

GCSE controlled assessments - Risk management process

This document examines potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions.

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities.	Establish priorities at the start of the academic year and review regularly.	Plan dates in consultation with school calendar – negotiate with other parties. Add them to the school calendar and publish on the school website.	Exam Manager (LJA) along with staff directed affected, and when necessary SLT.
Too many controlled assessments close together across GCE/GCSE/BTEC subjects.	Plan controlled assessments so they are spaced over the duration of the course.	Space controlled assessments to allow candidates some time between them.	Exam Manager (Louise Jackson) along with staff directed affected, and when necessary SLT.
Accommodation			
Insufficient space in classrooms for candidates (e.g. computer rooms, laboratories).	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	Curriculum Manager (Ailsa Adair) and Assistant Principal (Barry Dedross) along with staff directly affected.
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Curriculum Manager (Ailsa Adair) and Assistant Principal (Barry Dedross) along with staff directly affected

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities.	Establish priorities at the start of the academic year and review regularly.	Plan dates in consultation with school calendar – negotiate with other parties. Add them to the school calendar and publish on the school website.	Exam Manager (LJA) along with staff directed affected, and when necessary SLT.
Too many controlled assessments close together across GCE/GCSE/BTEC subjects.	Plan controlled assessments so they are spaced over the duration of the course.	Space controlled assessments to allow candidates some time between them.	Exam Manager (Louise Jackson) along with staff directed affected, and when necessary SLT.
Accommodation			
Insufficient space in classrooms for candidates (e.g. computer rooms, laboratories).	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	Curriculum Manager (Ailsa Adair) and Assistant Principal (Barry Dedross) along with staff directly affected.
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Curriculum Manager (Ailsa Adair) and Assistant Principal (Barry Dedross) along with staff directly affected

Example risks and issues	Possible remedial 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. Book designated ICT support staff to trouble shoot on day at least two weeks in advance via Helpdesk referral..	Exam Manager (LJA) along with subject staff and designated ICT support staff.
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. Staff to check that they have the necessary access rights two weeks prior to the exam.	Exam Manager (LJA) along with subject staff and designated ICT support 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	Exam Manager (LJA) along with subject staff and designated ICT support staff.
Absent candidates			
Candidates absent for all or part of assessment (various reasons).	Plan alternative session(s) for candidates.	Book IT equipment and room. Book designated ICT support staff to trouble shoot on day.	Exam Manager (LJA) along with subject staff and designated ICT support staff

Example risks and issues	Possible remedial 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. Book designated ICT support staff to trouble shoot on day at least two weeks in advance via Helpdesk referral..	Exam Manager (LJA) along with subject staff and designated ICT support staff.
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. Staff to check that they have the necessary access rights two weeks prior to the exam.	Exam Manager (LJA) along with subject staff and designated ICT support 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	Exam Manager (LJA) along with subject staff and designated ICT support staff.
Absent candidates			
Candidates absent for all or part of assessment (various reasons).	Plan alternative session(s) for candidates.	Book IT equipment and room. Book designated ICT support staff to trouble shoot on day.	Exam Manager (LJA) along with subject staff and designated ICT support staff

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

Example risks and issues	Possible remedial 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.	Exam Manager with DOL of subject affected.
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.	Exam Manager with DOL of subject affected.
Security of materials			
Assessment tasks not kept secure before assessment. (See guidelines about secure storage).	Ensure teaching staff fully understand the importance of task security.	Contact the awarding body to request/obtain different assessment tasks.	Exam Manager with Line Manager of subject affected.
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.	Exam Manager with Line Manager of subject affected.
Insufficient or insecure storage space.	Look at provision for suitable storage at the start of the GCSE course.	Find alternative storage within the centre.	Exam Manager with DOL of subject affected and SLT.

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

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Deadlines			
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.	Teaching staff, DOL of subject affected and SLT.
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.	Exam Manager, Teaching staff, DOL of subject affected and SLT.
Authentication			
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	Teaching 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.	DOL of subject affected and relevant SLT line manager.

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Marking			
Teaching staff interpret marking descriptions incorrectly.	Ensure appropriate training and practicing of marking. Exam Board training to be undertaken. Plan for sampling of marking during the practice phase.	Arrange for re-marking. Consult the awarding body's specification for appropriate procedures.	DOL of subject affected and relevant SLT line manager.
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.	Exam Manager, DOL of subject affected and relevant SLT line manager.

B. Dedross
04/10/2016