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For use by exams office staff

**Controlled assessment**

**Risk management process for Le Rocquier School**

**Created 2018**

**Reviewed 2022**

**Next review 2023**

## Risk management process for Controlled Conditions Assessments

Example risks and issues	Possible remedial action		Staff <i>(use 'RACI' to determine who should be listed)</i>
	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	SLT - HODs – SH- EO
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	SLT - HODs – SH- EO
Accommodation			
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 Hall can be used if needed and booked.	HODs – SB- EO - IP
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities	Resources need counting and delivery	HODs

*Please note: The risks and issues included in this template are illustrative only*

## Risk management process for Controlled Conditions Assessments

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
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	HODs – EO - AD
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	HODs – EO -AD
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	HODs – EO - AD
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		HODs – EO -SH
Candidates have a scheduling clash for exams or assessment	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes  N.B. retakes of controlled assessment are limited	HODs – EO - SH

## Risk management process for Controlled Conditions Assessments

Example risks and issues	Possible remedial action		Staff ( <i>use 'RACI' to determine who should be listed</i> )
	Forward planning	Action	
Control levels for task taking			
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	HODs – EO
Supervision			
Student study diary/plan not provided or completed*	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	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	Supervision requirements need to be logged as an agenda item for dept meeting early in the year.	HODs
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> 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.		EO – SH

\* Not all controlled assessment GCSEs will require the completion of a study diary or study plans

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## Risk management process for Controlled Conditions Assessments

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Task setting			
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	HODs
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	HODs
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security  Designated secure place identified	Request/obtain different assessment tasks	HODs – EO
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	HODs
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	HODs – IP

\*\* All tasks whether set by the awarding body or the centre/consortium must be developed in line with the requirements of the specification.

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Example risks and issues	Possible remedial action		Staff ( <i>use 'RACI' to determine who should be listed</i> )
	Forward planning	Action	
Deadlines			
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.	HODs and 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 EB deadlines	Seek guidance from awarding body	HODs – EO
Authentication			
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	HODS
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	HODs

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Example risks and issues	Possible remedial action		Staff ( <i>use 'RACI' to determine who should be listed</i> )
	Forward planning	Action	
<b>Marking</b>			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	HODs – SB- RST
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.	HODs
<b>SLT – Senior Leadership Team</b>			
<b>SB Sam Baglin (SLT)</b>			
<b>SH Sarah Hansford SLT</b>			
<b>RST Roxanne Shipton-Taylor (ic CPD)</b>			
<b>IP Ivor Pike (Site Manager)</b>			
<b>AD Andy Daly (Senior IT Technician)</b>			
<b>EO Nicola Tucker Exams Officer</b>			