

For use by exams office staff

GCSE controlled assessments

Risk management process (editable template)

This editable template 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. We hope it will provide a useful starting point for exams office staff when discussing with colleagues risks and issues that might apply to their centre.

Using the risk management process template

The list of possible risks and issues featured in this template is purely illustrative for an individual centre to consider and adapt to their own needs. There are blank rows under each heading for you to fill in.

A blank column entitled 'Staff' has been included on the template so centres can list the person (or role):

- **responsible** for the risk/issue;
- **accountable** for the risk/issue;
- who should be **consulted** about this risk/issue;
- who should be **informed** if the risk/issue arises;

Any adapted list of risks and issues should be reviewed and approved by appropriate members of the senior leadership team. This will ensure that it is fit for purpose and compatible with the existing policies and procedures of the centre. The review should be repeated at regular intervals and kept up to date.

Please note: the above guidance is not part of the template and must not be altered.

Risk management process – editable template

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
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	(Teaching & Learning Leads)
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	Teaching & Learning Leads
Exam clashes	Check exam timetables as they are produced against student planned entries	HOD to inform exam office of any clashes	Exam Office / SLT
Accommodation			
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	Exams Officer
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities	Rescheduling of Centre events to free up additional capacity	Exams Officer
Student clashes that need to be avoided	Ensure HOD's and Exam Office have any student clash info	Room and staff allocations can be varied to ensure suitable fit	HOD to advise Exams Office

Please note: The risks and issues included in this template are illustrative only

Risk management process - editable template

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	Khalik (GC Tech)
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	Lareese / Simon
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Lareese / Simon
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates if appropriate and allowed	Contact Exam Board to check options for late / alternative sittings	Tahiba for absence Lareese to plan new session

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Example risks and issues	Possible remedial 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	Seek guidance from the awarding body	Lareese / Simon
Wrong task / board sat by students	Staff to double check entries and to check papers they have been issued with	Exam Office to double check with subject leads on entries and on day of exam when distributing papers. Notify Exams Office of any errors or doubts	Exams Office to deal with / contact Exam Boards if appropriate
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 candidates start, continue and complete study diary/plans that are signed after every session	Teaching and Learning Leads
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: provide appropriate guidance / supervision for new staff and those new to GCSE work	Exams office brief / train staff. Message reinforced by SLT link	SLT
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	Notify Exams Office immediately for appropriate supervision to be arranged	Exams Office
Allegations of maladministration of tasks	Clear instructions (training where required) given to staff ahead of time as to exam board	Notify Exams office immediately for investigation	Exams office follow exam board procedures

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	rules concerning tasks. Supervision by Exams Staff / SLT link to ensure this happens and investigate any breaches		
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Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	

Task setting			
Teaching staff fail to correctly set tasks (wrong task, wrong level, not all criteria covered)	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification**	Seek guidance from the awarding body	Exams Office / SLT
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	HOD / SLT link / Exams Office

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	Exams Office or SLT (if complaint is about Exams Office)
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	As above
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	SLT link for Exams Office
Completed tasks have been misplaced	Clear arrangements in place for the collection and secure storage / dispatch of completed tasks. Staff briefed as to expected processes	Any issues reported immediately to Exam Office for investigation	Exams Office to follow board processes to report / investigate

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	and their own responsibility		
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** 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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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	HOD as advised by Exams Office
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	Exams Office and SLT if required
Deadlines not met by Exams Office	Clear timescale deadlines published by exam boards: internal centre deadline set to achieve these	SLT to monitor Exam Office compliance	Exam Office to report any delays to Exam Board / SLT to investigate any delays
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	HOD
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	Exams Office

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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 Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures	HOD / Teaching and Learning Leads. SLT link to be informed
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 Office / SLT
Marking not recorded / reported accurately	Clear internal deadlines set, internal cross checking of coursework administration including accurate recording / reporting of marking	Teaching and Learning leads / Exams Office sample check administration tasks	Exam Office follow exam board processes for reporting / correcting any errors.

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