

CONTROLLED ASSESSMENT – RISK MANAGEMENT PROCESS

NOVEMBER 2018



Risks and Issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead and make sure all controlled assessments are booked in the school calendar	Plan dates in consultation with school calendar - negotiate with subject leaders and SLT	SLT/Subject Leaders
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them	SLT/Subject Leaders
Accommodation			
Insufficient space in classrooms for candidates	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use more than one classroom or multiple sittings where necessary	SLT/Subject Leaders
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities		SLT/Subject Leaders

Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	Exams Officer/IT Department/ Subject Leader
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure sites well ahead of the controlled assessment schedule	Exams Officer/Subject Leader
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Exams Officer/Subject Leader
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		SLT/Subject Leader
Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources and supervision)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	SLT

Supervision			
Student study diary/plan not provided or completed (not all GCSE controlled assessments will require the completion of a study diary or study plans)	Ensure teaching staff are aware of the need for study/diary plans to be completed early in the course	Ensure candidates start, continue and complete study/diary plans that are signed after every sessions	Head of Department
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments		Head of Department
Task setting			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification	Seek guidance from the awarding body	Head of Department/Subject Leader
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Head of Department/Head of Centre

Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks	Exams Officer/Head of Department/Head of Centre
Candidates ' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	Head of Department/Subject Leader/Exams Officer
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the Centre	Exams Officer/Head of Department/Subject Leader
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline. Seek guidance from awarding body on further action.	Head of Department/Exams Officer
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead	Seek guidance from the awarding body	Exams Officer

Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign. Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed	Subject Leader/Exams Officer
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature. Ensure authentication forms are signed as work is marked.	Head of department
Marking			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing for marking. Plan for sampling of marking during the practice phase.	Arrange for re-marking. Consult the awarding body's specification for appropriate procedures.	Head of department
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, ie when and how this activity must be conducted	Check with the awarding body whether a late standardisation event can be arranged	Head of department/SLT

DOCUMENT REVISION

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