



NEA - Risk Assessment Process

Dyddiad Cymeradwyo a Dyddiad Adolygu
Date Approved and Review Date

*Gweler Cynllun Adolygu Polisiau
See Policy Review Timetable*

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	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	R – SMT A – SMT C - Teaching Staff/ Admin I – SMT/Teaching Staff
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 some time between assessments	R – HOD A – HOD C - HOD I – SMT/HOD/Teaching Staff
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	R – Teachers/HOD A – Teachers/HOD C - Exam Officer I – Teachers/HOD Pupils
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities		R – EO A – EO C - Teachers/HOD I – EO
Downloading awarding body set tasks – Digital Content			
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	R – ICT Tech./EO A – ICT Tech./EO C - Teachers/HOD I – ICT Tech./EO
ICT Technician/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	R – ICT Tech./EO A – ICT Tech./EO C - Teachers/HOD/ Awarding Body I – ICT Tech./EO
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	R – ICT Tech/EO A – ICT TECH./EO C - Teachers/HOD I – ICT Tech./EO/AB
Problems accessing digital content e.g. video/DVD	Check equipment for showing and check DVD content	Report problems to awarding body for replacement/download.	R – ICT Tech./EO A – ICT Tech./EO

			C - Teachers/HOD I – ICT Tech./EO
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		R – Teachers/HOD/EO A – Teachers/HOD/EO C - SMT I – Teachers/HOD/ Candidates/Parents
Candidates have a scheduling clash for exams or assessment (possibly off-site 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 date, where necessary and consult awarding body procedures for dealing with timetabling clashes Please note: retakes of controlled assessment are limited	R – Teachers/HOD/EO A – Teachers/HOD/EO C - SMT/Teachers/HOD/ EO I – Teachers/HOD/ Candidates/Parents
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	R – Teachers/HOD/EO/ SMT A – Teachers/HOD/EO/ SMT C - SMT/Teachers/HOD/ EO I – Teachers/HOD/ Pupils/ Parents
Supervision			
Student study diary/plan not provided or completed (Not all controlled assessment, whether for Principal Learning (Wales) or GCSEs, will require the completion of a study diary or study plans).	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	R – Teachers/HOD/SMT A – Teachers/HOD/SMT C – Teachers/HOD/SMT I – Teachers/HOD/ Pupils/Parents
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		R – SMT/EO/HOD A – SMT/EO/HOD C - SMT/EO/Teachers/ HOD I – Teachers/HOD
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		R – SMT/EO A – SMT/EO C - EO I – EO

Task setting			
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification*	Seek guidance from the awarding body	R – SMT/HOD/Teachers A – SMT/HOD C - HOD/AB I – SMT/HOD/AB
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	R – SMT/HOD/Teachers A – SMT/HOD C - HOD/AB I – SMT/HOD/AB.
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	R – SMT/EO/HOD/ Teachers. A – SMT/HOD/Teachers C - SMT/EO/HOD/ Teachers. I – SMT/EO/HOD/ Teachers.
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	R – SMT/EO/HOD/ Teachers. A – SMT/HOD/Teachers C - SMT/EO/HOD/ Teachers. I – SMT/EO/HOD/ Teachers.
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	R – SMT/EO/HOD/ Teachers. A – SMT/HOD/Teachers C - SMT/EO/HOD/ Teachers. I – SMT/EO/HOD/ Teachers.
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	R – SMT/EO/HOD/ Teachers. A – SMT/EO/HOD/ Teachers C - SMT/EO/HOD/ Teachers I – SMT/EO/HOD/ Teachers/AB

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 awarding body deadlines	Seek guidance from awarding body	R – SMT/EO/HOD/ Teachers. A – SMT/EO/HOD/ Teachers C - SMT/EO/HOD/ Teachers. I – SMT/EO/HOD/ Teachers/AB
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	R – EO/HOD/Teachers A – EO/HOD/Teachers C- EO/HOD/Teachers. I – EO/HOD/Teachers/ Candidate
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	R – EO/HOD/Teachers A – EO/HOD/Teachers C- EO/HOD/Teachers. I – EO/HOD/Teachers/
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase	Arrange for remarking. Consult awarding body specification for appropriate procedure	R – HOD/Teachers. A – SMT/HOD/Teachers C - HOD/Teachers. I –SMT/HOD/Teachers
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	R – HOD/Teachers. A – SMT/HOD/Teachers C - HOD/Teachers. I –SMT/HOD/Teachers/ AB.

KEY - RACI

- **Responsible** for the risk/issue
- **Accountable** for the risk/issue
- who should be **Consulted** about this risk/issue
- who should be **Informed** should the risk/issue arise.