



## Code of Practice for Regional Providers of Assessment

## Higher Level Teaching Assistant programme

September 2012

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## Introduction

This Code of Practice is for Regional Providers of Assessment (RPAs) in the Higher Level Teaching Assistant (HLTA) programme. It has been developed by the HLTA National Assessment Partnership. It is also relevant to Providers of Preparation (PoPs) whose HLTA candidates are assessed by the Partnership.

1. The partnership aims to encourage all organisations to pool their strengths for the benefit of all, and for the benefit of HLTA candidates and other stakeholders in the programme. All members of the Partnership are responsible for decision in the same spirit of partnership that produced this Code.
2. The Partnership will be governed by a Board, including:
  - Head teachers
  - HLTAs
3. RPAs will work closely with schools and academies in the development of serving leaders, including HLTAs, in the training, preparation and assessment of candidates under the auspices of the RPA.
4. For the benefit of continuity Partners will continue to be known as Regional Providers of Assessment (RPAs).
5. The Code addresses the following main activities within the HLTA programme relating to candidates:
  - **Training:** training and/or development of candidates to build the skills and knowledge required by the HLTA standards.
  - **Preparation:** briefing candidates and helping them prepare for the assessment process.
  - **Assessment:** assessing candidates' skills and knowledge against the requirements of the HLTA standards.
  - **Appeals:** dealing equitably with candidates wishing to dispute the outcome of their assessments.
6. The Code also addresses partnership issues such as moderation, how to manage relationships with all stakeholders such as schools, and how each RPA needs to contribute to the partnership as a whole.
7. Not all of the activities described in the Code are sole responsibilities of the RPAs. In particular, training is also a responsibility of Training Providers (TPs) and preparation for assessment is also a responsibility of Providers of Preparation (PoPs). The Code

concentrates on the RPAs' responsibilities in their relationships with TPs and PoPs who provide candidates to be assessed by the Partnership organisations.

8. The requirements of the Code also have a wider context. All RPAs delivering any element of the HLTA programme are expected to comply with equality legislation and to follow good practice, relevant legislation and advice.
9. RPAs are committed to meeting the needs of the diverse community and to promoting good practice within the sector and are subject to the Equalities Act 2010 having a duty to promote disability equality. The partnership will need to reflect these duties in its working practices and to keep procedures and this Code under regular review in line with emerging legislation.
10. The RPAs are committed to the on-going development of the HLTA programme and have agreed to maintain close links with the Teaching Agency.
11. RPAs agree to operate across existing regions, formally the Government Office Regions of England. They agree not to promote their assessment services in other regions. The agreed regions are as follows:
  - **Babcock 4S:** London and South East
  - **Best Practice Network:** South West and West Midlands
  - **Carnegie:** North West, North East, Yorkshire and the Humber
  - **ELC:** East of England
  - **University of Northampton:** East Midlands

## Training

### RPAs' responsibilities

12. RPAs do not have a direct quality assurance role for training. This remains the responsibility of individual TPs. It is the role of purchasers of training (LAs, schools or individuals) to ensure that the training they buy is fit for purpose, and that the TPs' quality assurance arrangements are robust.
13. The RPAs' responsibilities for HLTA training across the regions in which they operate are to:
  - promote training and development opportunities
  - seek to ensure that candidates have access to training
  - facilitate the use of training and development needs-analysis tools where applicable

### Promoting opportunities

14. RPAs may facilitate the sharing of good practice in training and development provision to stakeholders, including details of the different training routes available that are known about across the region.

### Access to training and development

15. RPAs will work closely with stakeholders in their region where beneficial to seek to ensure that sufficient and appropriate training courses are made available.
16. RPAs may provide training and development opportunities to stakeholders that meets the needs and demands of schools and candidates and will draw appropriate links to the HLTA Professional Standards.

### Characteristics of training and development

17. RPAs should encourage school-based development for candidates wishing to gain HLTA status.
18. As RPAs, the partnership will collaborate towards the development of new training opportunities that emerge as the programme continues.

## Training and development needs-analysis tools

19. The RPAs' will encourage the use of training needs-analysis tools as and when appropriate.

If used they should:

- be easy to use
- cover all HLTA standards
- provide positive feedback
- identify any gaps in experience or opportunities
- identify training and development needs
- provide guidance in the use of such tools

## Preparation

### RPAs' responsibilities

20. The RPAs' responsibilities in the preparation for assessment are to:

- promote preparation opportunities
- ensure that candidates have access to preparation
- ensure that the preparation:
  - complies with the relevant principles
  - has appropriate content
  - uses appropriate processes
  - is of appropriate duration
- ensure that the preparation includes:
  - the checking and verification of HLTA standard 11
  - local registration for assessment

### Access to preparation

21. From 1 September 2012, eligible candidates will be defined as those who have:

- funding from school or other bodies, or who are self-funded
- been judged ready for assessment by the RPA through an application process
- employment in a school or suitable setting, working with children and young people aged between 3 and 19 years
- evidence of appropriate Level 2 qualifications in English/literacy and mathematics/numeracy
- opportunities to meet all standards as part of their employment
- the support of the employing organisation

### Characteristics of preparation

22. The purpose of preparation is to ensure that candidates understand the HLTA standards, to make them aware of the requirements of the assessment process, and to ensure that they understand how to formulate personal responses to demonstrate their achievement of the HLTA standards.

23. RPAs have a responsibility to inform PoPs of the HLTA Code of Practice and the Handbook for Preparation and Assessment to ensure a consistent approach across the HLTA programme. RPAs should encourage PoPs to adhere to the principles and processes captured in the HLTA Code of Practice, and the Handbook.

## Principles

24. RPAs work closely with PoPs to encourage preparation based on these key principles:
- Preparation is about advice and guidance on the assessment process, not about training or development in relation to the HLTA standards
  - Guidance offered during preparation is generic and process-related, and cannot be allowed to compromise the assessment
  - The assessment process is where candidates demonstrate their routine work (normally from the last 12 months) by:
    - preparing records of routine activities as snapshots of their work
    - assigning their actions to the HLTA standards
    - providing task-related supporting evidence for scrutiny by assessors
    - identifying colleagues who can confirm that the activities described are part of their roles in school
    - describing how their work in school demonstrates they are meeting the HLTA standards

## Content

25. RPAs will encourage PoPs to deliver the following:
- information about the assessment process
  - support for candidates to register through application with their RPA for assessment by day two
  - activities to build familiarity with the HLTA standards and their application
  - making candidates aware of the need to provide individualised responses to assessment tasks
  - ensuring that any extracts from completed documentation referred to during preparation are for illustrative purposes only
  - guidance on the assessment tasks, including the completion of documentation



- opportunities for candidates to receive generic feedback as they complete the documentation
- information about the school visit
- an opportunity for candidates to provide feedback on the quality of preparation

## Processes

26. RPAs will encourage PoPs to include these processes during preparation:

- activities that build confidence, trust and networking
- personal reflection time
- drafting of documentation
- an exchange of critical feedback with candidates
- the analysis and synthesis of information
- collaborative tasks
- paired and group dialogue
- opportunities to ask questions and to raise issues

## Duration

27. RPAs will encourage a programme that allows for candidates to receive the equivalent of 3 days of preparation. Any activity longer than these 3 days' equivalent should be clearly differentiated from preparation.
28. The pattern of delivery may be adjusted to meet the specific needs of schools or candidates. This requirement continues to apply whether the preparation is delivered as standalone or is incorporated into a training programme.

## Checking of English/literacy and mathematics/numeracy requirements

29. The RPAs must encourage PoPs to complete these activities on day one of preparation or on the equivalent day within an integrated training and preparation course:
- Check the candidates' original evidence of appropriate level 2 qualifications in English/literacy and mathematics/numeracy
  - Make and retain a copy of the evidence, having confirmed on the record form (F17) that the copy is an exact replica of the original evidence (the copies and signed F17 will need to be sent to the RPA)

- Inform candidates who do not meet the literacy/numeracy requirements that they must meet this standard before they proceed with preparation and should not register.

## Application for assessment

### 30. RPAs will encourage PoPs to:

- enable candidates to apply to the RPA by providing them with an application form or process provided that they meet the requirements of Standard 11
- advise candidates to report any mistakes or subsequent changes in registration information directly to the RPA

### 31. RPAs will encourage communication with PoPs to identify anomalous circumstances, such as candidates who have applied but who fail to complete the preparation programme, transfer to later sessions, or have any difficulties that may impact assessment arrangements.

### 32. RPAs will inform PoPs that they will not conduct assessment before payment for the service has been received.

## Monitoring quality assurance

### 33. RPAs must encourage high-quality preparation across the region although have no direct responsibility for monitoring the quality assurance of PoPs.

### 34. In the event that a candidate submits their HLTA assessment documents and issues exist that will impact negatively on their assessment, the RPA has a responsibility to inform the candidate that these need to be addressed before assessment takes place.

### 35. Should the preparation of a candidate impact negatively on their assessment at the school visit stage, RPAs have a responsibility to conduct the assessment but to inform the candidate of the issues and report this to the PoP. This is to prevent subsequent issues of a similar kind.

## Assessment

### RPAs' responsibilities

36. RPAs are responsible for the delivery of high-quality HLTA assessment in their regions.
37. RPAs are required to follow the assessment process strictly in line with the methodology set out in the Handbook for Providers of Preparation and Assessment for HLTA status.
38. To ensure that they can deliver the assessments according to this process, RPAs need to:
  - manage the assessment process
  - provide sufficient competent assessors for the region
  - allocate roles and responsibilities to the assessors
  - deploy assessors to carry out assessments as required within the region
  - manage the performance of the assessors
39. In addition to the requirements described in this section of the code, RPAs must implement the agreed framework for assessment.

### Managing the assessment process

40. RPAs will encourage PoPs to support candidates to apply appropriately by the relevant deadlines.
41. RPAs will need to receive from PoPs the signed and completed literacy/numeracy record forms (FI7s) together with the copies of evidence of the qualifications gained (which will have been verified during preparation), the candidates' application and the predicted dates for day three of preparation. This information must be sent by the PoP to the RPA within five days either of day two of preparation or of the equivalent day of an integrated training and preparation programme. Incomplete FI7s will be returned to the PoP.
42. Arrangements for the school visit cannot be made by RPAs until they have received and verified form FI7.
43. RPAs are responsible for confirming to candidates the date of the school visit.
44. RPAs will need to ensure that all candidates for assessment are registered onto a local HLTA data management system maintained by the RPA and must adhere to the Data Protection Act 1998.
45. RPAs will need to provide candidates and their line managers (and/or mentors) in schools with clear information about all aspects of the assessment process, taking into account the

needs of the schools and the requirement to minimise additional burdens on school staff and systems.

The candidate registration process invites, but does not require, candidates to inform RPAs of any disabilities that could affect their assessment. Where RPAs have been informed about a candidate's disability or disabilities, they will need to make reasonable adjustments for the candidate to access the assessment process.

46. RPAs may choose to use customer satisfaction surveys and feedback to inform the continuous improvement of their assessment processes.

## Provision of assessors

47. RPAs must recruit sufficient assessors to meet the predicted requirements for assessments within the region.
48. The selection of assessors is for RPAs to determine individually. During the recruitment process, RPAs are expected to refer to the agreed person specification and the assessor competency criteria contained in the framework for assessment.
49. The initial training of new assessors by RPAs needs to cover all the requirements of HLTA assessment and ensure that they are competent in all areas of the process.
50. The initial training of assessors by RPAs must include:
  - understanding of the HLTA standards, including subject knowledge, and national guidance documentation
  - nature and scope of candidate preparation
  - assessor code of conduct as defined by the Partnership
  - pre-school visit scrutiny of candidate documentation
  - completion of required pre-school visit documentation
  - formulation of focused questions related to the HLTA standards including applicable subject knowledge
  - overall requirements of the school visit
  - purposes and timings of meetings with headteacher or representative, class teacher(s) and the candidate
  - HLTA standards and competency-based interviewing with due consideration given to the application and acquisition of specific subject knowledge
  - accurate and legible recording of interviewee responses

- completion of school visit documentation
  - completion of documentation relating to the assessor's judgements
  - requirements of moderation and quality-assurance processes.
51. RPAs must support assessors during induction and training. Once RPAs are assured that assessors are competent to discharge their role, they must maintain a local register of the assessors.
52. RPAs must ensure that all registered assessors take part in on-going professional development as deemed appropriate by the RPA.
53. RPAs must put in place processes to update their assessor training and development as required, taking account of developments within the HLTA programme.

## Allocation of roles

54. Each RPA will need a transparent management structure for assessment, with clearly assigned accountabilities for each role. Each RPA is responsible for determining the roles that are required to carry out the necessary functions.
55. They should ensure that a named person is accountable for delivery of the HLTA programme as a whole, and so is accountable for the delivery of the overall assessment process, its quality assurance and its continuous improvement within the region. This includes ensuring that there is sufficient assessor capacity at all levels.
56. RPA should identify a named person with senior assessor responsibilities who will lead the quality assurance of assessor practice and moderation activity.
57. RPAs will need to ensure the continuity, consistency and sustainability of delivery of all elements of the HLTA programme in the event of vacancies or illness (short or long term) within the senior team.

## Deployment of assessors

58. RPAs must allocate to assessors a suggested minimum of 10 assessments, appropriately spaced throughout the year, to maintain the quality of the assessors' assessments.
59. The Code of Practice allows RPA assessors to assess on behalf of other RPAs within the HLTA National Assessment Partnership, subject to their individual selection, training and deployment policies. However, the policy is that Partnership assessors only carry out HLTA assessments on behalf of the HLTA National Assessment Partnership and not for any other individual, group or organisation.
60. RPAs must ensure that assessors do not normally undertake more than six assessments in any week, to maintain the equity and quality in the experiences of all candidates.

61. RPAs must pre-approve and be able to justify any variations from these guidelines (for example, variations caused by reasons such as assessor sickness, or unexpectedly low or high uptakes of assessment). RPAs must also monitor the impact of any variations from these guidelines upon assessment outcomes, to ensure that the quality of assessment is not prejudiced.

## Management of assessors

62. RPAs must review the performance of each assessor as required, giving feedback to the individual and providing, where appropriate, professional development. In addition following moderation, where appropriate, assessors will receive summary written feedback and individual verbal and/or written feedback.
63. The assessor competency criteria for performance management purposes cover the following required assessor activities:
- Preparation activities for school assessment visits
  - School assessment visits
  - Assessment outcomes including overturns
  - Completion of paperwork to agreed deadlines
  - Communication with the assigned RPA representative
  - Participation in quality assurance
  - Contribution to the continuous quality improvement of the assessment process
  - Participation in assessor training

These criteria should be considered when providing any form of feedback to assessors.

64. If quality issues emerge in relation to a particular assessor, the RPA must apply the following procedure as appropriate:
- Suspend further assessments by the assessor until an investigation has been conducted by the senior assessor
  - Arrange for the assessor to meet with the senior assessor to discuss the area(s) of concern
  - Provide individual training and development as appropriate
  - Require the assessor to shadow, or be shadowed by, an experienced assessor for all or part of the assessment process as appropriate
  - Have the first solo assessment, carried out subsequently, quality assured by the senior assessor and scrutinised at moderation

- If no improvement is made and concerns remain remove from the local database.

## Moderation

### RPAs' responsibilities

65. Responsibilities of the RPAs with regard to the moderation of assessment are to:
- carry out pre-moderation scrutiny of their candidates' assessment files
  - moderate assessments for each monthly cohort of candidates
  - provide peer reviewers for other RPAs' monthly moderation processes
  - cooperate with the peer reviewers allocated to review their own monthly moderation processes
  - participate in any appropriate partnership meetings where moderation is reviewed

### Pre-moderation scrutiny

66. RPAs must conduct pre-moderation scrutiny of assessors' records so that unsuitable files are not submitted for review by moderators at the monthly moderation events.
67. The choice of records to be scrutinised must be determined by the senior assessor. It should take into account the experience of individual assessors and any difficulties they have experienced in the past.
68. The scrutiny must include checks on the adequacy of the assessors' records and the quality of their assessment processes.
69. The records kept by assessors need to be sufficient to confirm that their assessment processes and decision making are appropriate. If the records are insufficient (for example, they lack detail or are difficult to understand), then the files must be returned for revision. Such files cannot be moderated.
70. The assessment processes carried out by the assessor must have produced sufficient evidence to enable judgements to be made against the HLTA standards including applicable subject knowledge. This can be checked by reference to criteria such as the assessor's treatment of queries relating to the assessment, the appropriateness of the questions asked by the assessor, and the record of the responses given during meetings. If the assessment processes have not produced sufficient evidence, then a full reassessment will be required by another assessor.

## Moderation

### Overview

71. RPAs must moderate their own assessment processes for each monthly cohort of candidates. The moderation must be conducted by RPA-nominated moderators at a monthly event during which documentation relating to a sample of candidates from the month's cohort will be reviewed. The moderation serves to confirm or to overturn the assessment outcomes recommended by the assessors, and to provide feedback to the individual assessors and the Partnership. Feedback may be given to PoPs where particular issue may impact on the assessment of future candidates.

### Nomination of moderators

72. RPAs must nominate moderators and one or more senior moderators to supervise the moderation process.
73. The moderators must be experienced HLTA assessors. They must have been trained to moderate, for example, within a training forum, or by shadowing other moderators. Before taking on full responsibility for moderation, their competence in the role must be confirmed by a senior moderator, for example, by review of their experience and a review of trial moderations.

### Documentation for review

74. RPAs must make all of the relevant candidate files from the most recent cohort available for moderation. Each candidate file to be moderated must include:
  - Candidate personal details (F0);
  - Summary assessment record form (F15),
  - HLTA standard II record form (F17);
  - assessment grid (F9/F10);
  - candidate's response sheets for tasks 1 to 3 (F1 to F3);
  - candidate's response sheets for tasks 4 (F4 to F8);
  - record of meetings (F11 to F14);

### Sampling of candidates

75. RPAs must comply with the Partnership approach to sampling. This will include the drawing of a representative sample of candidate files for moderation, including:



- all cases in which there is insufficient evidence that all of the HLTA standards have been met
  - all cases in which the assessor has recommended that the candidate is eligible for partial reassessment
  - all resubmitted files (for example, files resubmitted because of a partial reassessment outcome)
  - all full reassessments
  - all cases deemed difficult to resolve or where the pre-load scrutiny identifies issues of principle for consideration
  - at least a 5 per cent sample of cases in which candidates are judged to have met the HLTA standards. This will be determined by the Peer Reviewer identifying a random sample of files drawn from the RPAs presented list.
76. Over the year, RPAs' samples must also be designed to ensure that files from every assessor will have been included. The sampling of files from different assessors need not be identical. Generally, heavier sampling would be expected for the less-experienced assessors and for assessors who have experienced difficulties in the past. Also, the nature of the sampling might be varied as moderation proceeds: for example, if an assessor is found to have a particular difficulty with one of the HLTA standards, including any applicable subject knowledge, then all of his/her assessments of that HLTA standard might be reviewed.
77. Similarly, over the year, RPAs' samples must be designed to ensure that candidates from every PoP will have been included. Again, the sampling of candidates from different PoPs need not be identical. Heavier sampling would be expected for less-experienced PoPs and for PoPs who have experienced difficulties in the past.

## Moderation process

78. Prior to the moderation of files RPAs must use the pre-moderation scrutiny of files to ensure that assessor records are adequate and that their assessment processes have generated sufficient evidence.
- If moderators judge the records to be lacking, they must return the records to the assessor, to be completed more fully using evidence from the candidate's task sheets and the notes taken at the time. The assessor cannot seek further evidence at this point from the candidate or school.
  - If the moderators judge that the assessment processes are lacking, they must require a full reassessment in line with the Partnership's standard procedures.

79. The RPA's moderators must check whether they agree with the assessor's judgements. This check is made by reference to the summaries of evidence available within the assessor's records.
- Where they agree with the assessors' judgements, the moderators will endorse those judgements
  - Where they do not agree with the assessors' judgements, moderators will overturn those judgements (following another review by a second moderator) and reclassify the candidates' results. Where a candidate's result is reclassified as 'full reassessment' all other files assessed by the same assessor will be flagged as 'review pending'. Such files will be subject to a separate review by the RPA before the outcome for that candidate is confirmed.
80. The RPAs' moderators must prepare feedback for the assessors. This feedback will, in most cases, point to both strengths and weaknesses, and it will always include the reasons for any changes made by the moderators to the assessment outcomes. The feedback can also include sanctions including justification for the suspension of an assessor's appointment.
81. The RPA's moderators must report back to the RPA any information that can be used to improve the effectiveness of its internal systems for training, quality assuring and supporting its assessors.
82. The RPA's moderators must provide information that assists the RPA in identifying trends in the way that candidates have been guided by different PoPs. This check is made by reviewing candidates' files from the same PoPs. It may be possible for moderators to identify particular strengths or weaknesses in the way different HLTA standards are addressed and the way in which documentation is completed. This may be carried out before, during or after moderation. Where such trends are identified the RPA must feed back the information to individual PoPs.

### Sampling of HLTA standards

83. Although the process of moderation relates closely to the process of assessment, it is not simply repetition of the earlier process. Moderation is a check on the assessor rather than on the candidate.
84. For this reason, it is not essential to moderate the judgements of all the HLTA standards in each of the files chosen for review. All judgements where there was not sufficient evidence to meet the standard must be moderated. Otherwise the RPA is required to moderate judgements against sufficient standards to enable a decision to be made about an assessor's processes.

85. The RPA's senior assessor should determine how the HLTA standards are sampled. Over the year, assessment of all the HLTA standards must be moderated. This will be achieved with the nationally agreed sample standards to be moderated by each RPA at moderation. The senior assessor's decisions will be informed by ongoing discussions and agreements between the Partnership.
86. The sampling of the HLTA standards can be varied during moderation to address matters revealed by the earlier checks. Nationally agreed standards to be sampled for any particular month must, however, be included.

## Peer reviewers

87. RPAs must each provide a peer reviewer to one of the other RPAs. A deputy peer reviewer should be identified in case of absence.
88. The Partnership will specify which of the RPAs must provide peer review support to other RPAs. The arrangements will last for three-month periods, after which the pairings will be changed to ensure a constant interchange of ideas and practices across the partnership.

## Peer review

### Purpose

89. The purpose of the monthly peer review is for the peer reviewer to provide constructive support to the relevant RPA. It also serves to promote the exchange of ideas between RPAs at a detailed level if required.

### Process

90. The peer reviewer must provide continuing support as required for problematic files and/or issues of principle in relation to specific files. This support may be provided, within a specified timescale, either before, during, or after a monthly moderation event.
91. The peer reviewer and the senior assessor may also identify any issues to be taken forward to the partnership.

### Outcomes

92. The peer reviewer and senior assessor must exchange a joint report electronically within three working days of the monthly event, addressing the issues they have discussed or confirming no issues were raised.

## Forum for peer reviewers

93. The Partnership will arrange a forum for peer reviewers to meet when required.

94. The timing of such meetings will depend on the needs of the programme. The meetings will provide additional support and guidance to the peer reviewers and through them to the teams of assessors at the various RPAs. This support and guidance will be provided by the exchange of insights and experience between the peer reviewers themselves, as well as by developmental activities and input organised by the partnership, such as participation in cross moderation.
95. A peer reviewer from each of the RPAs should attend each meeting to ensure that all of the RPAs share in the benefits of the forum.

## Appeals

### RPAs' responsibilities

96. The term 'appeals' refers to appeals by candidates against their assessment outcomes. Such appeals must be made by the candidates themselves. Appeals will not be considered if they are made by third parties on behalf of the candidates.
97. RPAs' responsibilities with regard to appeals are to:
- ensure that candidates are informed about their right to appeal
  - have in place appeals procedures to meet the requirements in this code
  - monitor the operation of their appeals procedures to draw lessons for the development of the HLTA programme
  - Collaborate with other RPAs in the event of an appeal

### Informing candidates

98. RPAs must publish their appeals procedures on their websites. They must also send information about the procedures to candidates, at the same time as they first send information about the individual candidates' assessments.

### Appeals procedures

99. In their appeals procedures, RPAs must make clear that the only grounds for an appeal are whether the RPA used procedures that were consistent with this Code of Practice, and whether it used those procedures properly and fairly in arriving at the judgement.
100. In their appeals procedures, RPAs must:
- keep candidates informed by:
    - acknowledging the appeal
    - indicating the period within which the appeal will be considered
    - sending written accounts of the outcomes of the appeal
  - explain how unresolved appeals can be taken forward for review by the Partnership
  - monitor appeals.

## Monitoring of appeals

- I01. RPAs must have procedures in place for monitoring and evaluating the operation of their appeals procedures, including the numbers and nature of enquiries and appeals and of their outcomes. RPAs must share this data with the Partnership on request.

## Referral process for appeals

- I02. A referral process for HLTA appeals will operate in the event that a case has already been through an RPA's appeals procedure and the candidate remains dissatisfied. He or she can refer the case to the Partnership named person.
- I03. In such cases, the Partnership will convene a review panel comprising three senior assessors or other named person from three different RPAs, none of which will be from the RPA responsible for the candidate's original assessment outcome.
- I04. Each RPA must nominate a senior assessor to be available to sit on a review panel. The review panel will operate in accordance with the procedures agreed with the Partnership.
- I05. The referral process will be reviewed periodically.

## Stakeholder Liaison and Support

### RPAs' responsibilities

- I06. RPAs will engage with a wide range engage effectively with stakeholders who influence, or are influenced by, the management of the HLTA assessment programme at local or regional levels.
- I07. RPAs will engage, where appropriate, with a wide range of stakeholders but, in particular, they will need to establish relationships with:
- TPs and PoPs
  - Teaching Agency
  - Schools including Academies and Teaching Schools
  - Confederations and academy chains
  - Local authorities, where appropriate

### Promotion of the HLTA programme

- I08. There will be a national approach to the promotion of the HLTA programme to which the cost will be shared on a pro rata basis.
- I09. All materials designed to promote the national HLTA programme, and supporting documentation used by all RPAs (Handbooks, Certificates, Website, etc.) will carry the logos of all RPA partners and the bear the title of the “HLTA National Assessment Partnership”.
- I10. Promotion on a regional basis is not required to carry the logos of other Partners although membership of the HLTA National Assessment Partnership will be stated.
- I11. RPAs may engage with LAs, confederations and schools to encourage them to commit to HLTA development, promoting access to HLTA training, preparation and assessment
- I12. The RPA should seek to establish and maintain relationships with schools in order to raise the profile of the HLTA programme and encourage best practice of HLTA training and deployment.
- I13. These relationships should extend to all the schools in the RPA's region including maintained and other publicly funded schools (for example, academies and non-maintained special schools, free schools and independent schools)

114. RPAs should respond to requests for support from schools in their region whether in the maintained or independent sector (including academies, free schools and other independent organisations).

### Services to be provided

115. RPAs must publicise a point of contact and offer contact by e-mail and telephone.
116. The RPAs must undertake to acknowledge all enquiries from stakeholders within three working days and to give substantive within 10 working days.
117. RPAs must identify to stakeholders the range of possible support that they offer, including marketing and offering support to school managers to help them build their capacity to identify training needs and training opportunities.
118. The RPAs must indicate the range of charges that apply for all HLTA related services.

### Information capture

119. RPAs must maintain secure records of all HLTA applicants and assessment information including their outcomes.

### Networking events

120. The Partnership from time to time will consider the benefit of holding stakeholder networking events.
121. The Partnership will discuss common approaches to networking events and will share experience to develop good practice.



## Partnership

### RPAs' responsibilities

- I22. RPAs have a responsibility to work within the spirit of partnership and to engage in the sharing of information to maintain high standards, inform programme management, and foster innovation and development.
- I23. RPAs also have specific responsibilities to contribute to:
- partnership meetings
  - partnership subgroup meetings
  - national stakeholder management
  - development of subject-specific stakeholder groups at local, regional and national level

### Partnership

- I24. The partnership will comprise the project managers, senior assessors, administrators and other relevant colleagues as required.
- I25. The Partnership will seek to establish and maintain equal status across all RPAs.
- I26. The aim of the Partnership is to ensure a consistent approach to the development of all elements of the HLTA programme nationally.
- I27. In addition, the Partnership will seek to establish a role in the development of the wider workforce by liaising with national agencies and organisations.
- I28. The Partnership will agree in advance an annual schedule of partnership meetings at agreed locations. This will be at least on a twice annual basis. There will be a shared approach to chairing the meetings.
- I29. The meetings will be facilitated on a rotation basis, the organising RPA being responsible for circulating an agenda and supporting papers in advance and minutes afterwards.
- I30. The partnership meetings will seek to maintain a programme of work involving recurring items, in addition to dealing with new issues as they arise. The meetings will aim to:
- share information and best practice
  - share risk management procedures, policies and practices (which should be updated to reflect the situation in each region)
  - set realistic development plans and timescales

- I31. Partnership working groups will be established where necessary. The working groups may be permanent or established for short periods.
- I32. The remit of the Partnership or its working groups will reflect national issues or areas to be developed.
- I33. RPAs must work together to develop and maintain management systems and procedures enabling them to establish appropriate and effective relationships with national stakeholders.
- I34. The management systems and procedures will aim to:
  - develop liaison and collaboration both regionally and nationally
  - create strategies to overcome barriers to effective relationships
  - gather, disseminate and manage information relating to HLTA capacity
  - monitor the contribution of stakeholders to all elements of the HLTA programme
  - inform the evaluation of the diagnostic tools used to identify candidates' development needs
  - monitor the capacity, quality and impact of HLTA training and preparation opportunities and to maximise the provision of HLTA assessments

## Risk Management

135. In the event that an RPA is no longer able to carry out its functions the Partnership will convene to discuss the appropriate course of action. The needs of schools and candidates will be central to any decisions made by the Partnership in this situation.
136. In the event of capacity related issues (e.g. assessor capacity) the Partnership will apply a collaborative approach to address any immediate shortfall.
137. The agreed national assessment fee will be reviewed by the Partnership on an annual basis and RPAs will not make individual changes independent of those reviews.
138. In the event of the programme becoming unsustainable due to lack of stakeholder engagement, the Partnership will convene to decide its strategy and future direction which might include its termination.

## Research and Development

139. The role of HLTAs continues to develop. RPAs will build on existing evidence and capture emerging good practice in training, development and deployment of HLTAs.
140. From time to time, the Partnership may consider engaging in relevant research regarding HLTA status and deployment. This may be conducted as a collaborative activity across all RPAs or on an individual RPA basis. In this event, Partners agree to share findings for the benefit of the programme and the Partnership.