting data analysis to the business and can answer challenges and questions. He is more confident with his data analysis knowledge can explain why a result has been produced.
- He has been involved with the data analysis and creation of the annual offboarding team achievements pack. In 2019 Daniel has worked with the team's newest graduate talent program member. Daniel has been training team member on how to present and interpret the data and coaching them on public speaking in order to make sure they are confident and can understand the underlying data so they can address any questions senior management might have,

Please continue on a separate sheet if required.

Competence – Work with Data Architecture

In your view, is the apprentice competent to:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Works with the organisation's data architecture?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's competence in work with data architecture?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of competence in this area.

- Daniel is very much at ease navigating the UBS data architecture. He can translate the different data points and hierarchies with confidence. On a daily basis, Daniel has to understand the connections between the legal entity system “Entity Master” and the accounts system “MasterFiles” in order to confirm clients have been offboarded completely.
- Daniel is also not afraid to investigate and ask for help from SMEs when investigating issues and has worked closely with technology teams working within the architecture as he leads the effort from offboarding to automate a number of manual repeatable processes.
- Daniel is also a UBS certified robot developer using Automation Anyone so is used to the development, UAT and production environments, and the requirements and process to make sure code can be moved between each environment without any major risk issues.

Please continue on a separate sheet if required.

Section 2

Behaviours, business skills and level of responsibility evaluation

Please provide an evaluation as to the level of responsibility of the apprentice you are providing a reference for using the tables below. Under each heading is a list of proficiencies that a competent apprentice should display. Please indicate your assessment of the apprentice's proficiency using the checkboxes, and then provide an overall evaluation of the apprentice's proficiency.

Proficiency – Business Skills

In your view, is the apprentice proficient at:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Demonstrating an analytical and systematic approach to issue resolution?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Taking the initiative in identifying and negotiating appropriate personal development opportunities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Demonstrating effective communication skills?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contributing fully to the work of teams?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Planning, scheduling and monitoring own work (and that of others where applicable) competently within limited deadlines and according to relevant legislation, standards and procedures?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Appreciating the wider business context, and how own role relates to other roles and to the business of the employer or client.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's business skills?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of proficiency in this area.

- Daniel has good business skills and is very personable. He is very open to collaborating with other teams. He is very keen on personal development and is always encouraging his team to take any opportunities that might be available.
- He has always been transparent and open with any issues he has had with this course and other issues related to his professional work. When facing problems he has laid out the courses and potential solutions. He has set deadlines in order to try and overcomes these issues, and usually successful.
- Daniel took the initiative when seeking personal development opportunities. He was responsible for finding and signing up this data analyst course. He has remained independently motived to complete this course.
- Daniel communicates in a clear way and has learnt not to come across as too emotive when challenging opinions and analyses. As mentioned previously he has been working on his communication and public speaking skill in workshops and via the UBS broadly speaking debate session.
- Daniel leads a team of five business analysts and has been successful in helping them achieve their goals, as well as his own for 2019.

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- Daniel has improved his organisational skills a lot over the last 18 months and as such developed his ability to delegate, however, this can be continued to be improved upon. He is very open when he has deadlines and is aware of why they need to be met.
- He also manages two processes that are tested against Key Process Controls (KPCs) which are reported on a quarterly basis to global risk meetings. One relates to the monitoring of accounts related to Financial Crimes cases and the other is a four-eye check on work that could impact the business if it's performed incorrectly.
- Daniel is aware of how his role fits into the wider business context. He was key in setting up a number of working groups with stakeholders from various departments in the business. He understands the importance offboarding has in the client lifecycle and why this function is of utmost importance in hitting regulatory targets and managing internal risk factors.

Please continue on a separate sheet if required.

Proficiency – Complexity

In your view, is the apprentice proficient at:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Performing a range of work, sometimes complex and non-routine, in a variety of environments?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Applying methodical approaches to issue definition and resolution?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Undertaking all work in accordance with agreed safety, technical and quality standards, using appropriate methods and tools.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's proficiency at handling complexity?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of proficiency in this area.

- Daniel can handle complex situations and arguments. He has an analytical thought process which allows him to deconstruct arguments and create solutions for problems which are fair to involved parties. This has been evidenced with his work with other teams within the Client Lifecycle Management (CLM) area. He has worked closely with the onboarding teams when they have issues with client accounts that have prevented the enrichment of their vetting standards. Figuring out what parts of an account need to be deactivated in order to fix data quality issues requires complex analysis which has to be communicated to interested parties in the business in a simplified way.
- Identifying a problem and how to fix it, whilst not impacting the business is a key skill required to be a subject matter expert (SME) in the offboarding world and Daniel's methodology and logical approach has been very beneficial to the team.
- He works within the required standards of UBS and demonstrates the values of the company on a regular basis. As previously mentioned he has taken a number of training sessions which are required to make sure he worked to the required standards. He has been very careful to stick to the required data management standards and made sure all CID was removed before submission of this projects (see Daniel's regression and time-series analysis projects for evidence).

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Proficiency – Autonomy

In your view, is the apprentice proficient at:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Working under general direction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Using discretion in identifying and responding to complex issues and assignments?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Usually receiving specific instructions and has work reviewed at frequent milestones?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Determining when issues should be escalated to a higher level?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's proficiency to work autonomously?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of proficiency in this area.

- Daniel can work very well under the direction and is also a motivated self-starter as evidence in his ability to complete the practice and project work required for this data analysis course.
- He has proved discretion working with Financial Crime on potentially difficult issues. Offboarding receives requests to remove clients from the bank's platforms that may have breached regulatory requirements or have negative publicity. He has been able to work with the Financial Crime team to get these cases completed within the 15-day service line agreement (SLA) on a regular basis.
- We have a weekly one to one session to discuss milestones and feedback and at the end of every calendar, as part of the Core Cycle process, has a formal feedback session delivered by his line manager which contains feedback from colleagues, stakeholders, and his own direct reports.
- Daniel had a tendency to work on issues when escalation might be needed however he has improved his awareness of when escalation should occur and has had no issues regarding this recently. An example of this in action is Daniel escalating the issues around the offboarding Client Lifecycle Management Tool (CLMT) not getting any priority from the business in regards to enhancements or development at the end of 2019. This issue was escalated to senior management and compromise with the different interests and technology is currently being negotiated in order to the offboard team to potentially get development on the most urgent outstanding issues which are affecting the performance of CLMT

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Proficiency – Influence

In your view, is the apprentice proficient at:	The apprentice has MET this requirement	The apprentice has EXCEEDED this requirement	The apprentice has NOT MET this requirement
Interacting with and influencing colleagues?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Having working-level contact with customers, suppliers and partners?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supervising others or make decisions which impact the work assigned to individuals or phases of projects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Making decisions which influence the success of projects and team objectives?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- **Met** – you have observed this behaviour in the apprentice most of the time.
- **Exceeded** – you have observed this behaviour in the apprentice all of the time.
- **Not Met** – you have not observed this behaviour in the apprentice.

What is your overall evaluation of the apprentice's ability to influence?

Please give reasons, together with supporting examples, why you think the apprentice has demonstrated this level of proficiency in this area.

- Daniel is very good at working with other people and helping influence them. He manages a successful team of five analysts and they all have an excellent working relationship with him.
- He has overseen a number of projects this year and had to make decisions which will impact his team. He is quick to seek out information to inform his decision and make a decision based on this.
- His knowledge of the system setups and the offboarding process has led to a very successful 2019

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Section 3

Professional development

A number of professional development activities have been identified as part of the SFIAplus framework to help career development. These activities have been associated with the various levels of responsibility, and the activities listed in the table below represent those that are appropriate for an infrastructure technician apprentice.

In your view, is the apprentice undertaking any of the following professional development activities:	The apprentice is demonstrably undertaking this activity	The apprentice is NOT demonstrably undertaking this activity
Participating in group activities inside or outside the working environment that can assist with the development of interpersonal skills?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Undertaking pro bono (unpaid) activities that can help to develop professional skills or offer additional insight into, or understanding of, their working role?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Undertaking learning in subjects relevant to, but not directly related to, their role (e.g. foreign language courses, mentoring skills, cultural awareness and diversity training), perhaps through self-study or evening classes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gaining basic knowledge of the employing organisation, its business, structure, culture, products/services, operations and terminology?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gaining knowledge of IT activities in the employing organisation external to their function?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Exploring a topic that is not part of their normal responsibilities, and presenting findings to colleagues and/or management?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Attending meetings, seminars and workshops organised by a professional body and reading published material such as journals and web content?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Undertaking learning and practice in the techniques of team and collaborative working. Gaining an understanding of the underlying concepts?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Undertaking learning and practice in oral and written communications, including report writing and presentations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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What is your overall evaluation of the apprentice's ability to undertake wider professional development?

- Daniel has demonstrated a number of ways in which is to undertake wider professional development
- Daniel has volunteered in the community a number of times this year
- He also tracked the volunteer status of all team members and this led the team to become the first team in Group Operations to have every member volunteer
- Dan has attended a number of technology and data related talks and events throughout the year. Automation seminars and demonstration lead by the UBS evidence lab around the field of data science.
- Dan has been learning Spanish on his own via the Duolingo app on his smartphone
- Dan has attended a number of different meetings and coffee corners led by different parts of the business to learn how the company is structured and how the different functions in operations interact with each other
- Dan has also taken the “Line Management Effectiveness” course to expand and improve his management skills.

Please continue on a separate sheet if required.

Section 4

Overall impressions and constructive feedback

This section is an opportunity for you to provide written feedback outside the rigid competency structure.

It is a free text field to allow you to share general thoughts on the apprentice's performance in case you were unable to say everything you wanted to say using the structured template. For example, you may want to highlight some of the areas where you have not been able to give the apprentice the exposure they would have liked.

We would welcome any general constructive development advice you may wish to give.

Daniel has been passionate about his Data Fellowship Course and has also kept me updated on his progress from the start.

He has been good at taking time to understand and re-evaluate himself when required on regular occasions of his own progress and reflect on what he needs to do in order to meet his deadlines.

He has met his course deadlines which is great to see and his regular catch up with his mentor seemed very beneficial for him.

It was good for Daniel managing his time during the course. He has taken the time to work on his course in conjunction with his current workload which is very challenging due to the demands of the work.

Overall I think Daniel has done well overall in getting this over the line.

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