

Controlled Assessment Risk Management Policy

Date: September 2016
Renewal Date: September 2017

Controlled Assessment Risk Management Policy

The Controlled Assessment Risk Management Policy is available from the Exams Office.

The purpose of the Controlled Assessment Risk Management Policy is to ensure the operation of an efficient controlled assessments risk management system which is in the best interest of candidates with clear guidelines for all relevant staff.

It is the responsibility of everyone involved in the Controlled Assessment Risk Management system to read, understand, and implement the Controlled Assessment Risk Management Policy.

The Controlled Assessment Risk Management Policy will be reviewed every year.

The Controlled Assessment Risk Management Policy is next due for review on 1st September 2017.

The Controlled Assessment Risk Management Policy will be reviewed by the Deputy Head Teacher and the Exams Officer. Where references are made to JCQ regulations/guidelines, further details can be found at www.jcq.org.uk.

Risk	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	Senior leadership team Heads of department
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	Senior leadership team Heads of department
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary	Heads of department
Insufficient facilities for all candidates	Careful planning ahead and booking of facilities	Use more than one classroom or multiple sittings where necessary	Heads of department
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	Head of department Teaching staff IT support
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	Head of department Teaching staff IT support
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Head of department Teaching staff IT support Exams Officer

Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates. Where students are absent for an extended period due to illness reasonable consideration should be given to extend the deadline. Extensions should be in proportion to time missed and no unfair advantage gained	Head of department or Lead Internal Verifier to authorise and liaise with awarding body.	Head of department Teaching staff Exams Officer
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Heads of department Teaching staff Exams Officer
Student study diary/plan not provided or completed (where required)	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	Heads of department Teaching staff
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision		Heads of department Teaching staff
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification		Heads of department Teaching staff
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification	Seek guidance from the awarding body	Heads of department Teaching staff Exams Officer
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Heads of department Teaching staff

			Exams Officer
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Heads of department Teaching staff
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	Heads of department Teaching staff
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Heads of department Teaching staff
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action	Heads of department Teaching staff
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams office can process and send off marks ahead of AB deadlines	Seek guidance from awarding body	Heads of department Teaching staff Exams Officer
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	Heads of department Teaching staff Exams Officer
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	Heads of department Teaching staff Exams Officer
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling	Arrange for remarking. Consult awarding body specification for	Heads of department Teaching staff

	of marking during the practice phase	appropriate procedure	Exams Officer
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged	Heads of department Teaching staff Exams Officer

Head Teacher

Date

Deputy Head Teacher

Date

Exams Officer

Date
