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| **The Enterprise Learning Alliance** |
| **Examinations, Controlled Assessments And Non Examined Assessments****Risk Assessment Policy** |
| Policy reviewed: | 21 January 2020 |
| Policy review date next due by: | 20 January 2021 |

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| **Controlled Assessments (CA) and Non Examined Assessments (NEA)** |
| **Risks and issues** | **Possible remedial action** | **Staff**  |
| Forward planning | Action |
| **Timetabling** |
| CA/NEA 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 | Subject Leaders who are planning the CA/NEA . Deputy Headteacher |
| Too many CA/NEA close together across courses | Plan CA/NEA so they are spaced over the duration of the course  | Space CA/NEA to allow candidates some time between them | Subject Leads to discuss at Curriculum Planning Meetings. Deputy Head. |
| **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 CA/NEA | Use more than one classroom or multiple sittings where necessary | Subject Leads to ensure Examinations Officer has number of candidates information by the end of Term 3 to allow for planning |
| Insufficient facilities for all candidates  | Careful planning ahead and booking of rooms and checking of equipment/centre facilities | Examinations Officer to circulate numbers to Centre Managers who will nominate a teacher to be in charge of ensuring correct supplies and facilities are available to all candidates | Subject Leads |
| **Downloading awarding body set tasks** |
| IT system unavailable on day of assessment | Download tasks well ahead of scheduled assessment date in all cases | BookIT equipment well ahead and download tasks before scheduled date of assessment | Teacher |
| 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 | Subject Leads and Teachers |
| Loss of task details in transmission | Download tasks well ahead of scheduled assessment date | Contact awarding body and ask for replacement task; download again | Teacher |
| **Absent candidates** |
| Candidates absent for all or part of assessment (various reasons) | Plan alternative session(s) for candidates |   | Teacher |
| **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  | JCQ instructions available at <https://www.jcq.org.uk>Subject Leads to train teachers regularly |
| **Supervision**  |
| Student study diary/plan not provided or completed (Not all CA/NEA will require the completion of a study diary or study plans) | 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 | JCQ instructions available at <https://www.jcq.org.uk>Subject Leads to train teachers regularly |
| Teaching staff do not understand that the supervision of CA/NEA is their responsibility | Ensure teaching staff fully understand the nature of CA/NEA and their role in supervising assessments |   | JCQ instructions available at <https://www.jcq.org.uk>Subject Leads to train teachers regularly |
| A suitable supervisor has not been arranged for an assessment where teaching staff are **not** supervising  | A suitable supervisor must be arranged for any CA/NEA session where a teacher is not supervising, in line with the awarding body’s specification |   | Subject Leads train teachers and teaching assistants regularly |
| **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. All tasks whether set by the awarding body or the centre **must** be developed in line with the requirements of the specification. | Seek guidance from the awarding body | Subject Leads to check tasks set by teachers |
| 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 | Subject Leads to train teachers regularly |
| **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 Leads to train teachers regularly on JCQ security requirements |
| 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 Leads to train teachers regularly on JCQ security requirements |
| Insufficient or insecure storage space | Look at provision for suitable storage at the start of the courses | Find alternative storage within the centre | Subject Leads to check storage facilities and advise Centre Manager of any concerns regarding shortage of storage at start of academic year. |
| **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 deadlineSeek guidance from awarding body on further action | Teachers |
| 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 Leads |
| **Authentication** |
| Candidate fails to sign authentication form | Ensure all candidates have authentication forms to signEnsure 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 | Teacher |
| 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 | Teacher/Exam Officer |
| **Marking** |  |  |  |
| Teaching staff interpret marking descriptions incorrectly | Ensure appropriate training and practicing of markingPlan for sampling of marking during the practice phase | Arrange for re-markingConsult the awarding body’s specification for appropriate procedures | Subject Leads |
| 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 | Subject Leads |
| **Examinations** |
| **Risks and issues** | **Possible Remedial Action** | **Staff** |
| Forward planning | Action |
| **Timetabled Examinations Preparation** |
| Student is entered for incorrect paper or tier. | Subject Leads to check entry marksheets to avoid errors. | Exams Officer to amend entries | Subject Leads |
| Entry information is late or inaccurate  | Exams Officer to gather course information at end of summer term for forthcoming academic year, issue entry lists and manage return within timescale. | Exams Officer to manage return of checked entry lists within timescale. | Subject Leads and Exams Officer  |
| Curriculum model changes | Exams Officer to liaise closely with Assistant Principal, Curriculum to keep abreast of curriculum changes and league table requirements. | Regular meetings | Exams Officer and Deputy Head |
| **Timetabled Examinations on the Day** |
| Bad weather or transport problems. | Weather report. | Consider delayed start times.Consider staggered start times, isolation of students.Consider Special Consideration. | Exams Officer  |
| Examinations Officer is not able to attend College. |  | Deputy Head and Head of Centre to follow Examinations Contingency Plan, saved on staff area and in Exams Policies file in exams office. | Deputy Head and Head of Centre |
| Fire Alarm sounds. | Procedure to follow in invigilator handbook in every venue. | Follow procedure | Invigilators and Exams Officer  |
| Student is ill during an exam. | Procedure to follow in invigilator handbook in every venue.Special Consideration to be applied for. |  | Invigilators and Exams Officer  |
| Students fail to arrive for exams. | Students’ timetables posted home.Centre Managers have copies and chase absentees at registration prior to exam | Invigilators to report absences to Centre ManagersCentre Managers then phones home or arranges for students to be collected by minibus. | Invigilators and Centre Managers |
| Student arrives late for an exam. | Student’s timetables posted home. | Procedure to follow in invigilator handbook for every exam venue. | Invigilators, Exams Officer  |
| Students arrive who are not entered. | Subject Leads check all entry marksheets and sign to confirm they are correct. | Exams Officer to establish if student is to take paper in consultation with Centre Manager | Exams Officer and Centre Manager |
| Malpractice. | Parents and students are given examination rules at the exam evening, exam assemblies and with their entry and timetable letters. | Procedure to follow in invigilator handbook in every exam venue.Report to Exams Officer | Invigilators, Exams Officer  |