



# **Non-Examination and Controlled Assessment**

## **Risk management process**

Head Teacher: Mr M Brown

Chair of Governors: Mr S Fitz-Gerald

	Date	Name	Signature
Policy Date	October 2019		
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Lead Person		Deputy Head Teacher	
Prepared by		Fiona Minnis	
Verified by		Matthew Brown	
Approved by		Stuart Fitz-Gerald	

# Blackfen School for Girls

## KEY ROLES AND RESPONSIBILITIES AT BLACKFEN SCHOOL FOR GIRLS

\**LT line manager* refers to the Examinations Team Leadership Team line manager. The LT line manager is **accountable** for ensuring that Examinations Officers are suitably trained and able to manage the processing of controlled assessments. The LT line Manager is **responsible** for **consulting** with the Examinations Officers, Faculty and Subject Leaders (FL/SL) and/or senior members of the Leadership Team regarding incorrect practice in the implementation, completion or processing of controlled assessments and Non-Examined Assessments (NEA) at Blackfen School for Girls. The LT line manager must be **informed** immediately by Examinations Officers or FL/SL regarding incorrect practice in subject areas.

Examinations Officers are **responsible and accountable** for providing accurate information regarding the management of controlled assessments and NEA for ensuring that FL/SL understand the information they receive from the Examinations Office. They must be **informed** immediately by FL/SL of incorrect practice in a subject area. The Examinations Officers must **consult** with the LT line manager regarding forward planning or remedial action to be taken if incorrect practice is identified.

Faculty/Subject Leaders are **responsible and accountable** for managing controlled assessments and NEAs correctly in their subject areas, based on the information received and understood from the Examinations Officers. They must be **informed** by Examinations Officers immediately of incorrect practice in their subject area. They are **responsible** for **consulting** with Examinations officers regarding aspects of the assessment process that they do not understand or remedial action to be taken if incorrect practice is identified.

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Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
Assessment schedule clashes with other activities	Examinations officers plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Examinations officers plan dates in consultation with school calendar – negotiate with other parties  Consult with LT line manager	Examinations officers Invigilation Manager LT line manager*
Too many assessments close together across subjects or lines of learning	Examinations officers consult with LT staff to plan assessments so they are spaced over the duration of the course	Examinations officers consult with LT staff to space out assessments to allow candidates sometime between assessments	Examinations Officers LT staff responsible for 'Assessment'
<b>Accommodation</b>			
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, FL/SL consult promptly with Examinations officers to flag instances where regular classroom space may not be suitable to conduct controlled assessment / NEAs	Examinations Officers/Invigilation Manager use more than one classroom or multiple sittings where necessary  Consult with LT line manager	FL/SL Examinations officers Invigilation Manager LT line manager
Insufficient facilities for all candidates	Invigilation Manager/ Examinations Officers carefully plan ahead and book additional rooms / centre facilities	Invigilation Manager/Examinations officers liaise with LT line manager to generate sufficient rooms and facilities	Invigilation Manager Examinations officers LT line manager

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Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Downloading awarding body set tasks</b>			
IT system unavailable on day of assessment	Examinations officers download tasks well ahead of scheduled assessment date in all cases	Examinations officers book IT equipment well ahead and download tasks before scheduled date of assessment  Examinations officers liaise with LT line manager/FL/SL	Examinations officers  LT line manager
Teaching staff/assessors unable to access task details	Examinations officers liaise with FL/SL to test secure access rights ahead of schedule every year and every session	Examinations officers ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time  Examinations officers inform LT line manager of difficulties	Examinations officers  LT line manager
Loss of task details in transmission	Examinations officers download tasks well ahead of scheduled assessment date	Examinations officers report loss to awarding body for replacement; download again  Examinations officers inform LT line manager of difficulties	Examinations officers  LT line manager
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	FL/SL consult with Examinations officers to plan alternative session(s) for candidates	FL/SL consult with Examinations officers regarding alternative session(s)	FL/SL Examinations officers
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Examinations officers always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Examinations officers check before booking the date; provide an alternative date, where necessary and consult awarding body procedures/LT line manager about dealing with timetabling clashes	Examinations officers FL/SL LT line manager

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		Examinations officers inform FL/SL promptly of changes to examination schedules  N.B. retakes of controlled assessment are limited	
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Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Control levels for task taking</b>			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Examinations officers ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Examinations officers are informed by FL/SL; seek guidance from awarding body  Inform LT line manager of incorrect practice	FL/SL Examinations officers LT line manager
<b>Supervision</b>			
Student study diary/plan not provided or completed*	FL/SL ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	FL/SL ensure candidates start, continue and complete study diary/plans that are signed after every session and inform Examinations officers of incorrect practice  LT line manager informed of incorrect practice	FL/SL Examinations Officers LT line manager
Teaching staff/assessors do not understand supervision of controlled assessment/NEA is their responsibility	Examinations officers ensure teaching staff/assessors understand nature of controlled assessments/NEA and their role in supervision.  FL/SL must inform Examinations officers immediately of any part of the controlled assessment or NEA process that they do not understand	Examinations officers distribute guidance promptly to all FL/SL in a format that is easily understood  Examinations officers ensure communication with awarding bodies is maintained at a high level and disseminated to FL/SL  LT line manager informed of incorrect practice	Examinations officers FL/SL LT line manager
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.	Examinations officers consult awarding body immediately  Inform LT line manager and FL/SL immediately	Examinations officers LT line manager

\* Not all controlled assessment whether for the Diploma or GCSEs will require the completion of a study diary or study plans

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Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
Teaching staff/assessors fail to correctly set tasks	FL/SL ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification**	FL/SL seek guidance from the awarding body and inform LT line manager of incorrect practice	FL/SL LT line manager
Assessments/NEAs have not been moderated as required in the awarding body specification	FL/SL check specification and plan required moderation appropriately	FL/SL seek guidance from the awarding body and inform LT line manager of incorrect practice	FL/SL LT line manager
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Examinations officers ensure FL/SL understand and inform their teaching staff of the importance of task security	FL/SL requests/obtain different assessment tasks and keep Examinations officers informed  Examinations officers inform LT line manager of incorrect practice	FL/SL Examinations officers LT line manager
Candidates' work not kept secure during or after assessment	Examinations officers define appropriate level of security, in line with awarding body requirements, for each department, as necessary	FL/SL take materials to secure storage  Examinations officers inform LT line manager immediately of incorrect practice	FL/SL Examinations officers LT line manager
Insufficient or insecure storage space	FL/SL look at provision for suitable storage early in the course and Examinations officers maintain secure storage spaces	FL/SL find alternative spaces  Examinations officers inform LT line manager immediately of incorrect practice	FL/SL Examinations officers LT line manager

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

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Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Deadlines</b>			
Deadlines not met by candidates	<p>FL/SL ensure all candidates are briefed on deadlines/penalties for not meeting them</p> <p>Examinations officers ensure that FL/SL have received <i>and understand</i> the deadlines provided</p>	<p>FL/SL mark what candidates have produced by deadline and seeks guidance from awarding body on further action.</p> <p>FL/SL informs Examinations officers immediately of incorrect practice</p>	<p>FL/SL</p> <p>Examinations officers</p> <p>LT line manager</p>
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	<p>Examinations officers ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams office can process and send off marks ahead of AB deadlines</p>	<p>FL/SL liaise with Examinations officers to seek guidance from awarding body</p> <p>FL/SL inform Examinations officers immediately of incorrect practice, who will advise on remedial action</p> <p>LT line manager informed</p>	<p>FL/SL</p> <p>Examinations officers</p> <p>LT line manager</p>
<b>Authentication</b>			
Candidate fails to sign authentication form	<p>FL/SL ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in to Examinations officers</p>	<p>FL/SL find candidate and ensure form is signed</p> <p>FL/SL liaise with Examinations officers, if necessary</p>	<p>FL/SL</p> <p>Examinations officers</p>
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	<p>FL/SL ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature</p>	<p>FL/SL return form to staff for signature.</p> <p>FL/SL ensure forms are signed as work is marked, not at end of season</p> <p>Examinations officers inform LT line manager, if necessary</p>	<p>FL/SL</p> <p>Examinations officers</p> <p>LT line manager</p>



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Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Marking</b>			
Teaching staff/assessors interpret marking descriptions incorrectly	FL/SL ensure appropriate training and practising of marking. FL/SL plan for sampling of marking during the practice phase.	FL/SL liaise with Examinations officers to arrange for remarking and consultation with awarding body specification for appropriate procedure  Examinations Officers inform LT line manager immediately of incorrect practice	FL/SL Examinations Officers LT line manager
Centre does not run standardisation activity as required by the awarding body	FL/SL plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	FL/SL liaise with examinations Officers to check with the awarding body whether a later standardisation event can be arranged.  LT line manager informed immediately of incorrect practice	FL/SL Examinations officers LT line manager

Updated for academic year 2019 - 2020