Tuition, Medical and Behaviour Support Service

Non Examination Assessments/Controlled Assessments

Risk Management Process

Adopted:	November 2016
Reviewed:	September 2025
Next Review:	September 2026
Responsibility:	Lindsay Crozier

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) Ensure students who are on modified timetables are given sufficient time to complete their controlled assessments	Plan dates in consultation with Service calendar – negotiate with other parties Possible timetable modification.	Examinations Officer Executive Headteacher Subject Co-ordinators Centre Managers
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course Tasks are discussed at the Subject Co-ordinators Meetings so clear understanding of requirements.	Space controlled assessments to allow candidates sometime between them Subject Co-ordinators meetings to be held every term and examinations are on the agenda at every meeting.	Examinations Officer Executive Headteacher Centre Managers Subject Co-ordinators
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	Centre Managers
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Centre Managers

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 Tasks are shared with teaching staff before the assessments are due	Book IT equipment well ahead and download tasks before scheduled date of assessment	Subject Co-ordinators Teaching Staff
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session Tasks are shared with teaching staff before the assessments are due	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule	Subject Co-ordinators Teaching 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	Subject Co-ordinators Teaching Staff Examinations Officer
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates Every effort is made that all candidates complete assessments in full.	Candidates' timetables are modified to take into account controlled assessments planned.	Centre Managers

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 All staff involved understand the nature of the tasks	Seek guidance from the awarding body All staff are aware of the awarding body specification	Subject Co-ordinators Teaching Staff
Supervision			
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	All staff understands the nature of the task.	Examinations Officer Subject Co-ordinators
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	Teaching staff explain in full to the supervisor what is expected and make sure that they have access to the awarding bodies specification	Teaching Staff
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 and Subject Co-ordinators	Teaching Staff Subject Co-ordinators
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	Teaching Staff Subject Co-ordinators

Risks and issues	Possible remedial action		Staff
	Forward planning	**Action**	
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	Subject Co-ordinators Centre Manager Examinations 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 Co-ordinators Centre Manager Examinations 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	Subject Co-ordinators Centre Manager Examinations Officer
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 Make sure that candidates' timetables are sufficient to complete the work Seek guidance from awarding body on further action	Centre Managers Teaching Staff
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	

Risks and issues	Possible remedial action		Staff
	Forward planning	**Action**	
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 Authentication forms are completed at internal moderation.	Return the authentication form to the teacher for signature Ensure authentication forms are signed as work is marked	Teaching staff Subject Co-ordinators
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	Examinations Officer Subject Co-ordinators
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	Examinations Officer Subject Co-ordinators
Feedback to teaching staff	Feedback is shared at the Subject Co-ordinators meeting and Co-ordinators Meeting	Action points are acted upon	Examinations Officer Centre Managers

Risks and issues	Possible remedial action		Staff
	Forward planning	**Action**	
Malpractice			
Candidates must not: - Submit work that is not their own. - Make their work available to other candidates through any media, including social media. - Allow other candidates to have access to their own independent sourced materials. - Assist other candidates to procedure work. - Use books, the internet or other sources without acknowledgement or attribution. - Submit work that have bee word processed by a third party or use AI tools, without acknowledgement of how and when this was used. - Include inappropriate, offensive or obscene material. - Use AI in line with examination board guidelines	Candidates are made aware of what is malpractice and what the penalties will be for this.	To be shared with staff by SLT. Candidates to be made aware.	SLT Subject Co-ordinators Subject Teachers