



**GENERATION
APPRENTICESHIP**
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Quality assurance of national craft apprenticeships



Craft Apprenticeship Assessment Rules

2023

Preface

The *Craft Apprenticeship Assessment Rules* is a live document which will be enhanced and updated in response to unit, organisational and policy changes regarding craft apprenticeship. The most up to date version can be accessed on the SOLAS intranet via the Apprenticeship Services Unit page.

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1 Introduction

This document was prepared by SOLAS and contains the rules that govern craft apprenticeship assessment. Craft apprenticeships are programmes of education offered by SOLAS and delivered by a range of collaborating providers (ETBs, IoTs and TU). The document applies to all **craft apprenticeship** assessment activities conducted by collaborating providers.

These rules recognise the heterogeneity of apprenticeship collaborating providers. In many circumstances, the collaborating providers own policies and procedures may be used, with the exception of those within the *Craft Apprenticeship Assessment Rules* document and the *Craft Apprenticeship Quality Assurance Manual*. Where there is conflict between a collaborating providers own policies/procedure, those of SOLAS take precedent.

It is the responsibility of the collaborating provider to familiarise themselves with these rules and alert SOLAS of any non-conformances.

Non-conformance with the requirements outlined in this document or any of the above-listed documents constitutes a non-conformance with SOLAS quality assurance policy and procedure.

The rules will be reinforced through either SOLAS contractual arrangements or via a Memorandum of Understanding/Service Level Agreement, which indicates that the collaborating provider subscribes to the *Craft Apprenticeship Assessment Rules*.

2 Craft Apprenticeship Assessment Policies

The policies in this section pertain to both SOLAS and the collaborating providers who deliver craft apprenticeships.

The following are SOLAS policy:

- The setting of assessments is the sole responsibility of SOLAS
- All assessment materials set and prepared on behalf of the provider shall be the property and copyright of SOLAS
- All learners following courses shall be required to undertake such assessments as may be prescribed for the course. In particular the course document/schedule shall set out the scheme of assessments and the assessment criteria for each module component in each phase of the course
- Learners who have failed to reach the standard on a modular assessment may repeat this assessment during the phase if possible. If not possible, alternative arrangements will be made
- Collaborating providers shall be the authority for the confirmation of assessment results. All results pertaining to assessments shall be presented and formally approved through Results Approval Panel
- Organising and implementing the agreed assessment process, determining results and conducting assessments shall be the responsibility of the provider

- Where results are published in the public domain, examination numbers rather than names will be used
- Examination assessment procedures used are fair, consistent and are compliant with the requirements of QQI
- Learners shall, in relation to their course:
 - Comply with any course requirements and ensure that they are familiar with assessment dates and the location of the assessment location

Prior to, and throughout the assessment process, the collaborating provider shall:

- Provide SOLAS with access to their QA policies and procedures pertaining to assessment
- Follow the SOLAS policies/procedures within this document
- Follow agreed schedules for examination
- Implement procedures for the assessment of learners, which are fair and consistent
- Assign relevant assessment duties to designated assessment personnel
- Ensure assessment duties are carried out in a way that preserves the integrity of the assessment process, assessment instruments, assessment evidence and assessment records are made available for authentication purposes
- Complete and sign-off all relevant assessment documentation in a timely manner
- Make records available in line with current legislation
- Always respect the rights of apprentices and ensure they are treated with confidentiality, fairness, courtesy and dignity. In carrying out their duties assessment personnel do not engage in any activity that constitutes bullying, harassment, or discrimination
- Provide apprentices with feedback on any aspect of the programme/assessment in a timely, accurate and constructive way
- Declare and manage any conflict of interest. Conflict of interest in the assessment process refers to any situation which compromises, or appears to compromise the objectivity of personnel involved in the assessment process (e.g. conducting an assessment in which a family member or friend is being assessed / the same person undertaking the conduct and verification of the same assessment)
- Send any feedback from apprentices pertaining to assessment to SOLAS Apprenticeship Services via cadu@solas.ie

3 Planning Assessment Events

Apprenticeship assessment schedules for phase 2 (devised by the collaborating provider) and phases 4 and 6 (devised by SOLAS) for each apprenticeship programme are required to specify the off-the-job phase, the date, the time and location of a named assessment and at what stage in apprenticeship programmes the assessment takes place. Collaborating providers are required to brief apprentices on this issue and other pre-assessment information including:

- Information on appropriate assessment for the programme e.g. Skills-Demonstrations, Practical Assessments, Theory examinations, Reflective Journal, Projectwork, Assignments
- Outline the expected standards of attainment for particular grades, the marking criteria used to achieve grades and the weighting and duration of assessments¹
- State when and how apprentices will be informed of assessment outcomes
- Indicate when performance feedback will be provided to apprentices
- Include information on the three strike rule, what constitutes an attempt and the repeats and appeals processes

4 Results Approval Panel/Exam Boards

Collaborating providers must have in place, policies and procedures for the formal approval of assessment results.

Collaborating providers must upload assessment results to SOLAS, no later than 15 days following the conclusion of a Results Approval Panel/Exam Board.

4.1 Special Arrangements for IoT/TU Exam Boards

- A SOLAS representative (i.e. Authorised Officer/Senior Training Advisor) should attend all Exam Board meetings relating to phase 4, and 6 craft apprenticeship. This is arranged by the IoT/TU
- The role of this SOLAS representative is to observe procedures relating to the assessment process
- The SOLAS representative will be briefed in advance on the examination process used by the IoT/TU. The SOLAS representative will not contribute to the determination of individual results and will not have voting rights at examination board meetings
- SOLAS representatives are invited at the examination board meeting to make observations to the Chair of the Examination Board

¹ This information is currently not available to collaborating providers however SOLAS is working on a new programme and assessment strategy which will ensure access to the required information.

- All parties recognise the confidential nature of examination board meetings, and the duty of care to respect confidential issues relating to individual learners and individual academic staff. Within this context, the SOLAS representative will agree with the Chair of the Examination Board, observations that will be notified by the SOLAS representative to their ETB Manager relating to the examination process
- ETB Manager for the region will communicate with the IoT/TU in relation to any issues identified that require action
- The ETB Manager will inform SOLAS via examsoffice@solas.ie of the afore mentioned issues

5 Assessment Event Regulations

Collaborating providers must have in place, policies and procedures for regulating assessment events. Such policies/procedures may include, but are not limited to:

- The use of mobile phones and smart watches
- Late entrance
- Provision of materials
- Absence
- Communication with other apprentices
- Emergency procedures (e.g. Evacuations etc.)

6 Marking of Assessments

Apprentice performance must be marked in accordance with directions outlined in the assessment marking instructions. These instructions are included in the programme document circulated to collaborating providers in advance of programme commencement.

Collaborating providers must have in place, policies and procedures for

- Collecting evidence of attendance at an assessment event
- Recording and processing results
- Verifying that evidence is apprentices own work

7 Assessment Authentication

Collaborating providers must comply with the internal verification and external authentication processes as described in the *Craft Apprenticeship Quality Assurance Manual*.

8 Reasonable Accommodation

Under the Equal Status Act (2000-2015) reasonable accommodations are practical changes which service providers must make so that people with disabilities can get and use all kinds of services on an equal basis with others.

Collaborating providers must have in place, policies and procedures for the provision of reasonable accommodation for apprentices.

Apprentices should self-declare a disability (i.e. learning difficulty, physical impairment) or the requirement for additional support to a SOLAS Authorised Officer at the time of registration and bring any necessary evidence before commencement of off-the-job phases. This information is flagged on class starter lists and instructors must discuss what accommodations an apprentice requires.

Should an apprentice not declare a disability at registration, but does so at a later time, the collaborating provider must ensure that efforts are made for reasonable accommodation throughout the remainder of their off-the-job assessments.

It is important that the standard of the assessment is not diminished through reasonable accommodation. Only the method(s) by which the apprentice demonstrates his/her attainment of the standard can be adjusted.

Apprentices should be informed by the collaborating provider, of operational details for provision of special arrangements for assessment at learner induction.

Supports that may be required include, but are not limited to:

- Readers/Writers (see Appendices A and B)
- Extra time. This is normally up to 25% of the prescribed duration of the assessment
- Rest breaks. These can be flexible according to an individual's needs and should not be deducted from the time allowed (where specified) to complete the assessment
- Split sessions. Splitting the assessment into two or more sessions may be appropriate in certain circumstances
- Sign language interpreters (see Appendix C)
- Enlargement to A3 size
- Printing in alternative colours
- Additional equipment as appropriate at the discretion of the collaborating provider

The following rules also apply:

- The provision of special arrangements will be determined by the collaborating provider in accordance with their procedures
- Where special arrangements were provided previously to a learner in another location, it is the responsibility of the learner to provide a copy of the relevant documentation to their current collaborating provider
- Where readers/writers are provided, the collaborating provider should arrange for their effective induction

9 Personal Circumstances

Collaborating providers must have in place, policies and procedures for supporting personal circumstances which apprentices believe may affect or have affected their performance at an assessment event. Personal circumstances as envisaged under this regulation are serious adverse factors including, but not limited to:

- Physical injury or emotional trauma during a period four to six weeks previously
- A physical disability or chronic or disabling condition such as epilepsy, glandular fever, or other incapacitating illness of the apprentice.
- Recent bereavement of close family member or friend
- Severe accident
- Domestic crisis
- Terminal illness of a close family member

10 Posthumous Award

In the event of an apprentice's death, results should be forwarded posthumously to SOLAS. A certificate may be issued depending on individual circumstances.

11 Repeats, Re-sits, Re-checks, Reviews, and Referrals

Collaborating providers must have in place, policies and procedures pertaining to the repeat, re-sit, re-check, review and referral of assessments.

Under the **Labour Services Act 1987 - Apprenticeship Rules 1994** apprentices may attempt each off-the-job assessment three times. The apprentice can request that the result be rechecked, reviewed and appealed to the relevant collaborating providers on each occasion. Thereafter, if the failure of the assessment has been confirmed by the relevant training provider on the third and final occasion, the apprenticeship shall be automatically terminated (Apprenticeship Code of Practice for Employers and Apprentices, p.9).

Definition of an attempt: An apprentice entering the examination hall or venue is required to sign an attendance sheet (register). Any apprentice who is registered and admitted to the examination hall or venue for the purpose of undertaking an assessment is deemed to have attempted an assessment. Non-attendance by any apprentice registered to sit an assessment without a reasonable explanation will be deemed to have attempted an assessment.

Apprentices should be facilitated in receiving feedback on their assessment, including the opportunity to view their marking scheme in a timely, accurate, transparent and constructive manner.

Collaborating providers should advise apprentices on the policies and procedures relating to repeats, re-sits, rechecks, reviews, referrals and appeals prior to assessment.

Repeats, re-sits and referrals should be conducted in the same conditions as the original assessment.

SOLAS should be notified of any change in status using examination result transfer procedures.

Below are the options available to apprentices who do not reach pass standards on an assessment.

11.1 Repeat

Repeats are classed as 2nd or 3rd attempts. They must take place a minimum of 5 days after the initial attempt. An equivalent assessment is selected by the coordinating provider, where applicable. Apprentices may appeal to the SOLAS Apprenticeship Appeal Committee to request a 4th attempt. Please see the *Craft Apprenticeship Quality Assurance Manual* and the *Apprenticeship Guideline 106* for more detail.

11.2 Re-sit

A re-sit is an opportunity to retake an assessment which had to be abandoned due to sickness or emergency. An equivalent assessment is selected by the coordinating provider, where applicable

11.3 Re-check

An apprentice can request a recheck if they believe their results were recorded inaccurately.

11.4 Review

An apprentice can request a review if they believe their assessment was marked inappropriately.

11.5 Referral

An apprentice is referred if they fail to reach the pass grade of 50% in and are eligible for a repeat. Such effort will be counted as an attempt.

11.6 Online Assessments

In the event of an online assessment having an issue arising relating to any of the above circumstances which is outside the remit of the collaborating provider, the provider should contact SOLAS Apprenticeship Services Unit via examsoffice@solas.ie

12 Non-attendance and Deferrals

Collaborating providers must have in place, policies and procedures pertaining to non-attendance, and deferrals.

13 Appeal of Assessment Results

Collaborating providers must have in place, policies and procedures pertaining to the appeal of assessments.

All processes should be documented and the documentation retained in line with section 16.

SOLAS should be notified of any change in status using examination result transfer procedures.

Apprentices who are unsuccessful in their appeals must be made aware of the mechanisms by which the appeal can be escalated.

13.1 Circumstances for Appeal

Appeals should be facilitated in the following circumstances:

- Apprentice believes that assessment results were recorded inaccurately (recheck)
- Apprentice believes that assessment was marked inappropriately (review)
- The assessment rules were not properly implemented
- Assessment conditions did not comply with the brief. An appeal on these grounds will be considered if the apprentice has reported the situation to the Assessor during or immediately after the test. This will be documented in the Assessor's report
- The rules did not adequately cover the apprentice's circumstances
- Compassionate or medical circumstances existed which were not taken into account
- Circumstances existed that may not have been covered by the assessment rules
- The apprentice believes that significant performance-related information was not considered by the assessor
- New information becomes available that was not available to the original assessor
- There is evidence of irregularity in the conduct of the assessment, which might have affected its outcome

13.2 On-the-Job Appeal

Apprentices wishing to appeal an on-the-job assessment result may initially raise their concerns with their employer assessor and/or verifier. They may also raise their concerns with the SOLAS Authorised Officer/ Senior Training Advisor and request an appeal of the recorded assessment result.²

² The current on-the-job appeal policy is an interim measure. SOLAS is currently reviewing the process as part of its overall quality assurance review.

14 Assessment Malpractice

Collaborating providers must have in place, policies and procedures for dealing with all forms of malpractice relating to assessment.

All instances of malpractice must be notified to the relevant person(s) within the collaborating provider.

Collaborating providers have a responsibility to ensure the integrity of assessment activity at all times and all alleged assessment system malpractices must be investigated and SOLAS notified.

All parties involved must know of their rights and obligations prior to any investigation taking place.

All collaborating providers have a duty to act fairly and must ensure:

- Investigations do not disadvantage the person against whom the allegation is made
- Care is taken to avoid conflict of interest
- All allegations, findings, appeals and sanctions are documented and kept on record (see section 16)
- Findings are adjudicated by a nominated member of senior management within the collaborating providers

The party/parties against whom an allegation is made should therefore:

- Be informed of the allegation
- Have the opportunity to consider the allegation and respond in writing
- Know what evidence exists to support the allegation
- Know the consequences should the allegation be proven
- Have an opportunity to seek advice and representation as necessary
- Be informed of the findings of the investigation in writing
- Be informed of all policies and procedures relating to malpractice including an appeals procedure, should a decision be made against him/her in writing
- Be informed that information relating to the malpractice will be shared with SOLAS

The collaborating provider must notify SOLAS Apprenticeship Services of the alleged malpractice investigation and its findings by emailing the form at Appendix A to examsoffice@solas.ie

This form must be copied internally to both the Apprenticeship Assistant Manager and the Quality Assurance Assistant Manager within SOLAS Apprenticeship Services Unit at the time of receipt.

14.1 Assessment Event Malpractice

Collaborating providers must have in place, policies and procedures for preventing and dealing with assessment malpractice

Examples of assessment malpractice activities according to QQI (2013, p.11) include, but are not limited to:

- Learner plagiarism i.e. Passing off someone else's work as the learner's own with or without their permission. This may involve direct plagiarism of another learner's work or getting another individual to complete the assessment activity
- Impersonation of another learner
- Fabrication of evidence
- Alteration of results
- Wrongly obtaining secure assessment material e.g. Examinations
- Behaving in any way such as to undermine the integrity of the assessment process

The collaborating provider must investigate all of assessment malpractice allegations of malpractice in accordance with their own policies and procedures. The following rules also apply:

- The investigation must not disadvantage a learner against whom an allegation is made
- The outcome of an assessment malpractice investigation should be included the external authentication report (*Craft Apprenticeship Quality Assurance Manual*)

14.2 Personnel Malpractice

Collaborating providers should have in place, policies and procedures for preventing and dealing with malpractice by personnel.

Examples of personnel malpractice include, but are not limited to:

- Failure of personnel to comply with assessment instructions
- Negligence which results in failure to prepare apprentices for an assessment
- Providing apprentices/unauthorised personnel with access to assessments or information relating to their content in advance of an assessment event
- Any deliberate action that compromises the validity of the assessment process

14.3 Appealing a Malpractice Finding

Collaborating providers must have in place, policies and procedures for the appeal of a malpractice investigation finding. The rules governing the original allegation, also govern appeals.

The person investigating the appeal must not be the original investigator of the malpractice allegation.

Examples of grounds for appeal include, but are not limited to:

- New information becoming available that was not available prior to the investigation
- The existing regulations do not adequately cover the circumstances of the alleged malpractice
- The sanctions for the alleged malpractice are considered excessively punitive
- The sanctions for the alleged malpractice are not in accordance with the SOLAS rules or the policies/procedures of the collaborating provider
- The alleged malpractice was not investigated in accordance with the SOLAS rules or the policies/procedures of the collaborating provider

The collaborating provider should notify SOLAS Apprenticeship Services of the appeal and its findings by emailing the form at Appendix B to examsoffice@solas.ie

This form must be copied internally to both the Apprenticeship Services Assistant Manager and the Quality Assurance Assistant Manager at the time of receipt.

14.4 Sanctions for Assessment Malpractice

Collaborating providers must have in place, policies and procedures for applying sanctions if appropriate, depending on the findings of an investigation.

The sanctions applied should be detailed in the forms at Appendix D or E when sent to examsoffice@solas.ie

14.5 Corrective/Preventative Action

Where any assessment malpractice is substantiated, or decision overturned by appeal, the collaborating provider will recommend corrective and/or preventative action.

The recommendations should be detailed in the forms at Appendix D or E when sent to examsoffice@solas.ie

14.6 On-the-job Assessment Malpractice

Instances of suspected malpractice arising during on-the-job assessments must be notified by the company assessor/verifier to their assigned SOLAS Authorised Officer.

14.7 Assessment Results and Certification Issues

It is imperative that the programme, the assessment system and the certification process is not unnecessarily compromised throughout, or in the aftermath, of an assessment malpractice investigation.

Apprentices must receive their certificates with minimal delay, following, and in accordance with, the investigation outcome.

In cases where certificates have already been requested or issued by the awarding body, the collaborating provider should inform SOLAS Apprenticeship Services Unit by email to examsoffice@solas.ie

This information must be sent to examsoffice@solas.ie and copied internally to both the Apprenticeship Assistant Manager and the Quality Assurance Assistant Manager.

14.8 Case Reference Code

All documentation related to malpractice must be sent with a case reference code. This code should start with the letters of the IoT/ ETB/TU e.g. KW followed by two zeros (00) and number denoting the case's place in the sequence. From October 2022, the first case submitted to SOLAS should be number 1, the second should be number 2 etc.

e.g. Case reference code KW001

15 Security of Assessments

Collaborating providers must have in place, policies and procedures ensuring the security of assessment material and its transportation. They must also have in place, policies and procedures for the secure marking, recording, recovery and retention of assessment material. The following rules also apply:

- All assessment material must be treated as confidential
- Only authorised persons may access assessment material
- Assessment papers must be printed and stored in a secure facility
- All assessment papers (used and unused), answer sheets and sample answers must be collected after an assessment event
- Unused assessment papers must be destroyed in a secure manner
- The relevant operations assistant manager in SOLAS must be informed in the event of a security breach (loss, theft, damage, disclosure etc.)
- In the event of a security breach, the SOLAS policies/procedures for assessment malpractice must be adhered to (see section 14)

16 Assessment Records

Assessment records refer to **any and all** documentation pertaining to an assessment event.

Collaborating providers must ensure:

- Assessment records are kept confidential in a safe and secure location with only authorised access to the data permitted
- Minutes of Results Approval Panels/Exam Boards must be kept indefinitely
- All assessment evidence must be retained in a manner that facilitates easy retrieval.
- Assessment evidence is retained until such time as all results have been approved, or in the case of results under appeal, the evidence is retained until the appeals process has been exhausted
- Disposal mechanisms for records must be secure and maintain confidentiality
- Accurate records of attendance, achievement, certification, malpractice and appeals must be maintained indefinitely

A disposal record of assessment records must be kept indefinitely, cataloguing the:

- Record title (e.g. Assessment records, assessment evidence)
- Record reference (e.g. Course code)
- Period record relates to (e.g. Contract period or course duration period)
- Date scheduled for disposal
- When (e.g. 6 years after the date of record closure)
- How disposed (e.g. Confidentially shredded)
- Authorisation for disposal (e.g. Name of manager that approved the destruction of the record)
- Date disposed (e.g. Actual date of disposal)
- Any other identifiers unique to the collaborating provider

17 Appendices

17.1.1 Appendix A

Notes on the use of readers

- A reader is a person who, on request, will read to the apprentice:
 - the entire or any part of the examination paper or coursework material
 - any part of the apprentice's answers
- A reader may also act as a writer
- The use of a reader should not give an apprentice an unfair advantage nor should it create further difficulty for the apprentice
- The use of a reader must not modify the modular assessment content or any specific modular assessment requirements
- Additional time will be permitted for the use of a reader and will normally be up to 25% of the prescribed duration of the modular assessments
- A reader should be a responsible adult who is able to read accurately and at a reasonable rate
- A reader is appointed by, and responsible to, the collaborating provider
- A reader should not normally be the apprentice's own Instructor/Lecturer but there may be circumstances in which it is necessary to use the apprentice's own Teacher/Lecturer. Only in exceptional circumstances, and subject to the approval of the collaborating provider, may a relative of the apprentice be used as a reader. The reader may also act as the invigilator where small numbers of students are accommodated in a room
- An apprentice should wherever possible have had adequate practice with a reader
- Apprentices using the services of readers should be accommodated separately to avoid disturbing other apprentices. However, several such apprentices attempting the same paper or assessment may be accommodated together with a single reader
- During an assessment a reader:
 - Shall not give factual help to the apprentice nor offer any suggestions
 - Shall not advise the apprentice regarding which question to attempt when to move on to the next questions, or the order in which the questions should be completed. Instructions given on the question paper are repeated only when the reader is specifically requested to do so by the apprentice
 - Shall read accurately and read only the rubrics and questions
 - Shall not expect to read throughout the modular assessment as the apprentice may require supervised rest breaks during the modular assessment
 - Shall immediately refer any problem in communication during the modular assessment to the Invigilator

17.1.2 Appendix B

Notes on the use of scribes

- Apprentices are eligible to dictate their answers to scribes if they suffer from long term or temporary disabilities that prevent them from communicating by any other means. A scribe may also act as a reader
- The use of a scribe should not give a apprentice an unfair advantage nor should it further disadvantage the apprentice
- The use of a scribe must not modify modular assessment content nor any specific modular assessment requirement
- Additional time will be permitted for the use of a scribe and will normally be up to 25% of the prescribed duration of the modular assessment
- A scribe should be a responsible adult who is able to produce an accurate record of the apprentice's answers, who can write legibly and at a reasonable speed
- A scribe is responsible to and must be acceptable to the collaborating provider
- A scribe should not normally be the apprentice's own Teacher/Lecturer but there may be circumstances in which it is necessary to use the apprentice's own Teacher/Lecturer. Only in exceptional circumstances and subject to the approval of the collaborating provider, may a relative of the apprentice be used as a scribe
- An apprentice should wherever possible have had adequate practice with a scribe
- An apprentice using the services of a scribe must be accommodated in such a way that no other apprentice is able to hear what is being dictated
- During an assessment a scribe:
 - Shall not give factual help to the apprentice nor offer any suggestions
 - Shall not advise the apprentice regarding which questions to attempt, when to move on to the next question nor the order in which the question should be done.
 - Shall write down answers exactly as they are dictated
 - Shall draw or add diagrams and graphs strictly in accordance with the apprentice's instructions
 - Shall write in a correction on a typescript or Braille sheet if requested to do so by the apprentice
 - Shall not expect to write throughout the assessment as the apprentice may require supervised rest breaks during the assessment
 - Shall immediately refer any problems in communication during the assessment to the invigilator

17.1.3 Appendix C

Notes on sign language interpreters

- Sign language interpreters must be qualified to interpret sign (i.e ISL/ESL etc.)
- Only one sign language interpreter per apprentice can be used
- The assessment should take place in a separate room or area. Such provision may give rise to the need for extra assessment supervision personnel
- For transparency it may be necessary to record the assessment for translation later
- A signed response should be transcribed to print by someone proficient in sign language
- Any words or phrases re-interpreted for the apprentice should be underlined and noted in the question paper. Only in exceptional circumstances and subject to approval by the collaborating provider may a relative/ somebody known to the apprentice act as a sign language interpreter

17.1.4 Appendix D

Alleged Assessment Malpractice Report and Findings

Please scan, complete and return this form to SOLAS via examsoffice@solas.ie

- Part 1 to be completed upon receiving notification of alleged assessment malpractice
- Part 2 to be completed upon completing the investigation
- Any supporting documentation must also be submitted

Part 1

Case reference code	<i>This number should be used on all related documentation</i>
----------------------------	--

Collaborating provider details	
Collaborating provider	
Contact name	
Contact number	
Email address	
Position	

Programme details	
Named award	<i>e.g. Craft Certificate in Plumbing</i>
Code	

Assessment details	
Assessment date	
Assessment type	<i>e.g. Phase 2 practical</i>
Assessment title	
Description of alleged malpractice	<i>Specify the assessment procedure/rule which has been breached. Include details of any mitigating factors</i>
Date of alleged malpractice	
Number of apprentices impacted	
Nature of impact	

Notification details		
Notified by	<i>Who made the allegation?</i>	
Notified to	<i>Who have they lodged it with?</i>	
Method of notification	<i>e.g. in writing, verbally etc.</i>	
Original notification attached	Yes <input type="checkbox"/> <i>email/letter etc.</i>	No <input type="checkbox"/>
Notification date		
Party to be investigated notified	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Investigator details	
Name (s) of investigator(s)	
Contact number (s)	
Email address (s)	
Position (s)	
Comments	<i>Detail here, any information that might be deemed appropriate to the investigation</i>

Certification status at time of allegation (tick as appropriate)	
Certificates not requested and will not be progressed until process is concluded	
Certificates have not been issued and are to be retrieved and held pending outcome	
Certificates have not been issued and will be held until process is concluded	
Certification will not be impacted	

I, the notifier, confirm the above information is accurate	
Signature <i>only handwritten signatures accepted</i>	Date

Part 2

Investigation findings			
Name(s) of person (s) spoken to/met			
Evidence reviewed	<i>e.g. documents, assessments, verbal accounts etc.</i>		
Investigation findings			
Allegation upheld	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Partially <input type="checkbox"/>
Sanctions (if applicable)			
Corrective/preventative action			
Signature of investigator	<i>only handwritten signatures accepted</i>		
Date			

Adjudication details	
Signature of adjudicator	<i>This signature acts as a formal approval of investigation findings only handwritten signatures accepted</i>
Date	

17.1.5 Appendix E

Appeal of Assessment Malpractice Investigation and Findings

Please return this form to SOLAS via examsoffice@solas.ie

- Part 1 to be completed upon receiving notification of the appeal
- Part 2 to be completed upon completing the appeal investigation
- Any supporting documentation must also be submitted

Part 1

Case reference code	<i>Same code as original investigation report and findings.</i>
----------------------------	---

Appeal details	
Appeal application approved	Yes <input type="checkbox"/> No <input type="checkbox"/>
If application not approved, state reason	
Basis for appeal	<i>The full details of the notifier's basis for the appeal should be detailed here</i>
Supporting documentation attached	Yes <input type="checkbox"/> No <input type="checkbox"/>

Notification details	
Notified by	<i>Who is making the appeal?</i>
Notified to	<i>Who have they lodged it with?</i>
Method of notification	
Original notification attached	Yes <input type="checkbox"/> <i>email/letter etc.</i> No <input type="checkbox"/>
Notification date	
Party to be investigated notified	Yes <input type="checkbox"/> No <input type="checkbox"/>

Appeal investigation details	
Name (s) of investigator(s)	
Contact number (s)	
Email address (s)	
Position (s)	
Comments	<i>Detail here, any information that might be deemed appropriate to the investigation</i>

I, the notifier, confirm the above information is accurate	
Signature <i>only handwritten signatures accepted</i>	Date

Part 2

Appeal investigation findings			
Name(s) of person (s) spoken to/met			
Evidence reviewed	<i>e.g. documents, assessments, verbal accounts etc.</i>		
Appeal findings			
Original investigation decision upheld	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Partially <input type="checkbox"/>
Sanctions (if applicable)			
Corrective/preventative action			
Signature of investigator			
Date			

Adjudication details	
Signature of adjudicator	<i>This signature acts as a formal approval of appeal findings only handwritten signatures accepted</i>
Date	