

Risk Management Process			
Example risks & issues	Possible remedial action		Staff responsible
	Forward planning	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	SLT Exams Team
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates sometime between assessments.	Year Office AHT Curriculum SLT
Accommodation			
Insufficient space in classrooms for candidates.	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment.	Use more than one classroom or multiple sittings where necessary.	Exams Team SLT Link
Insufficient facilities for all candidates.	Careful planning ahead and booking of rooms / centre facilities.		Exams Team SLT Link
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.	Exams Team ICT Technicians
Teaching staff / assessors unable to access task details.	Test secure access rights ahead of schedule every year and every session.	Ensure teaching staff / assessors have access rights for correct area of awarding body secure extranet sites ahead of time.	CL SLT Link
Loss of task details in transmission.	Download tasks well ahead of scheduled assessment date.	Report loss to awarding body for replacement; download again.	Exams Team SLT Link
Candidates absent for all or part of assessment (various reasons).	Plan alternative session(s) for candidates.		Exams Team Year Office CL
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching).	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative, where necessary, consult awarding body procedures for dealing with timetabling clashes. NB retakes of controlled assessment are limited.	Exams Team SLT Link

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Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration).	Ensure teaching staff / assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body.	Exams Team SLT
Supervision			
Student study diary / plan not provided or completed.	Ensure teaching staff / assessors 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.	Year Office
Teaching staff / assessors do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff / assessors understand nature of controlled assessments and their role in supervision.		Exams Team
Suitable supervisor has not been arranged for an assessment where teaching staff / assessors are not 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.		Exams Team SLT Link
Task Setting			
Teaching staff / assessors fail to correctly set tasks.	Ensure teaching staff / assessors understand the task setting	Seek guidance from the awarding body.	SLT Link
Assessments have not been moderated as required in the awarding body specification.	Check specification and plan required moderation appropriately.	Seek guidance from the awarding body.	CL SLT Link
Security of materials			
Assessment tasks not kept secure before assessment.	Ensure teaching staff understand importance of task security.	Request / obtain different assessment tasks.	Exams Team

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Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary.	Take materials to secure storage	Exams Team CL
Insufficient or insecure storage space.	Look at provision for suitable storage early in the course	Find alternative spaces.	Exams Team SLT Link
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines / penalties for not meeting them.	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	CL
Deadlines for marking and / or paperwork not met by teaching staff / assessors.	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.	Seek guidance from awarding body	CL SLT Link
Authentication			
Candidate fails to sign authentication form.	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed.	CL Exams Team
Teaching staff / assessors fail to complete authentication forms or leave before completing authentication.	Ensure teaching staff / assessors understand importance of authentication forms and the requirement of a signature.	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	CL Exams Team
Marking			
Teaching staff / assessors interpret marking descriptions incorrectly.	Ensure appropriate training and practising of marking. Plan for sampling of marking during the practice phase.	Arrange for re-marking. Consult awarding body specification for appropriate procedure	CL
Centre does not run standardisation activity as required by the awarding body.	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	SLT Link