

Controlled Assessment - Risk Management Process

Risks and issues	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	Leadership Team
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 sometime between assessments	Leadership Team
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	Examinations Officer
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities		Examinations Officer Premises Manager
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	Faculty/Subject Leader
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	Faculty/Subject Leader Examinations Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Faculty/Subject Leader Examinations Officer



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Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Faculty/Subject Leader Examinations Officer
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	Faculty/Subject Leader Examinations Officer
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	Faculty/Subject Leader
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		Examinations Officer
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		Examinations Officer
Planned teacher supervision could not take place due to unplanned absence	An alternative is identified ahead of the date – usually SLT	Deputy Head to be informed as soon as possible	Cover Manager Examinations Officer

* Not all controlled assessment, whether for Principal Learning (Wales) or GCSEs, will require the completion of a study diary or study plans.

*Mr.C.Whitney, Examinations Officer
Updated – August 2021*

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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	Faculty/Subject Leader Examinations 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	Faculty/Subject Leader
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Faculty/Subject Leader Examinations Officer
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 with Faculty head aware of all storage	Faculty/Subject Leader Examinations Officer Head Teacher
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Faculty/Subject Leader Examinations Officer

* 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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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	Faculty/Subject Leader
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 awarding body deadlines	Seek guidance from awarding body	Faculty/Subject Leader Examinations Officer
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	Faculty/Subject Leader Examinations 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	Faculty/Subject Leader Examinations Officer
Marking			
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	Faculty/Subject Leader Examinations 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	Faculty/Subject Leader Examinations Officer