Controlled Assessments Risk Management Policy

Ratified by Governors: 2020

Member of staff with overall responsibility: Examinations Officer

Governing Body Sub-Committee with reviewing responsibility: Standards & Curriculum

Contents:

- Timetabling
- Accommodation
- Downloading Awarding Body set tasks
- Absent students
- Control levels for task taking
- Supervision
- Task setting
- Security of materials
- Deadlines
- Authentication
- Marking

This policy outlines the Risk Management process by:

- Identifying potential risks and issues relating to the implementation of controlled assessments.
- Identifying how these might be managed and mitigated.
- It is the responsibility of everyone involved in the school's exam processes to read, understand and implement this policy.

Example risks and issues	Possible preventative action		Staff
	Forward planning	**Action**	
Timetabling			
Controlled assessment schedule/ data collection/ fieldwork / ISAs clash with each other and with other activities	Plan/establish priorities well ahead (e.g. before the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties e.g. at a Curriculum Leaders meeting in the summer term prior to the start of the academic year.	Curriculum Leaders. Deputy Head
A number of controlled assessments scheduled close together across several subjects	• Plan controlled assessments so they are distributed over the duration of the course • Inform students at the start of a Key Stage to ensure they give adequate time to all subjects.	Organise controlled assessments to allow students time between them	Curriculum Leaders. Deputy Head Progress Leader

Accommodation			
Insufficient space in classrooms for students	Once the size of the cohort is known at the start of the year, identification of instances where regular classroom space may not be suitable to conduct controlled assessments	• Use more than one classroom or multiple sittings where necessary • Book the Hall	Curriculum Leaders. Data Manager Class teacher(s)
Insufficient facilities for all students	Careful planning ahead and booking of rooms / centre facilities	• Book the Hall • Book an external venue well in advance e.g. Drama to book a local theatre	Curriculum Leaders. Data Manager Class teacher(s)
ICT suites fully booked	Liaise with IT support staff if necessary.	Book at the start of the academic year	Curriculum Leaders. IT Support Staff
Access arrangement issues impacting upon other teaching groups and leading to parental complaints about noise/disturbance at the scheduled end of the assessment.	• Careful planning ahead looking at SENCO Special Provision grid on 'T' drive to identify relevant students. • Plan assessments, where possible, for when the department has gained time in the summer term, thus using free rooms and staff.	• Access Arrangement student(s) completes the assessment in a separate room from the rest. Inform the Data Manager and teaching staff. • Liaise with SENCO to arrange for assessments to be completed in the Learning Support area so the student(s)/ other groups are not re-located or without a specialist teacher.	SENCO Curriculum Leader Class teacher(s) Data Manager

Example risks and issues	Possible preventative action		Staff
	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	Curriculum Leader IT Support Staff Exams Officer
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 extranet sites well ahead of the controlled assessment schedule	
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact Awarding Body and ask for replacement task; download again	
Absent students			
Students absent for all or part of assessment (various reasons)	Plan alternative session(s)/task for students if necessary.	• Arrange alternative session(s) for as soon as possible after return from absence. Use students' own time before/after school with parental permission. • Explore Special Consideration	Curriculum Leader Class teacher(s). Exams Officer
Students absent for fieldwork / data collection	Letter to parent/carer beforehand explaining the consequences of absence. Students also made aware of consequences.	• Suggest alternative strategies e.g. Collect Primary data over the phone (Geography).	Curriculum Leader Class teacher(s). Exams Officer

			Progress Leader
		- Student undertakes the missing work independently / undertakes an alternative piece of work. - Student uses Secondary data where permissible. - Explore Special Consideration option. - Put forward any completed work.	
Students absent for prep and final performance e.g. Drama	Letter to parent/carer in advance explaining the consequences of absence plus an awareness that they cannot be assessed alone (group performance). Students also made aware of consequences.		Curriculum Leader Class teacher(s). Exams Officer Progress Leader

Example risks and issues	Possible preventative action		Staff
	Forward planning	**Action**	
Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	• Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required • Inform IT Support Staff well in advance of the dates when the computers are being used for high level control work so that they can disable the Internet, e mail, printing, USB storage and Network storage (as is necessary).	• Seek guidance from the Awarding Body • Create special student log in details, different from their usual account, so that work can be tracked/monitored.	Curriculum Leader. Class teacher(s). IT Support Staff

Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure students start, continue and complete study diary/plans that are signed after every session	Curriculum Leader. Class teacher(s).
* Not all controlled assessments will require the completion of a study diary or study plans			
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	Curriculum Leader is responsible for ensuring the subject teachers fully understand their role and responsibilities	Curriculum Leader.
A suitable supervisor has not been arranged for an assessment where teaching staff are **not** supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the Awarding Body's specification	Curriculum Leader is responsible for ensuring the cover teacher follows the Awarding Body and the department / teacher instructions.	Curriculum Leader.
Specialist staff are required for supervision of all sessions impacting upon other teaching groups.	Plan independent student learning tasks for lessons that have to be covered.	Ensure Time Request forms are completed well in advance.	Curriculum Leader. Data Manager.
Supervised sessions take up too much school time e.g. GCE Art = 25 hrs		Timetable sessions to run together across 2/3 days.	Curriculum Leader. Data Manager

Example risks and issues	Possible preventative action		Staff
	Forward planning	**Action**	
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 by contacting the assigned subject advisor and getting the task verified.	Curriculum Leader.
Assessments have not been moderated or standardised in line with the Awarding Body's specification	Check specification and plan required moderation/ standardisation appropriately.	• Seek guidance from the Awarding Body • Date and time of Moderator visit to be confirmed • Complete on-line training (e.g. As in Geog) • Staff to attend AB courses	Curriculum Leader. Deputy Head

Standardisation = samples of work from different learners, occurring any time, in order to reach an agreement on levels of attainment ie. coming to a common understanding of characteristics of a level.

Moderation = samples of work from the same learner, occurring at the end of a Key Stage, in order to make a 'best fit' judgement on an individual learner's level of attainment.

** All tasks whether set by the Awarding Body or the centre **must** be developed in line with the requirements of the specification.

Safeguarding/Child Protection issues especially in Performance subjects e.g. Drama	• Ensure the content and themes are appropriate for a school setting and the age group of students by thoroughly reading all texts to be used. • Inform parents / carers. • Choose material carefully.	• Omit any unsuitable language / scenes / content.	Curriculum Leader / Teacher in Charge Class teacher(s).
Teaching staff not fully aware of restrictions imposed on some students due to religious/ cultural reasons (e.g. Art and personal images. Drama and performances during Ramadan)	Teaching staff to check on SIMS and with students as to what is acceptable / appropriate.	Think of an alternative strategy for student(s) involved.	Curriculum Leader. Class teacher(s).
Health and Safety issues of the tasks set by the Awarding Body e.g. Science	Science technicians with Curriculum Leaders fully trial the ISA and all Practicals and do a full risk assessment.	• Science technicians to manipulate chemical levels if necessary. • Always use the lowest concentration that gives valid data. • Reject poor tasks such as those using Bromine water.	Curriculum Leader. Science technicians

Example risks and issues	Possible preventative action		Staff
	Forward planning	**Action**	
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	Curriculum Leader Class teacher(s).
Students' 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 • During the assessment, all work to be kept in school: not allowed to be removed from the classroom and taken home. • Buy a lockable filing cabinet • Store on a separate account, locked outside of Controlled Assessment time (GCSE Geography, Computer Science & Business Studies do this)	Curriculum Leader Class teacher(s). IT Support Staff
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Curriculum Leader Class teacher(s)

Example risks and issues	Possible preventative action		Staff
	Forward planning	**Action**	
Deadlines		AB = Awarding Body	
Deadlines not met by students	Ensure all students and parents/carers are briefed on deadlines and the consequences of not meeting them	• Letters home warning parents/carers of any shortfalls • Mark what students have produced by the deadline • Seek guidance from Awarding Body on further action	Curriculum Leader Class teacher Progress Leader
As a consequence of deadlines not being met by students, teaching staff extend the time beyond that allowed for an assessment in order to get it completed	Staff and students to be aware of the allocated time and that it cannot be extended indefinitely in order for the student to complete the assessment	• Staff to keep a record of the time allowance used by each student. • Students who repeatedly mis-use part of the time allocation that is irretrievable are warned. Parents/carer also informed	Curriculum Leader Class teacher
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (which are set before the AB deadline) so a department is able to complete marking/paperwork. (Marks can then be processed and submitted ahead of AB deadlines).	• Seek guidance from AB. • If due to staff absence, apply to the AB for an extension to the marking deadline. • Other qualified staff mark assessments.	Curriculum Leader Exams Officer

Authentication			
Student fails to sign authentication form	Ensure all students 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 student and ensure authentication form is signed • Contact student's parents/ carer	Curriculum Leader Class teacher
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	Curriculum Leader Class teacher
Student authenticates copied work	Warn students of consequences / JCQ rules	Report to Headteacher/ SLT	Curriculum Leader Exams Officer SLT Progress Leader
Student authenticates plagiarised work	Warn students of consequences / JCQ rules	Have e-mailed copies of student's work and run it through a plagiarism checker (free download from Internet)	Curriculum Leader Class teacher IT Support Staff

Example risks and issues	Possible preventative action		Staff
	Forward planning	Action	
Marking			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking e.g. via on-line training and AB courses Plan for sampling of marking during the practice phase	Arrange for re-marking and adjust incorrect marking to fit in with standardisation decisions from the practice sample exercise. Consult the Awarding Body 's specification for appropriate procedures	Curriculum Leader Class teacher