



**Risk Management Process for Controlled Assessments, NEAs and Coursework**  
**Author GS, AKJ**  
**Last Reviewed: February 2021**  
**Date of Next review: February 2022**

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
Controlled 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	AKJ/Whole staff
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them	Whole 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 more than one classroom or multiple sittings where necessary	Subject staff

Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Exams Officer
<b>Example risks and issues</b>	<b>Possible remedial action</b>		<b>Staff</b>
	<b>Forward planning</b>	<b>Action</b>	
<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	Book IT equipment well ahead and download tasks before scheduled date of assessment	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	Exams Officer /Subject staff
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Exams Officer /Subject staff
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Exams Officer /Subject staff
<b>Use of Contingency Day</b>			
Candidates required to sit examinations on the contingency day	<u>Ensure invigilators are available for that day in advance</u> <u>Identify examination rooms for that day in advance</u> <u>Download new papers early in the morning and copy, taking into account access arrangements</u>		Exam Officer



Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<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 if required	Seek guidance from the awarding body	Subject staff
<b>Supervision</b>			
Candidate's 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	DHA/Subject staff
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		DHA/Subject Staff
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		Subject staff

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
Teaching staff fail to set tasks correctly	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification	Seek guidance from the awarding body	DHA/Subject Staff
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	DHA/Subject staff
<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	Subject staff/DHA/Exams Officer
Candidates' 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	Subject staff/DHA/Exams Officer
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Exams Officer

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>DISPATCH OF MATERIALS</b>			
<b>Loss of examination scripts</b>	<p>Check boards' regulations for dispatch</p> <p>Check boards' materials (labels and envelopes)</p>	<p>Secure assistance from another member of staff</p> <p>Ensure materials are correctly labelled and packaged for dispatch</p> <p>Materials to be verified by a second member of staff before dispatch</p> <p>If materials are dispatched by post, obtain certificate of posting and lodge in examination cabinet in post book</p>	Exams Officer

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<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 Staff/DHA/Head of Centre
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	Subject Staff/DHA/Head of Centre
<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	Subject staff
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	DHA

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practising of marking Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures	DHA
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	Check with the awarding body whether a later standardisation event can be arranged	Exams officer
Staff malpractice (including external tutors)	Assessment material <b>must</b> be used only for the proper assessment of candidates at Wychwood, Oxford	Any concerns of malpractice are reported to the Head. She decides: <b>1</b> how it is to be investigated and by whom. <b>2</b> at what point Awarding Bodies must be informed if there is substance to the allegation	Subject staff/Exams Officer /Head of Centre
Pupil Malpractice	Exams officer to brief pupils in LTs, UTs, Shell, Study I and Study II about acceptable coursework and examination practice. All subject staff to brief pupils on acceptable and unacceptable practice in their subjects	Any concerns of malpractice are reported to the Headmistress. She decides: <b>1</b> how it is to be investigated and who by <b>2</b> at what point Awarding Bodies must be informed if there is substance to the allegation	Exams officer/Subject staff
Parental/Guardian Malpractice		Any concerns of malpractice are reported to the Head. She decide : <b>1</b> how it is to be investigated and by whom <b>2</b> at what point Awarding Bodies must be informed if there is substance to the allegation	Subject staff



Example risks and issues	Possible remedial action		Staff
Reputational Damage	Forward Planning	Action	
Blame is laid for perceived or actual underperformance on staff or the school.	<p>Ensure progress meetings are minuted effectively.</p> <p>Ensure parents' meeting conversations are noted.</p>	<p>Review evidence within school.</p> <p>Use ALIS and MidYIS data on objectively measured ability and predicted grades to evaluate a fair likely outcome.</p>	DHA/ Head
Moderation over a number of subjects (e.g. Bio, chem and phys in Double Science) can lead to comments in moderators' reports affecting one subject and not others.	<p>Moderators' reports will not be released to parents.</p> <p>Internal marks made prior to moderation will not be released to parents.</p>	<p>Explain to parents that GDPR and school policy prevents us from releasing data that discusses subjects other than the one under dispute</p>	DHA/ Head
Whole cohort moderation will make comments in the moderators' reports about the all candidates – data on other candidates should not be released to parents.	<p>Moderators' reports will not be released to parents.</p> <p>Internal marks made prior to moderation will not be released to parents.</p>	<p>Explain to parents that GDPR and school policy prevents us from releasing data that discusses other pupils as well as their own daughter</p>	DHA/ Head

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Moderation</b>			
Teaching staff interpret assessment objectives incorrectly leading to lower marks for some or all candidates on subjects moderated by individual candidate	<p>Ensure appropriate training and practising of marking</p> <p>Plan for sampling of marking during the practice phase</p>	<p>Arrange for re-marking when individuals request if the teaching staff responsible agree this is a reasonable course of action</p> <p>Consult the awarding body's specification for appropriate procedures</p>	DHA
Teaching staff interpret assessment objectives incorrectly leading to perceived lower marks for some or all candidates on subjects moderated by cohort	<p>Ensure appropriate training and practising of marking</p> <p>Plan for sampling of marking during the practice phase</p>	<p>Re-marking only possible if Head of Centre and teaching staff require a whole centre re-mark where the whole cohort's grades have been affected. Candidates must not be likely to be detrimentally affected.</p> <p>Requests for re-moderation that are candidate- or parent-led can only lead to re-marks if the entire cohort and staff agree. If the staff feel the marks awarded broadly agree with their assessment of the grades expected, then the staff can refuse a remark if they feel some candidates might be detrimentally affected.</p> <p>Consult the awarding body's specification for appropriate procedures</p>	DHA

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Transfer of Candidates</b>			
Coursework undertaken at another centre may not be authenticated or there is concern that moderation or supervision standards have not been adhered to rigorously	Consult closely with previous centre	Obtain written assurances. If these are not forthcoming make arrangements to repeat the work	DHA/Exams officer/ Subject teachers

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Loss of TAGs Evidence</b>			
If evidence was lost or destroyed the whole school spreadsheet provides a summary of the evidence used. The assessment timetable provides an <i>aide memoire</i> of what was covered.		Contact examination boards and JCQ immediately  Ask girls for their copies of the evidence.	Head of Centre DHA/Exams officer/  Subject teachers
Covid outbreak during assessment period.	All covid regulations carefully observed	Remote Learning folder immediately re-implemented for all pupils not just concurrent learners.  Review evidence to date and decide on sufficiency	All staff