



## **RISK MANAGEMENT POLICY AND PROCEDURES**

Toucanto is aware that there are potential risks which may affect the smooth running of examinations. In order to anticipate problems the risks are identified and the staff and processes which can be put in place identified. This risk management process is taken from the editable template supplied by JCQ/the Exam Office and adapted to suit our needs.

STAFF RESPONSIBLE INCLUDE THE TRAINING COORDINATOR AND ALL TEACHING AND ASSESSING STAFF

ALL STAFF ARE TRAINED IN ON THE GO RISK ASSESSMENTS “ POINT OF WORK “ RISK ASSESSMENTS

TIMETABLING	FORWARD PLANNING	ACTION
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead, assessment meeting to be scheduled as soon as course requirements and dates from completion are issued ASDAN/board.  Intention to enter required assessments should be completed 3-6 months prior, this should inform planning once the course requirements are known.	Plan dates in consultation with training calendar -negotiate with other parties
Too many controlled assessments close together across subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates sometime between them. Set a controlled assessment calendar so that all subjects are calendared well in advance and this fits into medium and long term teaching plans.
ACCOMMODATION	FORWARD PLANNING	ACTION
Insufficient space in classrooms/learning areas 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 controlled assessments.	Use more than one classroom or multiple sittings where necessary, book rooms in advance.
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/facilities	Use more than one classroom or multiple sittings where necessary
	Availability of rooms for scribes/readers/1:1	Use more than one classroom or multiple sittings where necessary
DOWNLOADING AWARDING BODY SET TASKS		
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date	Book IT equipment well ahead and download tasks before scheduled date of assessment



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
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again
<b>ABSENT CANDIDATES</b>	<b>FORWARD PLANNING</b>	<b>ACTION</b>
Candidates absent for all or part of the assessment - various reasons	Plan alternate sessions for candidates	Controlled assessment calendar to include mop up sessions where absent candidates will be given the opportunity to catch up and complete the assessment.
	Tutor staff to advise the exams team of planned absence so that the calendar can accommodate	Tutors to be made aware meetings
<b>CONTROL LEVEL FOR TASK TAKING</b>	<b>FORWARD PLANNING</b>	<b>ACTION</b>
The assessment is undertaken under incorrect level of control - time, resources, supervision, collaboration	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body/ASDAN
	Meeting time set aside to update staff of annual changes	Coordinator to schedule in calendar and update staff as and when required
<b>SUPERVISION</b>	<b>FORWARD PLANNING</b>	<b>ACTION</b>
Student study diary/plan not provided or completed	Ensure teaching staff are aware of the need for study diary/plans to be completed early in the course	Ensure candidates start, continue and complete study diary/plans that are signed after every session
Teaching staff do not understand that the supervision of controlled assessment is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments	Coordinator to schedule meeting calendar and update staff when required
A suitable supervisor has not been arranged for an assessment where teaching staff are not supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising in line with the awarding body's specification	Coordinator to ensure there are spare staff available so that there are always staff in reserve
A calendar of rooms and staff not available	Calendar to be posted on shared staff area under exams folder. Hard copy to be put on the exams noticeboard in the staff room	Coordinator to post
<b>TASK SETTING</b>	<b>FORWARD PLANNING</b>	<b>ACTION</b>
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification	Seek guidance from the awarding body
	Time made available to highlight requirements	Coordinator to make time available
Assessments have not been moderated in line with the awarding body's specifications	Check specification and plan required moderation appropriately	Seek guidance from the awarding body



SECURITY OF MATERIALS	FORWARD PLANNING	ACTION
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
	Security risks identified	If appropriate additional padlocks bought so cupboards can be made secure
	Staff to be informed of the implications and requirements	Coordinator to make time available
Candidates work not kept secure during and /or after assessment	Define the appropriate level of security, in line with the awarding bodys requirements, for each department as necessary	Seek guidance from the awarding body
	Staff to be informed of the implications and requirements	Coordinator to make time available
Insufficient or insecure storage space	Look at provision of suitable storage at the beginning of course	Find alternative storage within the centre
DEADLINES	FORWARD PLANNING	ACTION
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  Students to be briefed in a special assembly
	Parents will get a copy of assessment and exam calendar which will highlight deadlines and make parents aware of the implications	Assessment and exam calendar to be issued to parents with a covering letter
Deadlines for marking and or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines prior to the awarding ody deadline of comet marking and paperwork - marks can them be processed and submitted ahead of awarding buddy deadlines  Staff to be informed of the implications and requirements	Seek guidance from awarding body  Coordinator to allocate time to discuss
AUTHENTICATION	FORWARD PLANNING	ACTION
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign	
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching stuff fully understand the importance of authentication forms and the requirements of a signature	
MARKING	FORWARD PLANNING	ACTION
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking	Arrange for remarking
	Plan for sampling of marking during the practice phase, cross marking with other teachers	Consult the awarding bodys specification for appropriate procedures



Centre does not run the standardisation activities as required by the awarding body	Plan against the awarding bodys requirements for standardisation - when and how this activity must be conducted	Check with the awarding bod whether a later standardisation event can be arranged
	Coordinator to plan ad allocate staff time	Staff meeting with relevant parties allocated