Level 4 Diploma in School Business Management (610/6002/1)

8392-31
8392-33

July 2025 Version 1.0

Qualification Handbook

Qualification at a glance

Subject area	Management
Qualification Number	610/6002/1
ILM number	8392-31 (Full payment route) 8392-33 (Unit payment route)
Age group approved	19+
Entry requirements	None
Assessment	Portfolio of Evidence
Approvals	11 July 2025
Links to Professional Standards	Linked to Institute of School Business Leadership (ISBL) Professional Standards
Registration and certification	Consult the Walled Garden/Online Catalogue for last dates

Title and level	ILM number	Accreditation number
Level 4 Diploma in School Business Management	8392-31 (Full payment route) 8392-33 (Unit payment route)	

Version and date	Change detail	Section
1.0 June 2025	Handbook created	All

This document is intended for current and prospective Centres of ILM and City & Guilds. City & Guilds Limited (Registered Company 16513878) is the Awarding Organisation for ILM qualifications. This document should always be read in conjunction with the ILM Customer Handbook www.i-l-m.com/handbook

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Introduction

This document tells you what you need to do to deliver the qualification:

Area	Description
Qualification aim	To provide learners who are new or aspiring school business management (SBM) professionals with the knowledge and skills required to progress in their career and on to further study.
Who is the qualification for?	The Level 4 Diploma in School Business Management is designed for School Business Management (SBM) professionals who are moving into a management role, and professionals who have recently moved into an education setting and are looking to develop their knowledge and skills in a school or trust setting.
Benefits for individuals	• Manage resources within a school more efficiently, effectively and sensitively • Develop your understanding of the purpose of business management in a school context • Evaluate the efficiency and effectiveness of business management operations within a school • Understand the nature of school business management • Links to the ISBL Professional Standards
Benefits for employers and educators	• Professional staff who will enhance the management of your school • Managers who understand the importance of their role and its scope • Allows head teachers to focus on teaching, learning and student attainment • Helps to develop the school business team and gain specialist expertise in areas including leading support services, finance, marketing, procurement, HR and infrastructure management.
What opportunities for progression are there?	This qualification will provide progression opportunities to other qualifications such as: • ILM Level 4 Award, Certificate or Diploma in Leadership and Management • ILM Level 5 Award, Certificate or Diploma in Leadership and Management

Structure

To achieve the Level 4 Diploma in School Business Management learners must complete three mandatory units and one optional unit, achieving a minimum of 39 credits.

Level 4 Diploma in School Business Management				
ILM unit number	**Unit title**	**Level**	**Credit value**	**GLH**
8392-400	Operational Leadership in Schools or Trusts	4	10	35
8392-401	Finance in Schools or Trusts	4	10	35
8392-402	Procurement in Schools or Trusts	4	10	35
8392-403	Supporting Human Resource Management in Schools or Trusts	4	9	30
8392-404	Estate Management in Schools or Trusts	4	10	35
8392-405	Marketing and Communications in Schools or Trusts	4	9	30

Total qualification time

Total Qualification Time (TQT) is the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected for a learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.

TQT is comprised of the following two elements:

1. the number of hours which an awarding organisation has assigned to a qualification for guided learning
2. an estimate of the number of hours a learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but, unlike guided learning, not under the immediate guidance or supervision of – a lecturer, supervisor, tutor or other, appropriate provider of education or training.

Extract from: Ofqual, Total Qualification Time Criteria for All Qualifications, Section 1.8

Title and level	GLH	TQT	Credit
Level 4 Diploma in School Business Management	135-140	385	39-40

Centre requirements

Approval

Centres must ensure they are approved by ILM to offer this qualification before commencing delivery. Centres must submit a learner journey plan (formerly known as a scheme of work), lesson plans etc. Once approved, the qualification will be listed on a centre's Walled Garden Catalogue. Centres should liaise with their Business Development Manager to obtain add-on approval.

Resource requirements

Occupational competence requirements

Centres must demonstrate that staff who are actively involved in the delivery of the qualification meet the occupational competence requirements determined by ILM. It is also the centre's responsibility to inform ILM of any changes to staffing by completing and returning a Centre Update Form (CUF). A curriculum vitae (CV) should be available for review by the Quality & Compliance Manager (QCM)/External Quality Assurance (EQA) if requested. Centres are responsible for updating the Centre Staffing Matrix.

Evidence of occupational competence

ILM qualifications are derived from the Regulated Qualifications Framework (RQF) Level Descriptors and are designed to develop learner's knowledge, understanding and skills which are then assessed through a range of work related assessments.

Centre tutors, assessors and Internal Quality Assurances (IQA) are therefore required as a team to have a combination of appropriate competences in learning, assessment and Internal Quality Assurance methodologies. This must be underpinned by knowledge and experience of leadership, management and team skills within an education environment. This should be relevant to the qualifications being delivered and the learners undertaking them.

Centre staff will only be expected to meet a range of evidence indicators. The table below shows the occupational competence requirements of tutors, internal quality assurances and/or assessors.

Tutor occupational competence requirements	Evidence indicators
Relevant and sufficient occupational experience appropriate to the level and breadth of subject areas of the	• Current (within the last three years), credible expertise in management and leadership in a school setting relevant to the level(s)/units they are assessing or Quality Assurance.

qualification units for which the centre is approved	
A thorough knowledge and understanding of the subject areas appropriate to the level, breadth and content of the qualification units for which the centre is approved	• Qualifications in School Business Management at Level 4 or above **or** • Substantial experience, knowledge and understanding of school business management **and** • Have a thorough understanding of the Professional Standards for school business management and leadership at the level(s) they are delivering, assessing or Quality Assurance.
Continuing professional development	• Evidence of participation over the past three years in Continuing Professional Development (CPD) to maintain their knowledge and keep themselves up to date with developments in management and leadership practice in a school setting. • Desirable but not essential to have membership of a professional institute or association appropriate to the level and subject area of the qualification. • Show evidence of participation in CPD in relation to training and learning over the past three years relevant to the level and subject area of the qualification.
Knowledge, understanding and application of a range of teaching and learning methodologies relevant to the level and subject area of the qualification units for which the centre is approved	• Hold a valid and recognised teaching/training qualification **or** • Show evidence of current (within the last three years) experience of delivering training appropriate and relevant to the level and subject area of the qualification units. • If assessing only with no delivery or training responsibilities, hold a valid and recognised assessor qualification **or** • Show evidence of current (within the last three years) experience of assessing appropriate and relevant to the level and subject area of the qualification units.

Knowledge of ILM learning and assessment processes	• Previous experience of delivering ILM qualification(s) appropriate to the level and subject area of the qualification **or** • Knowledge of the RQF (or Qualifications and Credit Framework (QCF)) and level descriptors appropriate to the level of the qualification.

Internal Quality Assurance and/or Centre Assessor occupational competence requirements	**Evidence indicators**
Relevant and sufficient occupational experience appropriate to the level and breadth of subject areas of the qualification units for which the centre is approved	• Current (within the last three years), credible expertise in management and leadership in a school setting relevant to the level(s)/units they are assessing or Quality Assurance.
A thorough knowledge and understanding of the subject areas appropriate to the level, breadth and content of the qualification units for which the centre is approved	• Qualifications in School Business Management at Level 4 or above **or** • Substantial experience, knowledge and understanding of school business management **and** • Have a thorough understanding of the Professional Standards for school business management and leadership at the level(s) they are delivering, assessing or Quality Assurance.
Continuing professional development	• Evidence of participation over the past three years in Continuing Professional Development (CPD) to maintain their knowledge and keep themselves up to date with developments in management and leadership practice in a school setting. • Desirable but not essential to have membership of a professional institute or association appropriate to the level and subject area of the qualification. • Show evidence of participation in CPD in relation to training and learning over the past three years

	relevant to the level and subject area of the qualification.
Knowledge, understanding and application of a range of assessment and/or Internal Quality Assurance methodologies relevant to the level and subject area of the qualification units for which the centre is approved	• Demonstrate clear and sufficient evidence of current (within the last three years) experience of assessment and/Internal Quality Assurance appropriate and relevant to the level and subject area of the qualification. • Have a relevant qualification in assessment and/or Internal Quality Assurance (eg TAQA or equivalent) **or** • Show evidence of current (within the last three years) experience of assessing and Internal Quality Assurance appropriate and relevant to the level and subject area of the qualification units.
Knowledge of ILM learning and assessment processes	• Previous experience of delivering ILM qualification(s) appropriate to the level and subject area of the qualification **or** • Knowledge of the RQF (or Qualifications and Credit Framework (QCF)) and level descriptors appropriate to the level of the qualification.

Learner entry requirements

ILM has not set an entry requirement for this qualification however centres must ensure that learners are in a position to meet the assessment demands of the qualification, which are work-based and reflective in nature. As this qualification is work-based, learners must be employed in an appropriate role.

Age restrictions

ILM cannot accept any registrations for learners under 19 as this qualification is not approved for under 19s.

Time constraints

- Qualification registration is valid for three years.

Delivering the qualification

Initial assessment

An initial assessment of each learner should be made before the start of their programme to identify:

- if the learner has any specific training needs
- support and guidance they may need when working towards their qualification
- any previous, relevant qualifications or learning where recognition of prior (RPL) learning can be applied
- the appropriate type and level of qualification.

Centres are required to demonstrate commitment to equal opportunities when recruiting candidates. The Customer Handbook (www.i-l-m.com/handbook) gives guidance in making arrangements for learners requiring reasonable adjustments or special considerations in respect of assessment. This should be done as early as possible in the programme and needs to be approved by ILM before implementation.

Induction

Each programme must start with a short induction of at least two hours and should include written information for learners covering:

- an outline of the qualification and the related learner support available.
- the aim of the ILM Level 4 Diploma in School Business Management.
- expectations of, and benefits to, the individual and where relevant, their employer.
- format of the programme – content, hours, attendance, delivery methods, etc.
- the assessment requirements, including assessment criteria.
- roles and responsibilities of centre staff, learners and ILM.
- learning and study skills, including reference to use of library, internet and any open or online learning to be used.
- information on tutorial support, advice and guidance, equal opportunities, appeals procedures, authenticity and plagiarism, collusion and cheating.
- the Institute of Leadership studying membership and benefits.

The following is recommended for this qualification:

Induction	Tutorial support
Two hours induction	A total of at least four hours of tutorial support over and above the indicative guided learning hours.

Supporting documentation and resources

The following supporting documentation and resources are available for this qualification:

Description	How to access
All ILM learners are entitled to a minimum of one-year free student membership at the Institute of Leadership. Student membership provides access to a wealth of digital resources and a network of like-minded leaders and managers.	Visit https://leadership.global/memberships/students/student-activation.html to activate student membership.
ISBL Professional Standards	https://www.isbl.org.uk/isbl-professional-standards

Assessment

Summary of assessment methods

The qualification contains three mandatory units which are assessed internally and subject to Internal and External Quality Assurance:

Unit number	Unit title	Assessment method	Description	Mandatory/optional
8392-400	Operational Leadership in Schools or Trusts	Portfolio of evidence	Centre assessed	Mandatory
8392-401	Finance in Schools or Trusts			Mandatory
8392-402	Procurement in Schools or Trusts			Mandatory
8392-403	Supporting Human Resource Management in Schools or Trusts			Optional
8392-404	Estate Management in Schools or Trusts	Portfolio of evidence	Centre assessed	Optional
8392-405	Marketing and Communications in Schools or Trusts			Optional

- To achieve a pass for this qualification, the learner must pass three mandatory units and one optional unit.
- Unit specific assessment guidance is included within each unit.

Assessment strategy

The purpose of the assessment for this qualification is to:

1. provide a robust, valid and reliable assessment
2. ensure that the learner is able to meet all outcomes as defined in this specification
3. closely align to the professional standards specified by ISBL.

Internal assessment

All units in this qualification are internally assessed by the centre and subject to internal and external standards Quality Assurance.

To pass each internally assessed unit the learner **must**:

- satisfy **all** assessment criteria by providing sufficient, consistent, current, authentic and valid evidence
- demonstrate that the evidence is their own.

Assessment decisions can only be determined as competent (pass) or not yet competent (refer) and the only acceptable reason for a referral is a failure to meet one or more assessment criteria.

Portfolio-based assessment

All units are assessed via a portfolio of evidence. Centres can choose the way evidence is gathered for each unit within the parameters provided and the assessment guidance for the unit.

All assessments created by centres must be valid, fit for purpose and based on the unit assessment criteria.

Assessment guidance

Assessors must assess against the assessment criteria for each unit; however assessment guidance has been included for each assessment criterion to ensure sufficiency and provide advice. Within the guidance '**must**' is used to identify activities that must be completed to meet sufficiency and '**may**' is used where learners may use the advice to include information to enhance their answer.

Types of evidence

Centres can choose the way evidence is gathered to be included in the portfolio for each unit, as long as the methods chosen allow learners to produce valid, sufficient and reliable evidence of meeting the assessment criteria. A balance of evidence types needs to be produced, demonstrating learners' competence.

Evidence for skills/competence-based assessment criteria should be produced in a school environment/context where possible. If opportunities for achievement do not exist in a school setting, and the assessment criteria doesn't specify in a school, evidence can be gathered outside of a school/ in a non-school setting. In cases where opportunities for achievement of skills/competence-based assessment criteria aren't possible simulation can be used, however this should be a last resort after other options have been investigated and exhausted.

Evidence for these units is likely to come from naturally occurring activities from the workplace and may include (but is not restricted to):

- products from the learner's work
- records of team minutes/agendas
- direct observation of the learner's performance by their assessor
- outcomes from oral or written questioning
- personal statements and/or reflective accounts
- professional discussion
- authentic statements/witness testimony
- records of external customer communications
- written reports
- case studies.

It is preferred that learners undertaking this qualification are in an appropriate job role within a school environment. It is expected that those learners not working within a school will work with a mentor within a school to enable them to collect school specific evidence. However, some of the skills criteria are not school specific. This will allow demonstration of competencies by people in other contexts and to allow evidence of how competency will transfer into a school context. The aim of this is to avoid excluding capable, qualified candidates from other sectors who are looking to transfer into a school. This must be agreed with the assessor prior to starting the qualification.

Recognition of prior learning

RPL means using a person's previous experience or qualifications which have already been achieved to contribute to a new qualification. Please refer to the ILM Recognition of Prior Learning Policy.

Units

Unit 400 Operational Leadership in Schools or Trusts

Level:	Level 4
Credit value:	10
GLH:	35
Relationship to Standard:	This unit has been written to cover core elements of the Associate Practitioner level of the Operational Leadership discipline area of the ISBL Professional Standards.
Unit aim:	The purpose of this unit is to equip learners with the knowledge and skills required to lead operations across a school or trust. This includes operational planning of business functions across a school or trust to ensure effective and sustainable resource allocation and legal compliance in order to maximise outcomes for pupils.

Learning outcome (LO1)

The learner will:

1 Understand leadership and the need for effective people management in a school or trust.

Assessment criteria

The learner can:

1.1 Describe the effect that different leadership styles can have on:
- individuals
- teams
- whole schools or trusts.

1.2 Describe how training and development improves performance of individuals and teams.

1.3 Assess communication needs at both individual and group level.

1.4 Describe the importance of a commitment to the health, wellbeing and Diversity, Equity and Inclusion (DEI) of staff in a school or trust.

Depth

1.1 Concepts of leadership styles.
Leadership styles: autocratic, democratic, facilitative, strategic, laissez-faire.
Impact of leadership style on individuals, teams and the organisation.
Situational leadership: adaptation of style to context.
Effect of organisational culture.

1.2 Concepts of personal effectiveness and professional development.
Strategies for training and development.
Measuring the impact of professional development on individual and team performance.

1.3 Characteristics of effective communication.
Employee communication: dialogue, voice and engagement.
Communication skills in 1:1 and group settings.

1.4 Commitment to DEI, health and wellbeing.
Impact on performance including recruitment and retention.
School or trust wellbeing and DEI practice and policy.
Reward and recognition strategies.

Assessment guidance

The learner must:

1.1 Describe the effect that different leadership styles can have on:

- individuals
- teams
- schools or trusts.

Learners **must** cover **all three** categories and **must** concentrate on the **effect** that leadership styles can have on these. A description of leadership styles will be useful but not sufficient on its own.

1.2 Describe how training and development improves self and team performance. Learners **must** describe the improvement to **both** self **and** the team.
They **may** include examples of training and development, how training and development is planned and how improvement is measured.

1.3 Assess communication needs at **both** individual **and** group level in own school or trust.
Learners **must** assess communication needs for **both** individuals **and** groups.
They **may** include types of communication, context, 1:1 or group settings, communication skills, levels of information required, checking understanding and feedback methods and then make a judgement of the most appropriate methods to meet identified needs.

1.4 Describe the breadth of wellbeing and DEI strategies in own school or trust **and** evaluate how effective these are in own school or trust.

Suggested evidence **may** come from (but is not restricted to):

- written reports on leadership styles, wellbeing and DEI
- description of training and development as a report
- communication examples for working practices with assessment.

Learning outcome (LO2)

The learner will:

2 Be able to support and develop team working.

Assessment criteria

The learner can:

2.1 Identify key teams within a school or trust and the barriers that could prevent them working effectively as teams.

2.2 Support the development of a team.

2.3 Create a collaborative working environment that incorporates other peoples' ideas into decision-making.

2.4 Supervise a team to achieve own and others' objectives.

Depth

2.1 Team effectiveness and motivation.
Team roles and team development.
Theories of team leadership.

2.2 Identifying and facilitating development activities within a team.
Creating opportunities for team development.

2.3 Facilitating discussions and encouraging input from across the team.
Promote the sharing of ideas and team working to solve problems and make decisions.

2.4 Identification of objectives and structuring of work/tasks to facilitate achievement for self and team members.

Assessment guidance

The learner must:

2.1 Identify key teams within a school or trust **and** the barriers that can prevent them working effectively as teams. Learners **must** identify a school or trust context **and** identify **all** the

key teams within that environment. They **must** then identify barriers that can prevent each of them from working effectively as teams. There **must** be **at least two** different barriers identified overall within the answer.

2.2 Support the development of a team. Learners can choose to support the development of a new team or an existing team.
Learners **may** show what development activities have been identified, how these can be achieved and the learners' role in the process.

2.3 Create a collaborative working environment that incorporates other peoples' ideas into decision making. Learners **must** provide evidence of incorporating at least two examples of other peoples' ideas into decision making.
This **may** come from two examples of meeting records, one-to-one meeting records or records reports.

2.4 Supervise a team to achieve own and others' objectives. Learners **must** show how they have supervised a team and the evidence provided will depend on the size of the team and the context of the team within the organisation. The supervision **must** relate directly to the achievement of own **and** team's objectives.

Suggested evidence **may** come from (but is not restricted to):

- written description, professional discussion
- question and answer (Q&A)
- organisation staff charts
- work products showing staff development
- decision making records
- supervision records and work objectives.

This could be done in the workplace leading to the production of a reflective statement or a professional discussion, this could then be supported by observation when on a school or trust placement or when volunteering in a school or trust or a community project.

Learning outcome (LO3)

The learner will:

3 Understand the importance of linking operational leadership to school or trust strategic priorities.

Assessment criteria

The learner can:

3.1 Describe the strategic priorities of a school or trust and how they link to operational leadership.

3.2 Conduct an impact analysis, relating to the opportunities and risks for own school or trust resource management identified in assessment guidance for 3.1.

Depth

3.1 School or trust strategic priorities.

Operational Excellence in Education (OpEx) Framework ten domains which includes:

- impact on teaching and learning (including curriculum ambition, funding, pupil numbers, Special Educational Needs (SEN), capital, technology, growth plans staff retention and recruitment)
- process and Quality Control
- resource planning and deployment
- data, performance management and action
- skills and human performance
- operations management capacity
- operational risk and quality assurance
- productivity and cost control
- technology effectiveness
- continuous improvement.

3.2 People (capacity and capability).

Culture.

Structure (organisational design and talent deployment).

Systems and data.

Funding.

Impact of regulations and accountability.

Principles of operational leadership.

OpEx framework.

Assessment guidance

The learner must:

3.1 Describe own school or trust strategic priorities. Learners **must** then identify **at least two** priorities and describe how each one relates to effective operational leadership. The learner **may** take into consideration the principles of the OpEx Framework.

3.2 Conduct an impact analysis, relating to opportunities and risks of the strategy identified in 3.1, with clear suggestions on how to address these. Learners may show their understanding of the need for schools and trusts to implement OpEx principles discussed in AC3.1.

Suggested evidence **may** come from but is not restricted to:

- school or trust development plans

- strategic direction
- recommendations for improvements that could take the form of a report for governors or trustees.

Learning outcome (LO4)

The learner will:

4 Be able to support change management and innovation.

Assessment criteria

The learner can:

4.1 Present the benefits of an innovation to a range of stakeholders at different levels.
4.2 Create a project plan for the implementation of an innovative initiative.
4.3 Evaluate a range of innovation opportunities within own school or trust.
4.4 Identify barriers to change that can exist in a school or trust and how they can be overcome.

Depth

4.1 Categorising the benefits of innovation in business settings.
Assessing the benefits of innovation: including financial, social, legal.
Communicating the benefits of innovation to stakeholders.
Stakeholders could include board, Senior Leadership Team (SLT), staff and parents.
Concepts and principles of business planning.
Impact on teaching and learning.

4.2 Business case.
Stakeholder mapping.
Gantt chart.
RACI matrix.
Communication plan.
Risk analysis.
Budget allocation.
Monitoring and evaluation.

4.3 Conditions and processes required to encourage innovation.
Assessing and analysing potential opportunities for innovation.
Use of technology (including AI and machine learning), may refer to Meeting digital and technology standards in schools and colleges - Guidance - GOV.UK
Impact on teaching and learning.

Concepts and principles of business planning.

4.4 Models of change in organisation, including incremental change, re-engineering process.

Assessment guidance

The learner must:

4.1 Present the benefits of an innovation to a range of stakeholders at different levels.
Learners **must** identify **at least three** types of stakeholder who are at different levels and present the benefits of an innovation to them.
Learners **may** choose how they present this information and it **may** be clear how the information within each presentation meets the needs of the stakeholder group.

4.2 Create a project plan for the implementation of an innovative initiative. Learners may refer to the same project identified in AC4.1.

4.3 Evaluate a range of innovation opportunities within a school or trust. Learners **must** identify at **least three** opportunities for innovation and evaluate them to make a judgement on which would be most appropriate to take forward. The evaluation should take place against objective criteria relevant to the context and not just reflect learner opinion.

4.4 Identify barriers to change that can exist in a school or trust and how they can be overcome.
Learners **must** identify **at least two** barriers to change that can exist in a school or trust and show how each of them could be overcome.

Suggested evidence **may** come from (but is not restricted to):

- written description
- assessment and evaluation
- reports or presentations that could be given to stakeholders
- innovation documentation.

Learning outcome (LO5)

The learner will:

5 Understand Health & Safety (H&S) and safeguarding in a school or trust environment.

Assessment criteria

The learner can:

5.1 Describe the key H&S regulations in relation to a school or trust.

5.2 Assess the risk factors affecting school users.

5.3 Assess safeguarding arrangements in a school or trust, making recommendations for how these may be improved.

Depth

5.1 H&S legislation: Health and Safety at Work Act (1974).
Role of Health and Safety Executive (HSE).
Department for Education (DfE) guidance on health and safety in schools or trusts.
School or trust health and safety policy and procedures.

5.2 Key concepts of risk management.
Identifying hazards in schools.
Risk profiling: classification and ranking of risk in schools.
Risk assessment: measuring probability and impact.

5.3 Statutory requirements and government guidance on safeguarding in school or trusts.
Role of Disclosure and Barring Service.
Inspection of school or trust safeguarding by Ofsted.
Safer recruitment and the 'single central record' in school or trust.
Monitoring compliance with current requirements.
Investigation of gaps between policy and practice.
Identification of areas for review/development in a school's or trust's current arrangements.

Assessment guidance

The learner must:

5.1 Describe the key health and safety regulations in relation to a school or trust. Learners **must** include **both** national legislation **and** also school or trust policies and procedures.

5.2 Assess the risk factors affecting school or trust users. Learners **must** identify at least two risk factors **and** the school or trust users that they will affect. They **must** then assess the risk factors against objective criteria to determine their importance within the school or trust.
Learners **may** use risk assessment documentation already in use within their environment.

5.3 Assess safeguarding arrangements in own school or trust, making recommendations for how these may be improved. Learners **must** show an understanding of legal safeguarding

requirements and school or trust policies and make an assessment of how well a school or trust meets the requirements. They **mus**t then make **at least one** recommendation of how current practice may be improved.

Suggested evidence **may** come from (but is not restricted to):

- written explanations
- health and safety legislation and policies
- risk assessment documentation
- safeguarding legislation and policies
- recommendations for improvements that could take the form of a report to governors.

Learning outcome (LO6)

The learner will:

6 Manage operations to achieve consistency between functions/departments.

Assessment criteria

The learner can:

6.1 Review performance data to identify inconsistencies between functions/departments.
6.2 Explain the potential causes of inconsistencies between departments in a school or trust.
6.3 Produce and implement plans to address inconsistencies identified across departments/functions.

Depth

6.1 Collection and analysis of data relating to operational effectiveness.
Use of key performance indicators (KPIs).
Use of internal and external benchmarking techniques.

6.2 Potential causes of inconsistencies in a school or trust, which of these apply in this instance.
The causes may relate to organisational structure, working processes including what features cause the inconsistencies.

6.3 Plans designed and put in place to remove, or limit as much as possible, the identified inconsistencies to create stability and the best outcomes for the functions/departments involved.

Assessment guidance

The learner must:

6.1 Review performance data to identify inconsistencies between functions/departments.
Learners **must** research objective performance data (such as KPIs) and review the data to identify any inconsistencies.
Learners **may** choose to review according to functions or departments depending on data and context.

6.2 Explain the potential causes of inconsistencies between departments in a school or trust.
Following the learner review in AC 6.1 learners **may** use the information gained to explain the causes of these identified inconsistencies.

6.3 Produce and implement plans to address inconsistencies identified across departments/functions. Learners **must** show they have produced a plan to address the inconsistencies **and** also show that they have started to implement the plans.
Learners **may** choose to use the information produced for the activities completed for AC 6.1 and AC 6.2.

Suggested evidence **may** come from (but is not restricted to):

- performance data and review documentation
- plans and implementation documentation
- this may be in a format that could be reported to governors or senior management team.

Learning outcome (LO7)

The learner will:

7 Understand legislation, national policy and statutory requirements that affect schools or trusts.

Assessment criteria

The learner can:

7.1 Identify the different sources of statutory and legislative requirements that impact school or trust management, and how to access relevant information.
7.2 Assess the potential impact of national policy and legislative changes on schools or trusts.

Depth

7.1 National education policy-making procedures.
Local education policy-making procedures.
Policy-making process within the school or trust.

Statutory submissions.
Sustainable and socially responsible initiatives.

7.2 Overview of education policy context.
External requirements: government legislation and non-statutory guidance.
Responding to key legislative changes.
Ensuring compliance with government legislation.

Assessment guidance

The learner must:

7.1 Identify the different sources of statutory and legislative requirements that impact school or trust management and how to access relevant information. Learners **must** include at least two sources and also **must** include an identification of how to access this information.

7.2 Assess the potential impact of policy and legislative changes on schools or trusts. Learners **must** choose to identify at least one policy **and** one legislative change and assess both of their potential impact on a school or trust. The assessment must be objective and not just reflect learner opinion.

Suggested evidence **may** come from (but is not restricted to):

- research documentation showing legislation and policies
- assessment report that could be presented within a school or trust.

Unit 401 Finance in Schools or Trusts

Level:	Level 4
Credit value:	10
GLH:	35
Relationship to Standard:	This unit has been written to cover core elements of the Associate Practitioner Level of the Finance discipline area of the ISBL Professional Standards.
Unit aim:	The purpose of this unit is to equip learners with the knowledge and skills required to support the effective management, planning, monitoring, reporting and control of finances in a school or trust including adherence to regulatory requirements.

Learning outcome (LO1)

The learner will:

1 Understand finance decisions made in schools or trusts.

Assessment criteria

The learner can:

1.1 Describe the main and regular financial decisions that are made in school or trusts.

1.2 Assess the information used to make financial decisions and how it's used to make decisions in a school or trust.

1.3 Explain the principles of integrated curriculum financial planning (ICFP).

1.4 Explain the importance of considering different views when making decisions about service delivery.

Depth

1.1 Key financial and business decisions in schools and trusts.

1.2 Categories of financial information in schools and trusts.
Use of financial information support strategic and business decision making.
The interpretation of financial information for reporting purposes.

1.3 Use of ICFP to inform strategic planning/budget setting process in a school or trust.
Applying ICFP principles when considering curriculum needs.
Alternative models of curriculum planning.

1.4 Gathering evidence on different views of stakeholder groups on service delivery in a school or trust setting.
Accounting for differing views.

Assessment guidance

The learner must:

1.1 Describe the main and regular financial decisions that are made in schools or trusts. This **may** include the decision making process, the planning process, the major sources of income and expenditure for the school or trust, and both revenue and capital expenditure.

1.2 Assess the information used to make financial decisions and how it's used to make decisions in own school or trust. Learners **must** identify the key information which can affect financial decisions.
This **may** include for example, changes to income, expenditure changes including payroll, National Insurance and pensions, curriculum decisions and class sizes, variation in pupil numbers, political changes – national and local.
An assessment of the usefulness of the information to make decisions **must** be made. A description will not be sufficient on its own as there must be an assessment. This should include some criteria against which a judgement can be made and should not just reflect learner opinion.

1.3 Explain the principles of ICFP and how these can be applied when considering curriculum needs in financial planning. Learners **must** be able to explain how these principles are applied to inform curriculum needs leading to budget decision making. Learners **must** include reference to how impact of decisions will be measured.

1.4 Explain the importance of considering different views when making decisions about service delivery. Learners **must** identify at **least two** different views and explain why it is important to consider the views when making decisions about service delivery. It will not be sufficient to describe the differing views.
They **may** choose to identify the stakeholder groups affected by the service and be able to link to their differing views. Learners may include consideration of changes to curriculum, staffing and pupil numbers in their answer.

Suggested evidence **may** come from (but is not restricted to):

- a written assessment on budget planning which could be included in a management report to governors
- a written report or a professional discussion, and financial decision making documentation
- an explanation of stakeholder views.

Learning outcome (LO2)

The learner will:

2 Understand budget planning and delivery in schools or trusts.

Assessment criteria

The learner can:

2.1 Describe the goals of effective budget management in a school or trust.
2.2 Explain the role of the school business manager in planning budgets.
2.3 Describe how the budget planning cycle links to the school or trust development plan.
2.4 Assess the main factors that help to deliver budget objectives in a school or trust.
2.5 Describe the key comparisons when comparing budget forecasts against actual performance and the corrective actions that may need to be taken.
2.6 Describe national budget procedures applicable for schools or trusts.
2.7 Explain current education funding streams for schools or trusts and where the latest funding information can be found.

Depth

2.1 Improvement planning and budgeting processes in schools or trusts.
Effective management of a budgeting processes.
Concepts of efficient resource management.
Principles of business continuity.

2.2 Role of school business manager in setting budgets related to the improvement plans and strategic goals.

2.3 Budget-setting processes in schools or trusts.
Engagement of senior leaders and governors/trustees in preparation of an annual budget.
Key processes involved in the preparation of a school's annual budget.

2.4 Financial planning and budget setting in schools or trusts.
Key factors impacting on school or trust budgets.

2.5 Processes for interpreting budgets across financial year.
Comparison of budget estimates with actual.
Budget variance analysis.
Taking action to correct variance.

2.6 DfE regulations related to setting of budgets in schools or trusts.
Procedures for setting budgets in schools or trusts.
Alignment of the budget-setting process to school improvement/business planning and robust resource management principles.

2.7 Sources of UK government funding for schools and trusts.
DfE guidance on schemes for financing schools or trusts.
Range of education funding streams.
Sources of funding for maintained schools.
General annual grant for academy trusts.
Education Support Grant.
Other relevant grants.
Funding streams available to a specific school or trust.

Assessment guidance

The learner must:

2.1 Describe the goals of effective budget management and how this supports business continuity. Learners **may** review key areas of expenditure and how these link to budget planning and curriculum development, the impact of changes in pupil numbers and government policy. They **may** describe the key aspects of budget management including the monthly monitoring process.

2.2 Explain the role of the school business manager in planning budgets. The role of the school business manager **must** be explained and **must** relate directly to the planning of the budget. The explanation **may** include the relationship to governance and senior leadership roles.

2.3 Describe how the budget planning cycle links to the school's or trust's development plan. Learners **must** describe the budget planning cycle and link it to the school development plan cycle.

This description **may** include monthly monitoring and whole school strategic plans.

2.4 Assess the main factors that help to deliver budget objectives.

Description will not be sufficient on its own as there **must** be an assessment of **at least two** factors that are relevant with a school or trust. The assessment should include some criteria against which a judgement can be made and should not just reflect learner opinion.

Learners **may** include the key elements of monthly monitoring and **may** use:

- income and expenditure analysis
- balance sheet
- bank reconciliation
- cashflow
- budget analysis
- year-end forecast

2.5 Describe the key comparisons when comparing budget forecasts against actual performance and the corrective actions that may need to be taken.

Learners **must** describe **at least two** key comparisons that could be used to compare budget forecast to actual expenditure and describe **at least two** corrective actions that may be taken.

Learners **may** identify key areas of the budget and understand how to prepare monthly monitoring reports. They **may** show understanding of the importance of variance analysis and be able to show understanding of reasons for any discrepancies and actions to be taken to rectify variances. Learners **may** include a workplace example to illustrate their answer.

2.6 Describe national school and trust budget procedures and where this information can be found. Learners **may** describe the differences and similarities between maintained schools and academies and identify the key external and internal drivers.

2.7 Explain current education funding streams for schools and trusts and where the latest funding information can be found. Learners **must** identify which agency is responsible for funding different streams of education for example maintained schools, academies, free schools, early year foundation stage (EYFS), post 16, capital projects, and also explain where funding information can be found.

Suggested evidence **may** come from:

- preparation of a monthly monitoring report or presentation to governors, senior leadership team or trust board
- written explanation or description
- research information on funding streams.

Learning outcome (LO3)

The learner will:

3 Be able to support the planning, preparation and monitoring of a school's or trust's budget.

Assessment criteria

The learner can:

3.1 Promote the importance of using financial information in effective decision-making.
3.2 Coordinate the planning and preparation of a budget.
3.3 Analyse and provide financial and performance data to support performance monitoring against financial objectives.
3.4 Explain how DfE and tools developed by the sector complement the budget planning and preparation process.
3.5 Assess risks to a school's or trust's financial plans, identifying how these risks can be mitigated.

Depth

3.1 Raising awareness of information needs in decision-making processes.
Promoting the flow of high-quality financial information.

3.2 Planning and budgeting processes.
Annual cycle of budgeting processes.
Multi-year budgeting.
Coordination of a school's or trust's strategic planning, budget-setting and review.

3.3 Relevant financial and performance data that relates to financial objectives and allows performance against these objectives to be measured and monitored.

3.4 DfE resource management tools.
Benchmarking metrics.
Principles of Integrated ICFP.

Concepts of value for money, best value and business continuity.

3.5 Financial and business risk management.
Categories of risk related to school financial planning.
Risk assessment techniques.
Business continuity concepts.

Assessment guidance

The learner must:

3.1 Promote the importance of using financial information in effective decision-making. Learners **must** identify the financial information important to making decisions within their role. They **must** then show that they promoted the importance of using this financial information by methods which **may** include: awareness raising activities, sharing good practice and training sessions, within meetings.
Within their evidence, learners **may** demonstrate their understanding of short-, medium- and long-term financial plans, the use of tools/techniques including ICFP and how this links to the whole school or trust strategy and improvement plan.

3.2 Coordinate the planning and preparation of a budget. The period of the budget will reflect the needs of the organisation. The learner **must** show that they have co-ordinated the planning **and** preparation of the budget which **may** involve working with designated colleagues and using budget templates and documentation already in use within the organisation.
Learners **may** identify key internal and external factors which can affect budgets and **may** include both current and future needs and how these are taken into account in a budget plan that is fit for purpose and supports the achievement of the organisation's objectives. It is not a requirement that evidence comes from a school and **may** come from another sector. A case study/simulation will be acceptable evidence for this criterion where the learner is not in a job role that will allow them to gather real work evidence.

3.3 Analyse and provide financial and performance data to support performance monitoring against financial objectives.

Learners **must** provide at **least two** types of financial or performance data in a format that can be used to support performance monitoring. There **must** be evidence of analysis, clear links between the monitoring activities and agreed financial objectives, and an explanation of how this is information is provided for others to review.

Learners **may** include relevant data to monitor both financial and curriculum KPIs. There **may** be a link to pupil outcomes and financial decision making. This could include an analysis of pupil premium funding and progress of a cohort of pupils.

3.4 Explain how a range of DfE and other tools developed by the sector complement the budget planning and preparation process. Learners **must** identify at **least two** recognised tools and explain how the data these produce can support the budget planning and preparation process.

Learners **may** refer to benchmarking to support budget planning and ensure a financial sustainability culture of best value by using the data from budget planning tools to support resource management business continuity.

3.5 Assess risks to a school's or trust's financial plans, identifying how these risks can be mitigated. Learners **must** identify at **least two** risks to financial plans and then assess them as to their importance and priority. Learners **must** identify how the risks can be mitigated.
Reference to both internal and external risks **may** be made.

Suggested evidence **may** come from:

- workplace evidence for the promotion of financial information in decision making
- budget information
- financial data
- risk assessment documentation.

Learning outcome (LO4)

The learner will:

4 Understand the process of financial administration, regulatory compliance and financial reporting.

Assessment criteria

The learner can:

4.1 Use appropriate accounting methods to report financial information.
4.2 Explain school- or trust-specific financial policies that must be adhered to, including those in place to ensure probity.
4.3 Explain how to administer finance operations in accordance with school or trust financial procedures and policies.
4.4 Support governance/leadership challenges for the organisation's spending.

Depth

4.1 DfE requirements for financial reporting in schools and trusts.
Overview of types of financial information in schools or trusts.
Contents of financial statements and reports in maintained schools and academy trusts.
Use of accounting methods in school or trust settings.
Accounting regulations including VAT.
4.2 Current and relevant financial policies directly relating to school or trust financial management.
4.3 UK national and local regulations for finance administration in schools and trusts.
Procedures for finance administration in schools and trusts.

Administration of financial operations in schools and trusts.

4.4 Governance and accountability of spending, preferably in a school or trust. Scrutiny, challenge and agreement of spending, preferably in a school or trust.

Assessment guidance

The learner must:

4.1 Use appropriate accounting methods to report financial information. Learners **must** explain and demonstrate the use of at least two appropriate accounting methods. Learners **may** produce an overview of types of financial information in schools or trusts. They **may** identify and differentiate between internal and external information and **may** choose to provide evidence from the following:

- income and expenditure analysis
- balance sheet
- monthly monitoring report
- cashflow
- budget analysis
- year-end forecast

4.2 Explain school or trust-specific financial policies that must be adhered to, including those in place to ensure probity. The learner **must** explain the difference in financial policies for maintained schools and academies. The explanation **must** include how to ensure probity. Learners **may** show the differences between UK national and local regulations for finance administration in schools and trusts.

4.3 Explain the process of administering finance operations in accordance with school financial procedures and policies. Learners **may** expand on AC 4.2 and provide further explanation of how to administer finance operations within their area of responsibility in line with school policies and procedures.

4.4 Support governance/leadership challenges for the organisation's spending. Learners **must** show they have supported the scrutiny of the organisation's spending on at least one occasion. The learner **must** show their understanding of governance in schools and the role of the school governor/trustee and leader in financial management and accountability. A case study/simulation will be acceptable evidence for this criterion where the learner is not in a job role that will allow them to gather real work evidence.

Suggested evidence may come from:

- written explanation of financial policies and procedures in schools or trusts; workplace evidence including accounting documentation
- financial operations
- scrutiny documents including meeting minutes
- policy and procedure documents
- case study/simulation.

Learning outcome (LO5)

The learner will:

5 Understand regulatory compliance and how to manage financial control systems in a school or trust.

Assessment criteria

The learner can:

5.1 Evaluate key concepts relating to financial systems and controls, and how they are implemented in a school or trust.
5.2 Explain how to implement effective systems of internal control, including clear financial regulations and operating procedures, to secure probity.
5.3 Explain how to manage financial control systems to ensure probity in the use of organisation's finances.

Depth

5.1 Key concepts relating to financial systems and controls.
Key aspects of internal control systems, including internal school or trust policy frameworks building a social control environment, assessing fraud risks, data analysis, due diligence, cyber security.
Evaluation of the key concepts of financial systems and control in specific settings.

5.2 Concept of probity in financial control.
Effective systems in internal financial control.
The role of financial regulations.
Operating procedures to secure probity in a school or trust setting.

5.3 Management of control systems and the steps taken to ensure probity in the use of funds.
Maintaining records for audit.

Assessment guidance

The learner must:

5.1 Evaluate key concepts relating to financial systems and controls, and how they are implemented in a school or trust. Learners **must** include an evaluation of the key concepts of financial systems and control and **may** link to appropriateness in specific settings, eg Maintained, Academy, Free school.
Within their evidence, learners **may** show their understanding of key aspects of internal control systems: internal school or trust policy frameworks, building a social control environment, assessing fraud risks, data analysis, due diligence, financial risk assessment and business continuity.

5.2 Explain how to implement effective systems of internal control, including clear financial regulations and operating procedures, to secure probity. Learners **must** identify the

systems and processes schools and trusts should have in place to ensure that the finances are managed with probity and also how to implement these.

5.3 Explain how to manage financial control systems to ensure probity in the use of organisation's finances. Learners **may** add to their explanation for AC 5.2 and add how to manage the financial control systems over a period of time relevant to the requirements of the workplace. Learners **may** identify areas in which controls could be inadequate and make recommendations to rectify these problems.

Suggested evidence **may** come from:

- written evaluation, workplace evidence relating to financial control
- policy and procedure documents
- financial management documents.

This may take the form of a financial report to the governors/trustees or senior leadership team.

Unit 402 Procurement in Schools or Trusts

Level:	Level 4
Credit value:	10
GLH:	35
Relationship to Standard:	This unit has been written to cover core elements of the Associate Practitioner level of the Procurement discipline area of the ISBL Professional Standards.
Unit aim:	The purpose of this unit is to equip learners with the knowledge and skills required to support the procurement of goods, services and works to achieve best value from all school or trust resources, and also by using effective contract and supplier management within the context of regulatory frameworks and current legislation.

Learning outcome (LO1)

The learner will:

1 Understand procurement strategy in a school or trust.

Assessment criteria

The learner can:

1.1 Describe the legal requirements relating to procurement exercises in a school or trust, and the principles of fair competition, transparency and probity when spending public monies.

1.2 Evaluate the costs/benefits of different purchasing routes used in a school or trust.

1.3 Assess the importance of achieving value for money when procuring goods and services and be able to report on this to the governing board.

1.4 Describe relevant government-approved procurement frameworks.

Depth

1.1 Legal frameworks related to procurement.
Managing public money.
Principles of fairness, transparency and probity.
Application of these principles to procurement processes in a school or trust.
School or trust procurement policy.
Relevant Department for Education guidance.

1.2 Cost-benefit analysis.
Concepts of best value and economies of scale.
Procurement policy on social, ethical and environmental issues.
Purchasing frameworks, public service buying organisations (PSBO's) and/or collaborative buying opportunities.

1.3 Key concepts of value for money.
The 4 Es: Economy, Efficiency, Effectiveness and Equity.
The 4 Cs: Challenge, Compare, Consult and Compete.

1.4 DfE guidance on buying for schools or trusts.
DfE approved procurement frameworks.
Procurement legislation: Cabinet Office, Procurement Policy Notes, the Procurement Act.
DfE national deals for school or trust purchasing.
The role of PSBOs.
Framework agreements for the education sector.

Assessment guidance

The learner must:

1.1 Describe the legal requirements relating to procurement exercises and the principles of fair competition, transparency and probity when spending public monies.

Learners **must** reference the latest procurement legislation, fair competition, transparency and probity when spending public money including aspects of the seven principles of public life. An explanation of how the principles should be communicated to and applied by all staff in procurement processes **may** be included. Reference to relevant school or trust financial regulations, policies and handbooks **may** be made.

1.2 Evaluate the costs/benefits of different purchasing routes used in a school or trust.
Learners **must** evaluate **at least two** different purchasing routes and consider the achievement of best value, as well as social, ethical and environmental priorities.

Learners **must** review a range of different purchasing routes that best fit their school or trust needs.

1.3 Explain the importance of achieving value for money when procuring goods, services and works, and be able to report on this to the governing/trust board. Learners **must** assess the importance of achieving value for money for **two** specific purchases in a school then include these examples in a report to the governing/trust board.
Learners **may** wish to show their understanding and application of the 4 Es of value for money and the 4 Cs of best value.

1.4 Describe government and Department for Education-approved procurement frameworks. Learners **mus**t describe at **least two** different frameworks and the description **may** include an outline of their purposes and the similarities and differences between them.

Suggested evidence **may** come from (but is not restricted to):

- written description
- written assessment of procurement processes
- report to governors/trustees
- presentation to colleagues in school or trust
- professional discussion
- research documentation.

Learning outcome (LO2)

The learner will:

2 Understand specification development and the procurement process

Assessment criteria

The learner can:

2.1 Explain the key components of a product/service specification.
2.2 Set and review product/service evaluation criteria that will effectively inform purchasing decisions.
2.3 Compare and assess different tenders for a proposed product/service.
2.4 Identify and evaluate procedures that enable suppliers to compete for the supply of goods and services.
2.5 Describe the benefits of using national and local benchmarking data in schools or trusts.
2.6 Critically analyse a school's or trusts performance in purchasing compared to similar schools or trusts.

Depth

2.1 Key information and reference points within the specification.
Uses of specifications and the information they contain.

Appropriate level of detail to address organisation's needs.
Market analysis to consider supply chain resilience.
Risk analysis.

2.2 Drafting and reviewing specifications for tendering processes.
Drafting and reviewing the criteria to be used in awarding contracts.
Producing specifications and criteria that can be used for a like-for-like comparison between suppliers' goods, works or services.

2.3 Comparison of suppliers' tenders for goods, works and services.
Techniques and criteria for the assessment of suppliers' tenders for goods, works and services.

2.4 Design and phases of a tendering process.
Design of appropriate procedures for a tendering process.
Ensuring that the process enables suppliers to compete fairly for the supply of goods, works and services.

2.5 National, local benchmarking data and sources of supplier data, (could include Companies House, Dun & Bradstreet).

2.6 Sources of national and local benchmarking data.
Market analysis to consider supply chain resilience.

Assessment guidance

The learner must:

2.1 Explain the key components of a product/service specification. Learners **may** distinguish between minimum requirements, added value, input and output indicating why each element should be included.

2.2 Set and review product/service specification criteria that will effectively inform purchasing decisions. Learners **may** review specifications currently used for tendering processes and based on that review, draft a specification that could be used by a school or trust for a tendering process. This **must** include criteria that will be used to make decisions when awarding contracts.

2.3 Compare and assess different tenders for a proposed product/service. Learners **must** compare **at least two** tenders for a chosen good, work or service. Using relevant tools, techniques and criteria to assess the tenders, learners **must** make a recommendation for purchase.

2.4 Identify and evaluate procedures that enable suppliers to compete for the supply of goods and services. This **must** be an evaluation of the procedures and not based on learner opinion.
Learners **may i**dentify the legal requirements for tendering processes including the requirements of different financial thresholds and evaluate current school or trust procedures against these requirements. The evaluation **may** include consideration of how

tendering processes enable fair competition for suppliers including Treaty of Rome, the Procurement Act and Equality Act.

2.5 Describe the benefits of using national **and** local benchmarking data in schools or trusts. Learners **must** identify sources of national **and** local benchmarking data relevant to their setting and describe the benefits of using this data to support procurement decisions.

2.6 Critically analyse a school's or trust's performance in purchasing compared to a similar school or trust. Learners **must** analyse current purchasing performance using national and local benchmarking data. This **must** be a critical analysis, including strengths and identification of areas for improvement based on the use of benchmarking data. This **must** include reference to data from other similar schools or trusts and consider issues such as whole life costs, and supply chain resilience as part of best value analysis.

Suggested evidence **may** come from (but is not restricted to):

- written explanation and description
- written comparison of specifications
- production of procedures for tendering process suitable for inclusion in school's or trust's financial procedures document
- research documentation and work products relating to the procurement and tendering process.

Learning outcome (LO3)

The learner will:

3 Understand and be able to support contractor and supplier management in a school or trust.

Assessment criteria

The learner can:

3.1 Describe the contract management process for both contractors and suppliers from implementation to completion.

3.2 Describe the key phases of the development of contract administration processes and Service Level Agreements (SLAs) to assist with contract renegotiations.

3.3 Assess contract management processes and highlight opportunities to improve efficiency in service delivery.

3.4 Carry out cost–benefit evaluations that support contract and supplier management decisions.

Depth

3.1 Identification of phases of the processes.

The purposes and key outputs of these phases.
Stakeholders and their roles.

3.2 The role of contract administration.
Systems for contract administration in schools or trusts.
Role and scope of SLAs.
Supporting the development of SLAs in preparation for contract renegotiations.

3.3 Purposes of reviewing the performance of suppliers.
Techniques for reviewing the performance of suppliers, including Kraljic and Pyramid matrices
Use of SLAs (standards and key performance indicators) to identify any underperformance of contractors.
Reporting outcomes from the review of suppliers to senior leadership team and governing board/trust board.

3.4 Cost-benefit evaluation.
Techniques for the evaluation of costs and benefits of a contract.
Techniques for building partnerships with key suppliers.

Assessment guidance

The learner must:

3.1 Describe the contract management process for **both** contractors **and** suppliers from implementation to completion. Learners **must** include **all** stages of the process from implementation to completion, and the processes that need to be in place in a school or trust to meet legal requirements both externally, and those applicable specifically to schools or trusts including DfE.

3.2 Describe the key phases of the development of contract administration processes and SLAs to assist with contract renegotiation. Learners **must** describe the role of contract administration and service level agreements and the systems that should be in place in a school or trust. It should link clearly to the process of contract renegotiation.
For both contract administration and SLAs, the learner **may** include the use of appropriate contract logs, how inputs and outcomes are monitored during the life of the contract or SLA, agreed communication protocols, record keeping and dispute resolution.

3.3 Assess contractor management processes and highlight efficiency opportunities. Learners **must** assess the performance of contractor management processes and from that assessment, report the outcomes with at least two efficiency opportunities highlighted. Learners **may** use the information described in AC 3.2 and then show that they understand why the performance of contractors should be reviewed, how and why this should be done.

3.4 Carry out cost–benefit evaluations that inform contractor and supplier management decisions. Learners **must** carry out a cost benefit evaluation for an existing contract **or**

SLA, using appropriate techniques, and explain how the key information from that evaluation can be used to inform future contractor and supplier management decisions.

Suitable evidence **may** come from (but is not restricted to):

- written descriptions and assessments
- written report which may be presented to a governing body/trust board
- cost-benefit evaluation
- research documentation.

Learning outcome (LO4)

The learner will:

4 Understand procurement strategy in relation to a range of collaborative purchasing arrangements in a school or trust.

Assessment criteria

The learner can:

4.1 Compare different shared service and joint working models that take account of:

- differing specification requirements within the same procurement exercise
- allocation of roles and responsibilities
- legal terms and conditions
- partnership agreements
- exit procedures.

Depth

4.1 The benefits of collaborative purchasing.

School or trust purchasing consortia, shared services, brokerage services, public sector frameworks.

The types of joint agreements in collaborative procurement processes.

Drafting specifications to take account of different requirements.

Shared services and joint agreements with other schools or trusts.

Assessment guidance

The learner must:

4.1 Compare different shared service and joint working models that take account of:

- differing specification requirements within the same procurement exercise

- allocation of roles and responsibilities
- legal terms and conditions
- partnership agreements
- exit procedures.

Learners **must** compare **at least two** different models for joint working arrangements in a school or a trust. Within that comparison the following areas **may** be included:

- how different specification requirements within the same procurement exercise can be recorded, communicated, agreed and managed
- how roles and responsibilities will be allocated, including details of accountability, communication and dispute resolution within joint working arrangements
- how legal terms and conditions will be jointly negotiated, agreed, fulfilled and monitored in a structured and timely manner
- how partnership agreements will be negotiated, monitored and managed.
- how exit procedures will be managed, including where one party requires early termination of an agreement.

Suitable evidence **may** come from (but is not restricted to):

- written comparisons of shared service and joint working models or presentation suitable for group of professional peers or headteachers.

Unit 403 Supporting Human Resource Management in Schools or Trusts

Level:	Level 4
Credit value:	9
GLH:	30
Relationship to Standard:	This unit has been written to cover core elements of the Associate Practitioner level of the Human Resources discipline area of the ISBL Professional Standards.
Unit aim:	The purpose of this unit is to equip learners with the knowledge and skills required to develop a workforce strategy, to maximise resources through effective talent management that meets regulatory and legal compliance, and to ensure delivery of the school's or trust's strategic priorities and plans.

Learning outcome (LO1)

The learner will:

1 Understand the legislative frameworks that underpin human resources (HR) school or trust operations.

Assessment criteria

The learner can:

1.1 Assess the impact that relevant and current employment and discrimination law has on HR activities in a school or trust

1.2 Describe how a school or trust can minimise employment and discrimination related risks

Depth

1.1 Employment and discrimination legislation in the UK.
Safeguarding legislation.
DfE guidance.
Guidance on diversity and inclusion.
Data protection.

1.2 Scope of employment law in the UK.
UK Equality Act.
Safeguarding legislation and DfE guidance.
Equal opportunities, discrimination, diversity and inclusion.
Risk analysis.
School or trust policy frameworks.

Assessment guidance

The learner must:

1.1 Assess the impact that relevant and current employment and discrimination legislation has on a range of HR activities, in their school or trust. Learners **must** cover both employment AND discrimination legislation with emphasis on an assessment that the laws have on at least **three** HR activities.

1.2 Describe the risks of not complying with employment and discrimination legislation. Learners **must** describe the risks and then explain how both types of risk can be mitigated.

Suggested evidence **may** come from (but is not restricted to):

- written description,
- a written assessment of HR law which could be included in a management report to governors, trustees or the senior leadership team.
- risk log with actions for resolution.

Learning outcome (LO2)

The learner will:

2 Understand workforce planning and staffing structure review.

Assessment criteria

The learner can:

2.1 Use staff benchmark data to identify potential improvements and gaps.

2.2 Assess opportunities for changes to staffing structure to provide recommendations for improvements and efficiencies to the governing body/trust board.

2.3 Describe the key stages in change management and the impact they have on school or trust culture.

Depth

2.1 National school workforce statistics.
Financial Benchmarking and Insights Tool.
schools strategic development plans.
Principles of ICFP.
ISBL OpEx framework.

2.2 Key concepts of operational efficiency.
Reviewing operational processes.
Reviewing workforce structure.
Structure of school workforce.
Succession planning.
Staffing budgets.
ISBL Op Ex framework.

2.3 Key concepts of organisational culture in educational settings, key phases of change management and impact of organisational culture on change processes, school or trust policies and procedures, ISBL OpEx framework.

Assessment guidance

The learner must:

2.1 Compare staff benchmark data to identify potential improvements and gaps. Learners **must** use **at least two** sources of benchmark data to identify potential gaps **and** subsequent improvements.
This **may** be linked to the achievement of the school or trust development plan.

2.2 Assess opportunities for changes to own school's staffing structure in order to deliver recommendations/suggestions to own governing body/trust board. Learners **must** present their findings as a report that can be presented to governors/trustees making changes to the staffing structure and including the rationale for their recommendations. This **must** clearly link to improvements and efficiencies and must reflect professional assessment and not just learner opinion. Learners **may** assess operational processes, current workforce structure, staffing budgets, strategic development plans and any relevant future workforce planning documentation.

2.3 Describe the key stages in change management **and** also make sure these relate how all the stages can affect school or trust culture. **All** the key stages in change management **must** be described and a clear link made to the effects on school or trust culture.
Learners **may** wish to provide an example to illustrate their answer.

Suggested evidence **may** come from (but is not restricted to):

- written description
- professional discussion

- Q&A, benchmark data
- governing board report or presentation
- research data.

Learning outcome (LO3)

The learner will:

3 Understand staff recruitment and retention in a school or trust.

Assessment criteria

The learner can:

3.1 Describe the key components of relevant employment legislation and school or trust on recruitment and exit of staff.

3.2 Describe the process of workforce planning in a school or trust.

3.3 Assess a range of recruitment and retention options and their suitability to school or trust needs.

3.4 Analyse school or trust processes for recruitment.

Depth

3.1 UK employment legislation and discrimination legislation, specific legislation governing selection, recruitment, retirement, redundancy and unfair dismissal, the identification of specific trends.

3.2 DfE guidance on workforce planning, contractual options, the need for flexibility in workforce planning, legal contexts and risks, use of apprentices and job evaluation techniques.

3.3 Different contractual arrangements, the need for flexibility in workforce planning, meeting the challenges of recruitment and retention, all categories of staff.

3.4 School or trust recruitment processes, the importance of safeguarding in all stages of recruitment, accurate job descriptions, relevant employment legislation, equal pay, arrangements for interviews, provision of feedback, the value of induction and mentoring.

Assessment guidance

The learner must:

3.1 Describe the key components of **both:**

- relevant employment law
- learner's school or trust employment policy.

The descriptions **must** relate to **both** recruitment **and** exit practices.

3.2 Describe the process of workforce planning in their school or trust including key aspects that must be taken into consideration.

These **may** include the need for flexibility, temporary or fixed-term contracts, retirement, succession planning, and sources of recruitment, staff consultations and management communications.

3.3 Assess at **least three** recruitment or retention options which **must** lead to a judgement around suitability to own school's or trust's identified recruitment demand or retention need. A description of recruitment or retention options will not be sufficient on its own.

3.4 Learners **must** conduct an assessment of own school's or trust's processes for recruitment. The assessment **must** include the importance of safeguarding as integral to the process, and three additional aspects of the process which could include production of accurate job descriptions and the process, methods for conducting effective interviews, the provision of feedback to candidates or the value of a robust induction/mentoring process. Descriptions alone will not be sufficient - this must be an assessment based on best practice with identification of any areas for improvement.

Suggested evidence **may** come from (but is not restricted to):

- written description
- professional discussion
- assessment documentation
- research documents
- presentation
- report.

Learning outcome (LO4)

The learner will:

4 Understand how reward and recognition can be used in a school or trust.

Assessment criteria

The learner can:

4.1 Assess the factors that drive performance and their implications for reward and recognition.

4.2 Evaluate the reward and recognition options available in a school or trust.

4.3 Describe how reward and recognition can be used to attract, engage and retain staff.

Depth

4.1 Improving performance in the workplace.
Role of rewards systems in improving performance and their links to motivation, awareness of staff wellbeing and mental health needs.

4.2 Mandatory obligations relating to performance related pay, non-financial incentives, pay policies, benefits and other recognition options.

4.3 Mandatory reward systems, pay and reward policies, recognition and non-financial incentives, other benefits available.

Assessment guidance

The learner must:

4.1 Assess the factors that drive performance in a school or trust and their implications for reward and recognition policies.

An assessment of at least two factors that drive performance **mus**t be included with a judgement made on the implications for own school's or trust's reward **and** recognition processes.

4.2 Evaluate both the reward **and** recognition options that could be available in your school or trust. The evaluation must result in a judgement about the effectiveness of the options. Suggestions for improvements may be included.

4.3 Describe how **both** reward and recognition can be used to:

- attract staff through recruitment
- meaningfully engage with staff and
- retain staff longer term.

All of the categories must be covered.

Suggested evidence **may** come from (but is not restricted to):

- written description
- assessment and evaluation
- reports or presentations that could be given to managers and/or colleagues with the school or trust.

Learning outcome (LO5)

The learner will:

5 Be able to support professional development in a school or trust. Understand the benefits of performance management and CPD in a school or trust.

Assessment criteria

The learner can:

5.1 Explain the key concepts and techniques related to staff development in school or trusts.

5.2 Identify and raise awareness of CPD opportunities that exist within a school or trust.

5.3 Analyse the effectiveness of professional development activities in a school or trust, including performance improvements and return on investment.

Depth

5.1 Learning and development strategy, induction processes, skills analysis, training needs analysis, performance management process, staff appraisals, development planning, collation of information about staff training and development needs, techniques for delivering staff development.

5.2 Identification of potential development activities available in a school or trust.
Researching the strategic goals of a school or trust.
Assessing the development needs of employees and how these fit with the development activities available.
Methods of awareness-raising of CPD, the importance/benefits of it and what options are available.
Links to school or trust health and wellbeing strategies.

5.3 Measurement of costs of CPD, cost-benefit analysis, return on investment, impact on performance, measuring improvements to performance.

Assessment guidance

The learner must:

5.1 Explain **both** the key concepts **and** techniques related to staff development in their school or trust. Learners should include at least two examples of **both** key concepts **and** techniques.

5.2 Identify and raise awareness of CPD opportunities that exist within own school or trust. Learners **must** identify what opportunities are available within a chosen school or trust. This **may** relate to the strategic goals of the school or trust and also link to staff needs. Learners **must** also show how they have raised awareness of professional development within the school or trust.
This **may** come from sharing identified activities in meetings, training, performance reviews, reports to senior managers, email campaigns, posters, awareness-raising session, etc.

5.3 Analyse the effectiveness of professional development activities in own school or trust. Learners **must** analyse **at least two** development activities using relevant criteria and **must** make a judgement on their effectiveness against **both** performance improvements **and** return on investment.
The analysis **may** include the costs involved, outputs and outcomes and a cost benefit analysis.

Suggested evidence **may** come from (but is not restricted to):

- written explanations
- CPD investigations and reports
- strategic goals
- professional development logs and analysis.

Unit 404 Estate Management in Schools or Trusts

Level:	Level 4
Credit value:	10
GLH:	35
Relationship to Standard:	This unit has been written to cover core elements of the Associate Practitioner level of the Estate Management discipline area of the ISBL Professional Standards.
Unit aim:	The purpose of this unit is to equip learners with the knowledge and skills required to safely and securely optimise the use and development of the school or trust estate to deliver the identified strategic plans, while meeting sustainability requirements and delivering an effective teaching and learning environment.

Learning outcome (LO1)

The learner will:

1 Understand strategic estate management in a school or trust.

Assessment criteria

The learner can:

1.1 Describe the key purposes of asset management in a school or trust.

1.2 Evaluate school asset management processes, including the reporting systems that are in place.

1.3 Describe how to plan a range of asset management activities that include for the short, medium and long term.

1.4 Explain how your school manages its statutory responsibilities for the safety of pupils, staff and visitors to minimise health and safety issues.

Depth

1.1 The importance of asset management in a school or trust, school or trust sustainability policy.

1.2 Techniques of asset management.

Asset management policies and procedures.
Governor/trustee skills assessment in estate management.
Links to relevant funding/risk assessment/continuity planning.
DfE School Estate Management Standards.

1.3 Short-, medium- and long-term planning of a school's or trusts' assets.
Assessing current needs and future requirements in school or trust assets.
Planning the development of the school's assets to meet its strategic and operational priorities.
Sustainability and environmental impact.
Estate vision and climate action plan.
DfE School Estate Management Standards.

1.4 School health and safety policies.
Risk management including risk register.
Statutory inspections.
Fire safety measures.
Asbestos/legionella management.
HSE guidance.
Structural surveys.
DfE School Estate Management Standards.
ISBL OpEx framework.

Assessment guidance

The learner must:

1.1 Describe the key purposes of asset management in a school. Learners **must** show they understand the term 'asset management' when used in own school or trust context and **must** include at least two key purposes.
This **may** include accountability, loss recovery and insurance

1.2 Evaluate own school or trust asset management processes, including the reporting systems that are in place. Description will not be sufficient as there **must** be an evaluation of processes. This should include some criteria against which a judgement can be made and should not just reflect learner opinion. Learners may link to the purposes set out in AC 1.1.

1.3 Describe how to plan a range of asset management activities for the short, medium and long term. Learners **must** include how to plan at least three asset management activities in own school or trust and **must** include within that description the short, medium and long term.

1.4 Explain how your school manages all its statutory responsibilities to meet health and safety guidelines to ensure the safety of pupils, staff and visitors. Learners **must** include

reference to school policies and procedures, delegated responsibilities, risk management, staff training and relevant surveys.

Suggested evidence **may** come from:

- a written assessment of asset management which could be included in a management report to governors or briefing paper to site staff
- a written report or a professional discussion
- work products showing asset management processes.

Learning outcome (LO2)

The learner will:

2 Understand the optimal use of estate resources.

Assessment criteria

The learner can:

2.1 Conduct a review of a school's or trust's current and future facilities requirements.
2.2 Plan short-, medium- and long-term asset management objectives based on own school or trust priorities.
2.3 Manage asset management reporting systems to ensure consistent and accurate reporting.
2.4 Describe the legislative and regulatory factors influencing the use of space in a school or trust.
2.5 Facilitate effective community engagement when developing school or trust estate.

Depth

2.1 Planning of school asset usage.
Condition survey.
Suitability survey.
Strategic priorities.
Current and predicted pupil numbers and their impact on current facilities.
Sustainability and environmental policies.
Strategic estate vision.
Climate action plan.
DfE School Estate Management Standards.
DfE Estate Management Competency Framework.

2.2 Strategic planning of school space.
Capitalisation of school assets.
Links to organisational priorities and objectives.
Necessary sustainability and environmental considerations.

2.3 Regulatory reporting requirements, audit reporting requirements of asset management related issues, links between reporting and decision making.

2.4 DfE guidance.
Safe use of space in schools or trusts.
Space utilisation in educational settings.
Building bulletins.
Health and Safety regulations on workplace.
Relevant legislation.
Information and Communication Technology spaces.
Toilet spaces.
Sustainability policies.
Environmental considerations.

2.5 Local consultation methods.
Significance of community engagement when developing the school or trust estate.
Identifying relevant stakeholder groups.
Sustainability and environmental considerations.

Assessment guidance

The learner must:

2.1 Conduct a review of their school's or trust's current **and** future facilities requirements (requesting an updated condition survey as necessary). Within their review, learners **must** include reference to the DfE School Estate Management Standards and competency framework.
Learners **may** review aspects such as the current condition of the facilities, current and predicted pupil numbers, curriculum changes or government policy changes that will have an impact on school facilities.

2.2 Provide a plan of short, medium and long term asset management objectives based on and clearly linked to their school or trust priorities. These **must** be specific to the organisation and based on relevant evidence, including improvement, development or capital plans (current and future need). Learners must include a plan for at least two asset management objectives and **must**, within that plan, accountable for the short, medium and long term. This **may** be based on the review conducted for 2.1.

2.3 Demonstrate the management of asset management reporting systems to ensure accurate and consistent reporting and compliance with regulatory requirements. Learners **may** reference the relevant audit and regulatory requirements and show how application of those requirements ensures consistent and accurate reporting. The management of the asset reporting systems **may** take place over a period of time appropriate to the requirements of the organisation.

2.4 Describe the legislative and regulatory factors influencing the use of space in their school. Learners **must** include at **least two** legislative or regulatory factors including specific reference to relevant legislation and regulation including DfE advice and guidance, curriculum requirements, and describe how each of these influences the use of space in a school.

2.5 Facilitate effective community engagement when developing the school estate. Learners must show how they have facilitated at least one community engagement activity linked to the development of their school site. They may identify key stakeholder groups through stakeholder mapping.

Suggested evidence **may** come from:

- written description which might be included in a report or presentation to governors, senior leadership team or trust board
- stakeholder mapping documentation
- work products showing community engagement.

Learning outcome (LO3)

The learner will:

3 Understand the management of estate projects in a school or trust.

Assessment criteria

The learner can:

3.1 Assess the school's long-term capital plans on the basis of the need to demonstrate sustainability, socially responsible practices and environmentally friendly requirements.

3.2 Understand the schools ICT infrastructure and how well this supports teaching and learning.

3.3 Provide an assessment of the extent to which school capital spending supports teaching and learning.

3.4 Produce a cost-benefit analysis to identify facilities that meet service needs and provide value for money.

3.5 Evaluate the long-term sustainability and future viability of income and expenditure proposals linked to capital plans.

Depth

3.1 Long-term strategic plans for the school estate, health and safety requirements, social responsibility practices, sustainability initiatives, environmental impact and alignment, climate action plans, continuity planning, prioritisation of funding for capital projects.

3.2 DfE guidance on ICT infrastructure in schools, network stability, contracts, technical support, plans for ongoing developments to the ICT infrastructure, sustainability, social

responsibility, safeguarding, environmental considerations. Development of digital technology, cyber security measures, ISBL OpEx framework.

3.3 Links between capital spending and impact on teaching and learning, links between estate expansion and improvement planning.

3.4 Concept of value for money in capital plans and projects.
Options in providing facilities to meet school needs and wider community needs
Cost-benefit analysis methods, principles and concepts of value for money, sustainability, and environmental considerations.

3.5 Key considerations that must be taken into account when considering long-term sustainability and viability.
Given likely or potential changes over time how sustainable proposals are.
What steps can be taken to maintain or create sustainability.

Assessment guidance

The learner must:

3.1 Learners **must** conduct an assessment of their school's long-term plans for estate management taking into account the need to demonstrate alignment with health and safety requirements, social responsibility, sustainability practices, environmental issues and alignment with the DfE School Estate Management Standards.
This **may** include internal evidence including school capital plans and available funding, and external evidence.

3.2 Learners **must** conduct an assessment of own school's ICT infrastructure. They **may** use the DfE guidance to underpin this assessment. This must be a structured assessment linking findings to teaching and learning and **must** make at least one recommendation for improvement.

3.3 Learners **must** provide an assessment of the extent to which spending on capital projects impacts on teaching and learning within their school. Learners **must** identify one aspect of capital spending and then assess this for impact on teaching and learning in their school. This **must** be an assessment using relevant criteria. A description alone will not be sufficient.

3.4 Cost-benefit analysis methods, concepts and principles of value for money, budget allocations for capital projects, due diligence, sustainability and environmental considerations, health and safety, risk management
Learners **must** produce a cost-benefit analysis and reference value for money and how this will be achieved.

This **may** be for current use, change of use or additional use for school facilities. This **may** be for buildings or grounds, including consideration of lettings or change of use for rooms.

3.5 Evaluate the long-term sustainability **and** future viability of expenditure **and** income proposals related to capital plans. Learners **must** give an evaluation based on criteria and

not just learner opinion. Reference to **both** initial and recurrent costs and sources of funding **must** be made.

Suggested evidence **may** come from:

- written descriptions and work products
- a report suitable to be presented to governors giving a proposal for a change of use to facilities based on a review of current and future space requirements which must include a cost-benefit analysis including sources of funding.

Learning outcome (LO4)

The learner will:

4 Understand maintenance, facilities and grounds management.

Assessment criteria

The learner can:

4.1 Assess identified repairs and improvements against a budget and available provisions for repair.

4.2 Produce facilities management reports and analysis for a leadership team or governing board/trust board.

4.3 Describe the processes involved in disaster recovery and contingency planning.

Depth

4.1 Costing of potential repairs and improvements - identified through inspection, audit or survey - prioritising repairs and maintenance based on H&S compliance and other regulations, planned preventative maintenance versus reactive maintenance/repair considerations associated with sustainability, and environmental impact.

4.2 Monitoring and analysis of maintenance budget, summary of costs relating to repairs, maintenance and improvements, reporting on school's maintenance programme, considerations of sustainability and environmental issues/impact.
H&S legislation.

4.3 Purpose and design of disaster recovery plans.
Contingency planning processes.
Business continuity planning.
Identifying a school's planning for emergencies.
Relevant legislation and H&S compliance.
Awareness and compliance with cybersecurity measures.

Assessment guidance

The learner must:

4.1 Provide an assessment that identifies required repairs and improvements against a budget and available provisions for repair. Learners **must** also identify and differentiate between those facilities that require statutory inspection and servicing and those facilities where inspection and servicing of facilities is good practice.
An options appraisal for potential repairs and improvements **may** be carried out and can include identification of priorities with estimated costs for a specified budget period, including contingency costs.

4.2 Produce facilities management reports and analysis for own leadership team and governing board/trust. Learners **must** produce a report and analysis showing how the facilities programme is being managed against current requirements and future needs with suggestions for improvements highlighted and based on the analysis.

This **may** be based on the assessment and options appraisal carried out for AC 4.1. This **may** include essential costs and funding sources, benchmarking against other similar schools.

4.3 Describe the processes involved in disaster recovery and contingency planning. Learners **may** reference exemplar plans and relevant guidance for disaster recovery plans and describe the processes that should be in place. This **may** include both preparation and dissemination of written plans and options for disaster recovery exercises. The measures that should be in place for contingency planning including loss prevention measures and risk assessment of loss of key services, fire and security **may** be included.

Suggested evidence **may** come from:

- written description of disaster recovery and contingency planning
- assessment of repairs and improvements
- professional discussion
- reports suitable to be presented to governors or site staff relating to facilities management
- work products including planning documentation and research documentation.

Unit 405 Marketing and Communications in Schools or Trusts

Level:	Level 4
Credit value:	9
GLH:	30
Relationship to Standard:	This unit has been written to cover core elements of the Associate Practitioner level of the Marketing and Communications discipline area of the ISBL Professional Standards.
Unit aim:	The purpose of this unit is to equip learners with the knowledge and skills needed to support the planning, management, delivery and review of a range of marketing and communication activities in a school or trust.

Learning outcome (LO1)

The learner will:

1 Be able to plan and evaluate school marketing activities alongside a communications strategy

Assessment criteria

The learner can:

1.1 Research and define a school's or trusts stakeholder groups, including:

- parents
- staff
- community
- prospective parents
- pupils.

1.2 Advise on and influence the development of a marketing and communication plan.

1.3 Evaluate marketing activities undertaken by the schools or trusts.

Depth

1.1 Stakeholder analysis: categories of stakeholder groups.
Techniques for stakeholder analysis.
Parental engagement.
Identifying and targeting prospective parents.

1.2 Provide input and guidance on school/trust marketing and communication plans.
Marketing and communication plans should have 'specific aims, to deliver the school mission and goals'.
Design and review of marketing plans.
School/trust vision and mission statements.
Identification of unique selling points.

1.3 Defining marketing objectives and success criteria.
Auditing marketing activities.
Models for the evaluation of marketing activities.
Practical techniques for evaluating marketing activities.

Assessment guidance

The learner must:

1.1 Research and define a school's or trust's stakeholder groups, including:

- parents
- staff
- community
- prospective parents
- pupils.

Learners **must** research and define **all** the groups.
They **may** reference different techniques for stakeholder analysis and complete a stakeholder analysis for a school or trust.

1.2 Advise on and influence the development of a marketing **and** communication plan.
Learners **must** demonstrate an understanding of the principles behind marketing **and** communication plans and show how they have advised **and** influenced their development.
The evidence **may** come from a non-education sector. Review of existing marketing and development plans with recommendations for improvements **may** also be used as evidence as this is part of the continuing development of plans and activities.

1.3 Evaluate marketing activities undertaken by the school or trust . Learners **must** be able to define marketing activities in a school or trust and also be able to apply success criteria.
They **should** evaluate **at least two** marketing activities and identify their strengths and weaknesses.

Suggested evidence **may** come from (but is not restricted to):

- a marketing and communication plan
- stakeholder analysis
- marketing documentation
- written evaluation.
- team meetings minutes,
- individual feedback to and from the team
- presentations used in the development and review of marketing activities.

Learning outcome (LO2)

The learner will:

2 Understand the importance of managing a school's or trust's brand and reputation.

Assessment criteria

The learner can:

2.1 Assess the need for consistent information across all communication channels.

2.2 Explain the importance of a reputational management strategy.

2.3 Examine reporting channels and options for dealing with incidents that could affect the reputation and brand of a school or trust.

Depth

2.1 Concept of the 'marketing mix'.
Identification of communication channels.
Strategies for co-ordination of messages across channels.
ISBL OpEx framework.

2.2 Definition of 'reputation management'.
Concept of 'role model' in stakeholder engagement.
Frameworks for reflection on current behaviour and contribution to the school's reputation.
Branding in school or trust settings.
ISBL OpEx framework.

2.3 Developing and maintaining inventory of reporting channels and media contacts.
Strategies for managing information in critical incidents.
Preparing a publicity release.
Managing negative press coverage.

Assessment guidance

The learner must:

2.1 Assess the need for consistent information across all communication channels. Learners **must** identify the communication channels used within their organisation and then assess how well they convey consistent information.
They **may** also assess the need for different media forms including any pros and cons and include strategies for the co-ordination of messages across channels.

2.2 Explain the importance of a reputational management strategy. Learners must demonstrate their understanding of branding and the importance of this for marketing. The learner **may** include a SWOT (strengths, weaknesses, opportunities, threats) analysis for marketing activities to explain the importance of reputational management strategy. They **may** outline the impact, both positive and negative, that marketing activities can have on an organisation and include the short, medium and long term.

2.3 Examine reporting channels and options for dealing with incidents that could affect the reputation and brand of a school. Learners **must** examine **at least two** reporting channels and options for dealing with incidents to determine their effectiveness.
Learners **may** examine how consistent and accurate reporting is maintained by the organisation and develop a template that could be used for critical incidents and for managing press liaison.

Suggested evidence **may** come from (but is not restricted to):

- written description which might be included in a report or presentation to governors/trustees, senior leadership team or trust board
- marketing activities information
- school or trust policies
- incident reporting documentation.

Learning outcome (LO3)

The learner will:

3 Know how communication and marketing activities can be effectively used by schools or trusts.

Assessment criteria

The learner can:

3.1 Evaluate how a range of communication formats can be used to effectively promote a school or trust.

3.2 Describe current statutory legislation in relation to marketing activities.

3.3 Evaluate the effectiveness of a range of promotional activities.

3.4 Describe key health and safety regulations that must be adhered to when managing a schools or trusts public events.

Depth

3.1 Overview of communication channels for marketing purposes.
Range of communication formats: text, visual, audio, video.
Preparation of media releases for different communication channels.

3.2 UK marketing legislation:
Data protection legislation.
Safeguarding legislation.
Monitoring compliance of selected marketing activities.

3.3 Models and checklists for the evaluation of a marketing activity.
Defining outcomes and success criteria for marketing activities.
Gathering evidence of process and outcomes of marketing activities.
Presenting findings from the evaluation of a marketing activity.

3.4 HSE guidance on managing events: including - venue and site design, crowd management, risk management.
Use of checklists for managing health and safety in public events.
Co-ordination of work activities/preparation of a programme of work.
Developing emergency plans for public events.

Assessment guidance

The learner must:

3.1 Evaluate how a range of communication formats can be used to effectively promote a school or trust. Within their evaluation, learners **must** include at least three communication formats. They **must** identify the difference between the formats and evaluate how these can be used effectively to promote a school or trust.
Formats **may** include text, visual, audio and video.

3.2 Describe current statutory legislation in relation to marketing activities. Learners **must** include a descriptive overview of UK marketing legislation and how this applies to schools or trusts.
This **may** include information on how selected marketing activities are monitored to ensure compliance and who is responsible for ensuring this in schools or trusts

3.3 Evaluate the effectiveness of a range of promotional activities. Learners **must** identify and evaluate **at least three** promotional activities which are relevant to their school or trust.

They **must** evaluate the outcomes and success criteria for each of the identified activities to make a judgement on their effectiveness.

3.4 Describe key health and safety regulations that must be adhered to when managing a school's public events.
Learners **may** produce a table describing key health and safety legislation and how this applies to schools or trusts managing public events. This **may** include all HSE guidance for the venue, crowd management, health and safety and risk management. This **may** include a flow chart showing responsibility and timeline.

Suggested evidence **may** come from (but is not restricted to):

- written description or evaluation
- examples of communication formats
- legislative documents
- promotional activities
- public event organisation documents

These could be included in a report or a PowerPoint presentation aimed at the senior leadership team and governing board.

Learning outcome (LO4)

The learner will:

4 Be able to identify and plan income generating activity in a school or trust.

Assessment criteria

The learner can:

4.1 Identify income generation opportunities applicable to a school or trust.
4.2 Evaluate the potential risks associated with income generation activities in schools or trusts.
4.3 Create realistic mitigation plans for potential risks.
4.4 Research and write current bid opportunities.

Depth

4.1 Techniques for auditing a school's or trust's current income-generation activities.
Researching the range of income-generating strategies in school or trust contexts.
Research into school or trust improvement plans and budget requirements.
Activity-based costing of improvement plans.
Identification of sources of funding for planned activities: gap analysis.

4.2 Measurement of the costs and benefits associated with income-generating activities.
Assessing the risks in specific income-generating activities.

4.3 Plans identifying how to manage the risks in specific income-generating activities, ISBL OpEx framework.
Steps the school or trust can take to avoid or limit the risks identified.

4.4 Researching bid opportunities: range of potential sources of income.
Different categories of tendering/bidding opportunities.
Assessing bid opportunities in relation to school or trust needs/context
Key skills in bid-writing.

Assessment guidance

The learner must:

4.1 Identify income-generation opportunities applicable to a school or trust. Learners **must** identify at least two income generation opportunities applicable to a school or trust. They **may** link this to areas of the school or trust improvement plan. An options appraisal and gap analysis **may** be carried out and could include identification of priorities, costs including contingency costs, and identification of possible funding sources.

4.2 Evaluate the potential risks associated with income-generation activities in schools or trusts. Learners **must** produce a report evaluating areas of potential risk linked to a school's or trust's current income-generation activities.
This **may** include researching a range of income generating strategies in a school or trust context in order to identify potential risks.

4.3 Create realistic mitigation plans for potential risks. This **may** follow activities completed from
AC 4.2. This **must** include an identification of all areas of risk and a proposal for mitigating these risks.

4.4 Research and write current bid opportunities. The bid opportunities **must** be of a suitable size and complexity that reflects the learner's job role and level. Learners **must** produce a bid and include all of the documentation that they have as part of the research they completed.
This **may** include potential sources of income, different sources of information, different categories of income, the difference between tendering and bidding opportunities, school needs and strategies. The learner **may** use the bid documentation currently used for writing bids within their own school. A case study/simulation **may** be used to assess this AC where opportunities to work on actual bids aren't available.

Suggested evidence **may** come from (but is not restricted to):

- written explanations and evaluations
- income generation documentation
- research and bid documentation which may be used as a report or presentation to governors.

Appendix 1 Assessment guidance

This appendix provides further information on how to assess all internally-assessed units.

Assessment planning and review

Centres need to produce an assessment plan for each learner to show what evidence is required. Assessment plans should indicate clearly which assessment criteria are being targeted.

An initial assessment plan must be continually reviewed and up-dated throughout the learner's progress on the programme. This ensures effective time management and targeting of achievement. It is essential for ensuring steady progress and avoiding non-completion of the programme.

The assessment plan should clearly indicate the actions, resources and timescale for completion, and be agreed and completed at each meeting of the learner and their assessor. At subsequent meetings the plan should build with feedback and review and further actions should be agreed.

Copies of the plan should be held by the learner and also by the centre - usually with the assessor. External Quality Assurers will require access to the plans to verify the centre's compliance with the requirements in this respect.

Quality assurance

Centres should be aware that any assessment decision made within the centre is subject to External Quality Assurance by ILM. It is important that centres have a procedure for explaining this clearly to learners - possibly during the induction process, or in learner handbooks, etc.

Learners should be told that assessment decisions are informal, until confirmed by both internal and External Quality Assurance processes. This should form part of the routine feedback to learners on assessment decisions.

Documentation should be in place to allow Internal Quality Assurances and External Quality Assurances to trace exactly how the assessment decision was reached. It is important that the assessor is able to record how the learner's evidence demonstrates their competence so that the assessor judgement and decision is clear. Centres may like to consider the example Assessment Record Sheet provided in Appendix 4.

Centres should refer to the ILM Internal Quality Assurance Policy for full details of both Internal and External Quality Assurance guidance.

Workplace assessment

Learners are expected to demonstrate competence to the standards required over a period of time sufficient to demonstrate they are competent. Therefore, to ensure validity, evidence should be naturally occurring and collected through performance in the workplace.

It is acknowledged that not all employers' workplaces are the same, therefore assessment conditions may not be identical. However, to safeguard the integrity of the qualification and ensure a robust and consistent approach to assessment the assessor must ensure the assessment conditions reflect, as far as possible, those in which the learner is expected to work.

It is imperative the learner is not placed under more, or less, pressure than found normally in the workplace during assessment. It could be the case the learner may feel more pressure simply because he or she is being assessed.

Simulation/case study

Where naturally occurring evidence cannot be generated in the workplace in the first instance learners and centres are advised to discuss ways of creating opportunities where this may be possible in the working environment.

Evidence may be produced through simulation/case study solely in exceptional circumstances unless it is explicitly indicated in this handbook that simulation/case study is not allowed. The exceptional circumstances, under which simulation/case study is possible, are those situations that are not naturally or readily occurring, **and** it is not possible to create suitable opportunities to generate them in the working environment. You may find it helpful to discuss this with your QCM prior to the simulation/case study activity.

Simulation/case studies must be undertaken in a 'realistic working environment' (RWE). An RWE is 'an environment which replicates the key characteristics in which the skill to be assessed is normally employed'. The RWE must provide conditions the same as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working.

Holistic and integrated assessment

A holistic approach towards the collection of evidence for this qualification is encouraged. The focus should be on assessment activities generated in the workplace, through naturally occurring evidence, rather than focusing on specific tasks. Taken as a whole, the evidence must show the learner meets all learning outcomes and assessment criteria consistently, over a period of time. It should be clear where each learning outcome/assessment criteria has been covered and achieved.

Holistic assessment could be achieved through the use of integrated assessments. Units do not have to be assessed one-by-one; they can be assessed in combination. When a single assessment instrument, including a project or presentation, is used for two or more units, this is called 'integration'.

A rationale for integrating assessments is needed, for example, either sequencing (i.e. one unit naturally follows and builds on another) or content overlap (ie there are common areas between units, eg communication). The same integration principles can be applied to individual learning outcomes from different units.

All the assessment criteria from the units being integrated need to be included in the assessment exactly as worded in the unit. However, to save the learner from having to do much of the same thing repeatedly, one piece of work by the learner may well simultaneously satisfy two or more similar criteria.

Further guidance on integrating assessments could be found in the ILM Guidelines for integrating assessment for two or more ILM units.

Judging sufficiency

Judging the sufficiency of a learner's piece of work is often a key aspect in assessment. The test of whether the evidence is of sufficient quantity and quality is very much informed by the qualification level and, in particular, by the verb used in the relevant assessment criterion. The higher levels expect a fuller learner response with greater breadth and depth.

Some sufficiency indicators are provided in the unit assessment guidance for the units. In addition to these, assessors, tutors and learners must examine the verb used in the assessment criterion. At Level 4, lower level of demand assessment verbs such as 'identify', 'describe' and 'explain' are commonly used in criteria. At Level 5, more demanding assessment verbs like 'assess' and 'analyse' are used. Definitions of key assessment verbs can be found on the ILM Assessment Verb Glossary.

Evidence presented by the learner can be claimed against more than one assessment criterion as long as it meets the criterion requirements. For example, evidence from a work project undertaken by the learner could provide sufficient evidence to meet the requirements of a number of assessment criteria from a number of different units.

Documentation should be in place to allow Internal and External Quality Assurers to trace exactly how the assessment decision was reached.

Grounds for referral

Although there can be grounds for being unable to review a portfolio of evidence, learners cannot be referred purely because of poor literacy, presentation or missing a deadline. The reason must relate to the requirements of the assessment as articulated by the assessment criteria.

Authenticity

It is a regulatory requirement that every learner must formally declare the authenticity of their work for each submission for assessment. Declarations must be in an auditable form. ILM External Quality Assurers cannot ratify any assessments where the learner has not specifically confirmed it is their own work.

ILM provides a Submission Cover Sheet that centres are recommended to use for this purpose, which could be found in the *ILM Plagiarism, Collusion and Cheating Policy*. If a centre opts not to use the cover sheet, it is essential that some mechanism is used to require learners to specifically confirm the authenticity of each assessment.

Communication of assessment decisions

Centres should be aware that any assessment decision made within the centre is subject to ratification by ILM. It is important that centres have a procedure for explaining this clearly to learners - possibly during the induction process, or in learner handbooks. Learners should be told that assessment decisions are informal, until confirmed by Internal and External Quality Assurance and the awarding body. This should form part of the routine feedback to learners on assessment decisions.

Language of assessment

Assessment of all units for this qualification will be available in English. All learner work must be in English.

Access arrangements

Assessments need to be administered fairly to all learners.

Access arrangements allow candidates to show what they know and can do without changing the demands of the assessment, for example, through the use of readers, scribes and Braille question papers. Access arrangements are agreed before an assessment. They allow candidates with special educational needs, disabilities or temporary injuries to access the assessment.

Further information on how to apply for access arrangements can be found in the *ILM Access Arrangements and Special Considerations* policy.

Special considerations

A special consideration is a post-assessment adjustment reflecting an unforeseen circumstance which could affect a learner's performance during or near the time of an assessment. Further information on how to apply for special considerations can be found in the *ILM Access Arrangements and Special Considerations* policy.

Appendix 2 Conducting professional discussions

Purpose

A professional discussion is a planned, in-depth, two-way conversation between an assessor and a learner and provides a holistic approach to assessing performance, knowledge and understanding. It can be used to probe the level of competence of the learner so the assessor is certain that their actions are based on a firm understanding of principles which support practice. It can be used to test the validity and reliability of a learner's evidence and confirm authenticity where this is questionable. It can help a learner who finds written evidence difficult to produce or used to address any gaps in the learner's product evidence. It enables the assessor to make a judgement of competence against agreed standards.

Planning the discussion

Learners and assessors should plan for a professional discussion. It should be a structured process where a time and date are agreed in advance. Appropriate time must be allowed for the discussion to take place and the specific areas of activity to be explored. The methods by which the discussion will be conducted must be clearly identified and agreed in advance.

The assessor needs to be clear about the required outcomes and should agree with their learner a list of areas/points they wish them to cover. It is recommended that learners receive a written copy of these points in advance of the discussion. Assessors should ensure that learners have a good understanding of the relevant standards and the assessment process.

Facilitating the discussion

The assessor must be skilled in putting the learner at ease and should be experienced in the interviewing process in order to make their learners feel comfortable about the process. Therefore, the assessor's interpersonal skills are key in achieving positive results. The assessor's role is to manage the process in order to allow their candidate to prove their knowledge and understanding in a supported environment but without the assessor constantly directing and leading the conversation.

As the beginning of the discussion, the assessor is likely to be doing most of the talking, for example recapping the reason for the discussion and agreeing how the main points of the discussion will be assessed and recorded. However, as the discussion progresses, the learner should be doing most of the talking with the assessor ensuring the discussion remains focused and effective. They may periodically summarise points covered, question to probe for more information or clarify certain points of the discussion while using language the learner understands. The discussion needs to be time managed by the assessor.

Recording the discussion

When using this assessment method, the discussion becomes the evidence and it is how the discussion is managed, recorded and referenced that will make it valid, relevant and reliable.

The discussion may take place face-to-face or remotely and arrangements for this should be agreed in advance.

A professional discussion is a planned event which is recorded. The recording can use a variety of techniques including written notes, verbal recording, video, Skype, recording on smart phones and online Instant Messaging. The discussion must be saved and included as part of the learner evidence with the assessment criteria annotated as to where they have been addressed.

A record of the discussion should be produced to show how the points relate to the standards/evidence requirements. Whatever recording method is selected, the assessor needs to ensure that the evidence resulting from the discussion is clearly referenced to the appropriate standards/evidence requirements. This is important to enable effective Quality Assurance and is a way of formalising the process.

If handwritten notes are taken by the assessor it is good practice for the learner to authenticate them and confirm them as a true record of the conversation. If audio is used, it is important that the learning outcomes/assessment criteria are mapped to the recording – ideally with the time when the criteria was addressed via the discussion. For example, 1m 55 secs AC 3.1, 2m 43 secs AC 5.4 and AC5.5.

The learner's evidence and the assessor's decision about the evidence must be available to all those involved with Quality Assurance. There is not a need to transcribe recordings but annotated time counters will allow the Quality Assurance team to pinpoint material more easily during the Quality Assurance process.

Common mistakes when conducting a professional discussion

- Lack of preparation.
- No clear link between the discussion and relevant standards.
- Lack of prior agreement between assessor and learner about the format/content.
- No specified time or dedicated space for the discussion.
- Not referencing the discussion correctly.
- Use of group discussion instead of required individual discussion.
- Ineffective questioning and discussion techniques, such as:
  - asking too many questions at once.
  - asking a question and then the assessor answering it themselves.
  - always asking the same kind of question.
  - not giving the learner time to think and answer.
  - asking difficult questions too early in the conversation.
  - leading the learner.

Appendix 3 Assessment plan template

This record is for ongoing use throughout the assessment process. It is intended for the learner and assessor to detail agreed planning for assessment of skills and combined units.

Qualification:		**Learner name:**	
Unit:			

Date *Date the action is agreed*	**Action** *The activity to be carried out, resources needed, type of evidence or assessment, and links to units*	**By when** *Date by which action is to be completed*	**Feedback and review** *Feedback on the outcome of the action and consideration of what is next. Leads to new action agreed in next row*

The actions, feedback and review outlined above have been agreed between the assessor and learner.

Signature of learner:		Date:	
Signature of assessor:		Date:	

Appendix 4 Assessment record sheet

Qualification:		**Learner name:**	
Unit:			

Evidence reference or location	**Evidence title**	**Links to other units**	**Assessment criteria**																	

I confirm that the evidence provided is a result of my own work.

Signature of learner: Date:

I confirm that the learner has demonstrated competence by satisfying all of the assessment criteria for this unit.

Signature of assessor: Date:

Appendix 5 Sources of general information

The following documents contain essential information for Centres delivering ILM qualifications. They should be referred to in conjunction with this handbook. To download the documents and to find other useful documents, go to the ILM Website www.i-l-m.com.

ILM Customer Handbook contains all of the essential information you need to work with ILM, including your contract and our policies. Specifically, the document includes sections on:

- Section A: Introducing ILM
- Section B: How to become an ILM Approved Centre and Recognised Provider
- Section C: Your contract with ILM
- Section D: Policies and Guidance.

Linking to this document from web pages

We regularly update the name of documents on our website, therefore in order to prevent broken links we recommend that you link to our web page that the document resides upon, rather than linking to the document itself.

Useful contacts

ILM Customer Services General enquiries Events enquiries International enquiries	**E: customer@i-l-m.com**
Complaints and feedback Complaints and feedback	**E: customer@i-l-m.com**
ILM Regulation and compliance Reporting malpractice/maladministration Reporting incidents of plagiarism Lodging appeals	**E: ILMregulation@i-l-m.com**

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We believe that great leaders can come from anywhere. With the right support, anyone can grow and develop to make a real difference to their team and organisation. Which is why we help individuals from all levels to realise and apply their potential, so that the organisations they work for can reap the benefits.

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