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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 deadline  Seek 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 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 | | 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 marking  Plan for sampling of marking during the practice phase | | | Arrange for re-marking  Consult 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 Managers  Centre 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 |