

Controlled/NEA Assessment - Risk assessment

Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
Controlled/NEA assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. at the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties	HOD+M Grady+N Iwenofu
Too many controlled/NEA assessments close together across subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them.	HODS + N Iwenofu
Clashes between controlled/NEA assessments and school trips	Plan/establish priorities well ahead (e.g. at the start of the academic year). Assessments have priority over trips.	Staff planning trips to check that there are no clashes with controlled assessments.	Staff
<b>Accommodation</b>			
Insufficient space in classrooms for candidates	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use the hall, more than one classroom or multiple sittings where necessary.	HODS + + M Grady
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities	Use the hall, more than one classroom or multiple sittings where necessary.	HODS + R Brook
Insufficient facilities to accommodate access arrangements.	Careful planning ahead and booking of rooms / centre facilities	Priority given to controlled assessments. Other classes to be relocated e.g. if the extra time runs into a subsequent lesson or over registration or break. Additional staff on duty to ensure quiet in the surrounding area.	HODS + R Brook
Specialist accommodation unavailable e.g. due to fire, flood.	Possible alternative accommodation identified as part of emergency plan.	In the event of need, Head and SLT to activate plan.	SLT

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<b>Downloading awarding body set tasks</b>			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases. Store downloaded tasks securely.	Book IT equipment well ahead and download tasks before scheduled date of assessment. Store downloaded tasks securely.	N Iwenofu/Subject Teacher/Ebstar
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.	HOD//Estar /N Iwenofu
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date. Store downloaded tasks securely.	Contact awarding body and ask for replacement task; download again. Store downloaded tasks securely.	HOD/Ebstar
Wrong task downloaded	Head of Department to check the task against the specification to ensure that it is the correct task for that cohort of candidates.	Subject staff to cross check and ensure that the task is the correct task for that cohort of candidates before the task is issued to candidates.	HODS + subject staff
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	External invigilators are available to assist in running catch up sessions where a number of candidates have missed high level supervised sessions.	HOD+Subject Teacher+ N Iwenofu

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<b>Control levels for task taking</b>			
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.	Seek guidance from the awarding body.	Head of Department
<b>Supervision</b>			
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 candidates start, continue and complete study diary/plans that are signed after every session	Subject Teacher
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	Heads of Department to run through the arrangements at the start of the year/before the first assessment is sat.	Head of Department
A suitable supervisor has not been arranged for an assessment where teaching staff are <b>not</b> 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	Exams Officer to ensure that supervisor has completed training and understand the level of supervision required.	Exams Officer

\* Not all GCSE controlled assessments will require the completion of a study diary or study plans

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<b>Task setting</b>			
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	Head of Department
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately.	Seek guidance from the awarding body	Head of Centre
<b>Security of materials</b>			
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	Exams Officer
Candidates' work not kept secure during or after assessment	HODS to 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	Head of Centre
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Head of Department/Head of Centre

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

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<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline  Seek guidance from awarding body on further action	Subject Teacher+ Head of Department
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	Seek guidance from awarding body	Head of Department
<b>Authentication</b>			
Candidate fails to sign authentication form	Ensure all candidates 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 candidate and ensure authentication form is signed	Head of Department
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	Head of Department

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<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	<p>Ensure appropriate training and practicing of marking</p> <p>Plan for sampling of marking during the practice phase</p>	<p>Arrange for re-marking</p> <p>Consult the awarding body's specification for appropriate procedures</p>	Head of Department
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted	<p>Check with the awarding body whether a later standardisation event can be arranged.</p> <p>Head of Centre to ensure that staff have sufficient time in which to complete moderation e.g. by providing INSET time or cover.</p>	Head of Department+ Head of Centre
<b>Malpractice</b>			
Candidates and/or staff fail to adhere to awarding bodies and JCQ regulations.	<p>Staff training regarding the conduct of controlled assessments.</p> <p>Briefings (written and verbal for students)</p>	Malpractice will be dealt with according to JCQ regulations: normally as far as candidates are concerned, internally prior to authentication of the assessment, externally thereafter.	Head of Centre

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