

Controlled Assessment Risk Assessment : Policy Annex : Summary Audit

Risks and issues	Remedial action		Staff Responsible
	Forward planning	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects) .	Plan dates in consultation with school calendar – negotiate with other parties	SLT in consultation with DOLs
Too many assessments close together across subjects.	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	SLT in consultation with DOLs
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	DOL in consultation with Exams Officer, Cover Manager
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		DOL in consultation with Exams Officer, Cover 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	Exams Officer in consultation with ICT

			Support and DOL
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	Exams Officer in consultation with ICT Support and DOL
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Exams Officer
Absent candidates			
Candidates absent for all or part of assessment	Plan alternative session(s) for candidates	Accommodate students during alternative session(s)	DOL, Subject Teacher
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	DOL in consultation with Exams 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	DOL
Supervision			
Student study diary/plan not provided or completed. (Not all controlled assessment	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in	Ensure candidates start, continue and complete study diary/plans that are signed	Subject Teacher/DOL

requires the completion of a study diary or study plan).	course	after every session	
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	Department CPD on controlled assessment regulations and protocols	DOL
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.	Suitable supervisor allocated	DOL in consultation with Cover Manager

Task setting

Teaching staff/assessors fail to set tasks correctly	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification.	Seek guidance from the awarding body	DOL
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	DOL

Security of materials

Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	DOL in consultation with Exams 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	Subject Teacher/DOL
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Subject Teacher/DOL

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.	Subject Teacher/DOL
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 Officer can process and send off marks ahead of awarding body deadlines	Seek guidance from awarding body	SLT
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	Subject Teacher/DOL
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	DOL/Exams Officer
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practising of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	DOL
Centre does not run standardization activity as required by the awarding body	Plan against the requirements for standardization for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardization event can be arranged.	SLT