

**Level 1 – Principal Learning**

Specification (7431)

Assessment 2010 onwards

AQA

City &  
Guilds

## RETAIL BUSINESS





# Retail Business

## Level 1 Principal Learning

**Specification (7431)**  
**Assessment 2010 onwards**

This Principal Learning specification should be read in conjunction with:

- Specimen assessment materials and mark schemes for Principal Learning
- Teacher guidance materials for Principal Learning
- Examiners' Reports for Principal Learning
- Specifications for other components of Diplomas ie Functional Skills specifications, Project specifications and Additional and Specialist Learning specifications

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# 1 Introduction

## 1.1 Why choose AQA-City & Guilds?

AQA is the UK's main provider of GCSEs and A levels. Over 3.5 million AQA examinations are taken every year and AQA is recognised by schools and colleges as the number one choice for customer service and high quality products.

City & Guilds is a household name for vocational qualifications. City & Guilds offers over 500 awards across a range of industries. With over 8500 centres in over 100 countries, City & Guilds is recognised by employers worldwide. It works closely with employers and industry bodies to ensure that its qualifications provide the benchmark standard for workplace skills and knowledge.

Diplomas are a blend of academic and vocational learning and that is why AQA-City & Guilds is the ideal choice for any school, college or consortium looking to offer them. The collaboration brings together the leading providers of qualifications in both fields to provide all the support you need to deliver the Diploma at one point of contact.

## Why are AQA and City & Guilds so popular?

- **Specifications**

These are designed to the highest standards, so that teachers, learners and learners' parents or guardians can be confident that an AQA-City & Guilds award provides an accurate measure of achievement. Assessment structures have been designed to achieve a balance between rigour, reliability and demands on learners and teachers.

- **Support**

AQA-City & Guilds runs the most extensive programme of Diploma support meetings available in the UK; these are free of charge in the first years of a new specification and are offered at a very reasonable cost thereafter. These meetings explain the specification and suggest practical teaching strategies and approaches that really work. Further support is available from Diploma Support Teams.

- **Service**

AQA-City & Guilds Diplomas are administered from AQA's offices in Manchester and Guildford. We are committed to providing an efficient and effective service and we are at the end of a phone when you need information, advice or guidance. We will try to resolve issues the first time you contact us and will work with you to find the solution.

- **Ethics**

AQA and City & Guilds are registered charities. We have no shareholders to pay. We exist solely for the good of education. Any surplus income is ploughed back into educational research and our service to you, our customers. We don't profit from education, you do.

If you are an existing customer with either AQA or City & Guilds, we thank you for your support. If you are thinking of adopting AQA-City & Guilds for Diplomas, we look forward to welcoming you.

## 1.2 Why choose the Diploma in Retail Business?

The Diploma in Retail Business will empower 14–19 year old learners to make informed choices about a career in modern retail and related supply chain businesses. It will develop confident and enterprising young people who can take calculated risks and make ideas happen.

The retail sector and its supply chain are undergoing fundamental change. The sector will need employees who are motivated, creative and self-disciplined, and, most importantly, who are able to adapt rapidly and confidently to changing environments and circumstances.

Learners taking the Diploma in Retail Business will also:

- have the opportunity to progress into work-based training, or further and/or higher education
- develop Functional Skills in English, mathematics and ICT
- produce a project which complements the Principal Learning and/or supports their progression
- have a wide choice of additional and specialist learning from which they can choose other qualifications which reflect their interests and abilities.

## 1.3 How do I start using this specification?

- Your school or college must pass through the Government Gateway process in order to receive approval to offer Diplomas in Retail Business. Gateway 1 approved consortia started teaching Diplomas in 2008, Gateway 2 approved consortia start teaching Diplomas in 2009, and Gateway 3 is approving consortia to start teaching in 2010. More information is available on the DCSF website: **[www.dcsf.gov.uk](http://www.dcsf.gov.uk)**
- If you are a Gateway approved centre working as part of a consortium delivering Diplomas, you will also need to register your centre with us. (See Section 5.2.) This will enable AQA to ensure that you receive all the material you need to help you to deliver units and to enter your learners for examinations. This is particularly important where examination material is issued before the entry deadline. You can let us know by completing the appropriate registration forms. We will send copies to your exams officer and they are also available on the AQA website: **[www.aqa.org.uk/admin/p\\_entries.html](http://www.aqa.org.uk/admin/p_entries.html)**
- Almost all examination centres in England and Wales are approved by either AQA or City & Guilds or both. A small minority are not. If your centre is new to both AQA and City & Guilds, please contact our centre approval section at: **[centreapproval@aqa.org.uk](mailto:centreapproval@aqa.org.uk)**

## 1.4 How do I find out more?

### Use Ask AQA – our online information service

Centres offering AQA-City & Guilds Diplomas will have 24-hour access to answers to the most commonly-asked questions at:

**[www.aqa.org.uk/rn/askaqa.php](http://www.aqa.org.uk/rn/askaqa.php)**

If the answer to your question is not available you can submit a query for our team. Our target response time is two days.

### Contact your Diploma Support Team

You may also contact the Diploma Support Team for your region. Please check current details on:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

Diploma Support Teams have particular expertise in:

- supporting centres and consortia on Gateway applications
- curriculum development and delivery including consortium operation
- assessment and quality assurance
- dealing with work experience.

### Attend a Teacher Support meeting

Details of the full range of current Teacher Support meetings are also available on our website.

There is a link to our fast and convenient online booking system for Teacher Support meetings at:

**[events.aqa.org.uk/ebooking/](http://events.aqa.org.uk/ebooking/)**

If you need to contact the Teacher Support team you can call us on 01483 477860 or email us at:

**[teachersupport@aqa.org.uk](mailto:teachersupport@aqa.org.uk)**

### Contact the Exams Office Support department

Our Exams Office Support department offers administrative support for the Diplomas. There is an office team to deal with your queries about:

- general administration
- general documents
- results documents
- timetable information
- publication orders.

You can contact us on 0870 410 1036 or email: **[eos@aqa.org.uk](mailto:eos@aqa.org.uk)**

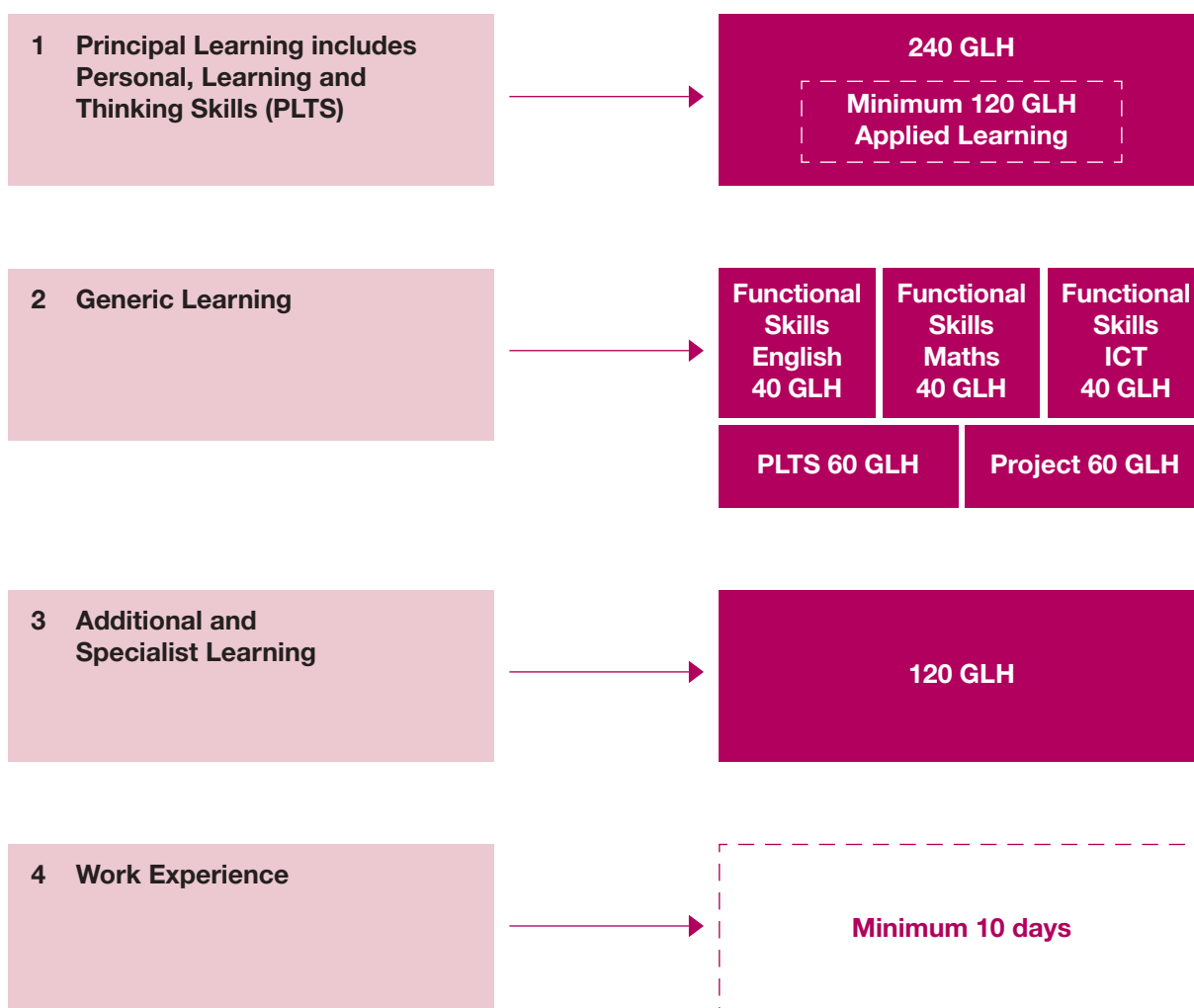
The department includes AQA's five Regional Officers who can provide up-to-date information, advice, support and guidance at a local level in your region. To contact the Regional Officer for your area, see:

**[www.aqa.org.uk/regional\\_officer.php](http://www.aqa.org.uk/regional_officer.php)**

## 2 Specification at a glance

### 2.1 Foundation Diploma at a glance – 600 GLH (guided learning hours)

- comparable to 5 GCSEs grade D–G
- 1 year full-time study or 2 years part-time with National Curriculum programmes of study
- all components are compulsory



## 2.2 Level 1 Principal Learning in Retail Business at a glance

- all 6 units are compulsory

### **Unit 1 30 GLH**

**An introduction to retail**  
Externally assessed

### **Unit 2 60 GLH**

**Exploring enterprise in retail businesses**  
Internally assessed

### **Unit 3 30 GLH**

**Introducing the retail supply chain**  
Internally assessed

### **Unit 4 60 GLH**

**Introducing the retail outlet**  
Internally assessed

### **Unit 5 30 GLH**

**Introduction to customer service in retail businesses**  
Internally assessed

### **Unit 6 30 GLH**

**Introduction to retail selling**  
Internally assessed

## 3 Principal Learning

### 3.1 Personal, Learning and Thinking Skills

The Framework of Personal, Learning and Thinking Skills 11–19 comprises six groups of skills that, together with the Functional Skills of English, mathematics and ICT, are essential to success in learning, life and work. For each group there is a focus statement that summarises the intended outcome of achieving the PLTS in that group. This is followed by a set of outcome statements that are indicative of behaviours and personal qualities associated with each group of skills.

Each group of skills is distinctive and coherent. The groups are also inter-connected. Learners are likely to encounter skills from several groups in any one learning experience.

Listed below is the PLTS framework. A copy of this should be given to each learner. Following these descriptors is a table showing the PLTS that are integrated into the assessment criteria in the Level 1 Principal Learning in Retail Business.

#### Independent enquirers

Focus:

Young people process and evaluate information in their investigations, planning what to do and how to go about it. They take informed and well-reasoned decisions, recognising that others have different beliefs and attitudes.

Young people:

IE1 identify questions to answer and problems to resolve

IE2 plan and carry out research, appreciating the consequences of decisions

IE3 explore issues, events or problems from different perspectives

IE4 analyse and evaluate information, judging its relevance and value

IE5 consider the influence of circumstances, beliefs and feelings on decisions and events

IE6 support conclusions, using reasoned arguments and evidence

#### Creative thinkers

Focus:

Young people think creatively by generating and exploring ideas, making original connections. They try different ways to tackle a problem, working with others to find imaginative solutions and outcomes that are of value.

Young people:

CT1 generate ideas and explore possibilities

CT2 ask questions to extend their thinking

CT3 connect their own and others' ideas and experiences in inventive ways

CT4 question their own and others' assumptions

CT5 try out alternatives or new solutions and follow ideas through

CT6 adapt ideas as circumstances change

## Reflective learners

### Focus:

Young people evaluate their strengths and limitations, setting themselves realistic goals with criteria for success. They monitor their own performance and progress, inviting feedback from others and making changes to further their learning.

### Young people:

RL1 assess themselves and others, identifying opportunities and achievements

RL2 set goals with success criteria for their development and work

RL3 review progress, acting on the outcomes

RL4 invite feedback and deal positively with praise, setbacks and criticism

RL5 evaluate experiences and learning to inform future progress

RL6 communicate their learning in relevant ways for different audiences

## Team workers

### Focus:

Young people work confidently with others, adapting to different contexts and taking responsibility for their own part. They listen to and take account of different views. They form collaborative relationships, resolving issues to reach agreed outcomes.

### Young people:

TW1 collaborate with others to work towards common goals

TW2 reach agreements, managing discussions to achieve results

TW3 adapt behaviour to suit different roles and situations, including leadership roles

TW4 show fairness and consideration to others

TW5 take responsibility, showing confidence in themselves and their contribution

TW6 provide constructive support and feedback to others

## Self-managers

### Focus:

Young people organise themselves, showing personal responsibility, initiative, creativity and enterprise with a commitment to learning and self-improvement. They actively embrace change, responding positively to new priorities, coping with challenges and looking for opportunities.

### Young people:

SM1 seek out challenges or new responsibilities and show flexibility when priorities change

SM2 work towards goals, showing initiative, commitment and perseverance

SM3 organise time and resources, prioritising actions

SM4 anticipate, take and manage risks

SM5 deal with competing pressures, including personal and work-related demands

SM6 respond positively to change, seeking advice and support when needed

SM7 manage their emotions, and build and maintain relationships.

## Effective participators

Focus:

Young people actively engage with issues that affect them and those around them. They play a full part in the life of their school, college, workplace or wider community by taking responsible action to bring improvements for others as well as themselves.

Young people:

EP1 discuss issues of concern, seeking resolution where needed

EP2 present a persuasive case for action

EP3 propose practical ways forward, breaking these down into manageable steps

EP4 identify improvements that would benefit others as well as themselves

EP5 try to influence others, negotiating and balancing diverse views to reach workable solutions

EP6 act as an advocate for views and beliefs that may differ from their own.

This table shows the coverage of PLTS in the Principal Learning units of the Foundation Diploma in Retail Business.

### Level 1 Principal Learning in Retail Business

PLTS	IE	CT	RL	TW	SM	EP
Unit 1						
Unit 2		★	★	★		★
Unit 3	★					
Unit 4		★			★	
Unit 5			★		★	
Unit 6						

## 3.2 Functional Skills signposting

The units **may** use and/or contribute towards the underpinning skills and knowledge of the Functional Skills in the following areas, depending on the precise nature of the work done in the Principal Learning.

Principal Learning	Functional Skills		
Unit	English	Mathematics	Information and communication technology
Unit 1 An introduction to retail	<ul style="list-style-type: none"> <li>Speaking and listening Level 1</li> <li>Reading Level 1</li> <li>Writing Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Represent situations using mathematics Level 1</li> <li>Analyse and process using mathematics Level 1</li> <li>Interpret and present results Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Use ICT systems Level 1</li> <li>Find and select information Level 1</li> <li>Develop, present and communicate information Level 1</li> </ul>
Unit 2 Exploring enterprise in retail businesses	<ul style="list-style-type: none"> <li>Speaking and listening Level 1</li> <li>Reading Level 1</li> <li>Writing Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Represent situations using mathematics Level 1</li> <li>Analyse and process using mathematics Level 1</li> <li>Interpret and present results Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Use ICT systems Level 1</li> <li>Find and select information Level 1</li> <li>Develop, present and communicate information Level 1</li> </ul>
Unit 3 Introducing the retail supply chain	<ul style="list-style-type: none"> <li>Speaking and listening Level 1</li> <li>Reading Level 1</li> <li>Writing Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Represent situations using mathematics Level 1</li> <li>Analyse and process using mathematics Level 1</li> <li>Interpret and present results Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Use ICT systems Level 1</li> <li>Find and select information Level 1</li> <li>Develop, present and communicate information Level 1</li> </ul>
Unit 4 Introducing the retail outlet	<ul style="list-style-type: none"> <li>Speaking and listening Level 1</li> <li>Reading Level 1</li> <li>Writing Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Represent situations using mathematics Level 1</li> <li>Analyse and process using mathematics Level 1</li> <li>Interpret and present results Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Use ICT systems Level 1</li> <li>Find and select information Level 1</li> <li>Develop, present and communicate information Level 1</li> </ul>
Unit 5 Introduction to customer service in retail businesses	<ul style="list-style-type: none"> <li>Speaking and listening Level 1</li> <li>Reading Level 1</li> <li>Writing Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Represent situations using mathematics Level 1</li> <li>Analyse and process using mathematics Level 1</li> <li>Interpret and present results Level 1</li> </ul>	<ul style="list-style-type: none"> <li>Use ICT systems Level 1</li> <li>Find and select information Level 1</li> <li>Develop, present and communicate information Level 1</li> </ul>

Principal Learning	Functional Skills		
	Unit	English	Mathematics
Unit 6 Introduction to retail selling	<ul style="list-style-type: none"> <li>• Speaking and listening Level 1</li> <li>• Reading Level 1</li> <li>• Writing Level 1</li> </ul>	<ul style="list-style-type: none"> <li>• Represent situations using mathematics Level 1</li> <li>• Analyse and process using mathematics Level 1</li> <li>• Interpret and present results Level 1</li> </ul>	<ul style="list-style-type: none"> <li>• Use ICT systems Level 1</li> <li>• Find and select information Level 1</li> <li>• Develop, present and communicate information Level 1</li> </ul>

### 3.3 Coverage of the retail sector within the Principal Learning

To ensure that learners receive a broad experience of the retail sector, teaching should cover as many **retail sub-sectors** and **retail channels** as possible. Breakdowns of these terms are provided in order to secure breadth of coverage and fair opportunities for all learners in external assessments.

The retail sector covers the sale of innumerable products. The table below defines and sets parameters for the **sub-sectors** to be covered in the teaching of the Principal Learning, and what these sub-sectors include.

Sub-sector	Classification
Automotive	Retail sale of automotive products
Clothing	Retail sale of clothing
DIY	Retail sale of hardware, paints and glass
Electrical goods	Retail sale of electrical household goods
Food and grocery	Retail sale of: <ul style="list-style-type: none"> <li>• fruit and vegetables</li> <li>• meat and meat products</li> <li>• fish, crustaceans and molluscs</li> <li>• bread, cakes, etc</li> <li>• alcoholic and other beverages</li> <li>• tobacco products</li> <li>• books and newspapers</li> <li>• food etc in specialised stores</li> </ul> Other retail sale of food, beverages, etc
Footwear	Retail sale of footwear and leather goods
Homewares	Retail sale of furniture etc and textiles
Music and video	Retail sale of music, video, DVDs and other digital format goods
Non-specialised stores	Retail sale of non-specialised goods
Personal care	Retail sale of medical and orthopaedic goods, and cosmetic and toilet articles
Second-hand goods	Retail sale of second-hand goods in stores

The term **retail channel** may refer to any of the following:

- shops
- stores – department stores, superstores
- showrooms
- online retailing
- catalogues
- home shopping
- mobile technology
- market stalls.

3

## 3.4 Level 1 Units

### Level 1 Unit 1: An introduction to retail

#### What is this unit about?

The purpose of this unit is for learners to be able to use skills in using information and recommending ideas in order to propose suitable retail channels for particular products.

This unit will introduce learners to retail. Learners will develop an understanding of the size and structure of the sector, and the retail channels used by businesses to sell their products. They will come to recognise the huge impact of the sector upon individuals, communities and the environment. The unit will also make learners aware of the wide variety of jobs within the sector, and how individuals can enter and progress within the world of retail.

An awareness of how retail businesses are positioned in the sector is highly valuable to employers, and fundamental to understanding why businesses operate as they do, and how they can be successful. At the end of the unit, learners will have an idea of where they could fit into this dynamic and diverse sector, and how much they can bring to it with the right knowledge and skills.

Learners will develop skills in interpreting data related to the retail sector, and using this to consider the options available to retailers. Based on their learning in this unit, learners will be able to propose suitable retail channels through which to sell particular products.

This unit provides a foundation for the learning involved in all other Level 1 Principal Learning units.

Elements of this unit can be co-taught with elements of Level 2 Unit 1: Exploring retail.

#### Guided learning hours

This unit has 30 GLH assigned to it, which includes any time needed for assessment preparation. Learners will sit an examination of 1 hour.

## Content details

<b>Learning outcomes</b> The learner will:	<b>Assessment criteria</b> The learner can:
1 Know the range of different businesses that make up the retail sector	a identify different businesses that make up the retail sector b outline the benefits of different retail channels to retail businesses
2 Understand how the retail sector affects individuals and communities	a explain how retail affects individuals and communities b describe environmental and ethical issues in retail that concern customers
3 Know the nature of employment in the retail sector	a describe job roles within the retail sector b identify sources of employment and progression opportunities in retail c identify rights and responsibilities of employees in retail
4 Be able to propose retail channels for products	a use information related to retail to inform decisions b recommend retail channels through which to sell products

In this externally assessed unit, PLTS are not referenced against assessment criteria. However, the unit has been designed to afford ample opportunities for PLTS development through the learning programme. Further information on PLTS is available on pages 10–12 of the specification and also within this unit in the section on Personal, Learning and Thinking Skills.

## Scope of content

This section gives details of the scope of content to be covered in the teaching of the unit to ensure that all the learning outcomes can be achieved.

It is important that, through the Level 1 Principal Learning in Retail Business, learners receive as broad an experience of the whole sector as possible. This unit provides an overview of the retail sector and is an opportunity for learners to understand the diversity of the sector; therefore, coverage of different businesses in this unit must address **sub-sectors**, **retail channels used** and **business size**. Teaching should prepare learners to transfer their learning to different business contexts. Details of sub-sectors may be found on page 15 of the specification.

Prior to the teaching of the unit content, it is important that learners' understanding of the concept of 'retail' is confirmed. An appropriate definition of 'retail' may be 'the selling of goods directly to customers at the regular customer price in small amounts rather than in bulk'.

### Learning outcome 1: Know the range of different businesses that make up the retail sector

#### The range of different businesses that make up the retail sector

Key businesses in the retail sector:

- by area:
  - locally
  - nationally
  - internationally
- in terms of:
  - revenue
  - market share
  - market leaders and best performers
  - estimated number of people employed locally, nationally and/or internationally
- covering various:
  - locations
  - retail channels.

Learners will need to be given basic information on each business, including their size and what they sell. Learners need to know what is meant by a 'large' or 'key' retail business, but will not be required to know details of specific businesses.

Different sub-sectors within retail:

- automotive
- clothing
- DIY
- electrical goods
- food and grocery
- footwear
- homewares
- music and video
- non-specialised stores
- personal care
- second-hand goods.

Learners will need to be aware of the types of product sold within each sub-sector, and the relative sizes of different sub-sectors.

Different retail channels used by retailers:

- high street stores
- independent retailers
- showrooms
- online retailers
- mobile technology
- catalogues
- market stalls and kiosks
- large warehouses
- TV shopping.

The benefits of different retail channels to retailers:

- types of benefit:
  - financial
  - logistical
- to retailers:
  - of different sizes
  - from different sub-sectors
- for selling specific products.

Benefits of different retail channels to retailers should be straightforward and appropriate to the level. For example, a financial benefit of online retailing may be that the overhead costs associated with operating outlets are avoided.

Learners will need to know the concept of 'break-even' and how a break-even point is calculated. They are not expected to be familiar with or to use the terms 'fixed costs' and 'variable costs', although they will need a grasp of the concept that certain costs do or do not change depending on how many products are sold, and that this can impact on the choice of retail channel.

Learners will need to know, in simple terms, how information about the retail sector can be obtained. They are not required to gather information, but should be aware of information gained through primary and secondary research, and of relevant sources of information about the UK sector and about individual businesses – eg British Retail Consortium. The focus here should be on how learners can obtain available information about the retail sector, rather than the methods by which this information is gathered in the first place.

## Learning outcome 2: Understand how the retail sector affects individuals and communities

### The effect of the retail sector on individuals and communities

The effect of the retail sector on individuals and communities:

- from different retail channels
- types of effect:
  - social
  - financial.

Learners will need to know the causes and effects of retail's impact on individuals and communities, where these are straightforward and clearly identifiable. Learners are expected to understand the effect of the sector and the channels within it on communities, but are not required to know about the effects of changing trends in retail.

Whilst learners are not expected to know examples of the effect of retail on specific individuals and communities, their general understanding of effects should be applicable to specific individuals and communities about which they are given relevant information.

One example of the effect of retail relating to individuals might be social pressure to own certain goods and/or brands as a result of advertising that links goods and/or brands with success or happiness. One example relating to communities might be the creation of jobs in local areas with the opening of new outlets. Learners should be aware of both positive and negative effects of retail.

Teaching must reflect the changing nature of the retail sector and include up-to-date information.

Key current environmental and ethical issues associated with retail that concern customers in the UK today, in relation to:

- the environment
- people
- animals.

Learners will need to be given a general overview of each category (the environment, people and animals), to include simple examples of issues involved, why they are of concern to consumers, and which sub-sectors and retail channels they apply to. The focus here should be on broad issues (for example, the use of plastic bags); learners will cover the interaction between retail businesses and their local communities and societies in Level 1 Unit 2: Exploring enterprise in retail businesses.

At Level 1, there is no requirement for learners to understand complex issues (eg the arms trade, oppressive regimes) or detailed contexts of issues. For this Level 1 unit, teaching need not cover:

- ethical issues surrounding marketing and communications by retail businesses
- the political and financial activities of retail businesses
- corporate social responsibility and CSR policies.

Learners are not expected to have knowledge of any specific issues, but will need to be able to apply a broad understanding of environmental and ethical issues associated with retail to given contexts, based on information provided.

## Learning outcome 3: Know the nature of employment in the retail sector

### Employment in the retail sector

Job roles in the retail sector:

- levels of roles:
  - entry/operator
  - intermediate
  - supervisory
  - deputy/assistant management
  - management
  - senior management
- in different areas of retail:
  - sales and customer service
  - non-customer facing roles within retail channels
  - management
  - buying and merchandising
  - visual merchandising
  - retail supply chain and logistics.

Learners will need to know the structure of job roles in terms of recognising simple hierarchical structures and being aware of essential differences in job roles in businesses of different sizes and from different sub-sectors. This should include an example of a role at each level and an example of a role in each area, with definitions. Learners will need to be aware that the range of job roles in retail is huge and diverse. There is no need for learners to know extensive lists of roles applicable to specific sub-sectors.

Learners will need to be able to describe common job roles in the retail sector, including:

- the purpose of the role within a business
- the department or area within which individuals in the role work
- a simple, high level identification of the most important day-to-day activities associated with the roles.

Employment and progression opportunities:

- employment opportunities at different levels – including those available with Foundation-level qualifications
- progression opportunities at different levels – including those available with Foundation-level qualifications
- ways of accessing employment and progression opportunities:
  - work experience
  - training
  - qualifications
  - professional competence
  - personal attributes.

The above must relate to jobs in logistics as well as sales and customer service contexts.

Teaching should give learners an overview of the current employment and progression opportunities within the retail sector, including all levels, in order that learners can see how individuals can enter the sector and how far they can progress within it. Teaching should take into account current information about the number and level of jobs in the sector, and the make-up of the retail workforce.

The rights and responsibilities of employees in the retail sector:

- as they apply to:
  - individuals
  - team members
- covering:
  - statutory rights and responsibilities
  - rules
  - expectations.

Learners will need to know what employees' rights and responsibilities are and why they exist, although learners are not expected to be able to explain this.

Learners will need to be aware that legislation, codes of practice, procedures, principles, contracts and other documentation relating to employment exist. At Level 1, no further understanding is required. As well as general statutory rights and responsibilities which apply to all employees in the retail sector, learners will need to be aware that there are statutory rights and responsibilities relating to specific sub-sectors or activities: for example, regarding the sale of age-restricted products. Knowledge of specific ones is not required.

Learners will also need to know that there are support systems for employees within the retail sector. These may include employee assistance programmes, trade unions, and other external organisations such as the Retail Trust. Learners will need to know the roles and activities of support systems.

## Learning outcome 4: Be able to propose retail channels for products

### Proposing retail channels for products

Information includes, but is not limited to, numerical data.

Techniques for using information related to retail to inform decisions:

- using small sets of data relating to individual retail businesses:
  - costs
  - mark-up
  - percentage profit
- calculating:
  - costs and profit
  - break-even point
  - percentages
  - mean
  - range
- using numerical and/or non-numerical information to understand situations
- relating pieces of numerical and/or non-numerical information
- using given numerical data and non-numerical information to identify the advantages and disadvantages of possible retail channels for given products, from the perspective of:
  - the business
  - the customer.

Learners will need to know what different types of data indicate (eg what 'mark-up' means) and their significance. Learners will be expected to make simple calculations in a retail context, using a calculator if required.

Learners are expected to be able to use information about products to recommend potential retail channels through which to sell them. This will also involve considering the size of the business.

Techniques for recommending retail channels for particular products:

- making judgements based on data and given information
- stating a decision about the most suitable retail channel, giving reasons
- referring to information that supports recommendation.

Provided that learners are given sufficient information on products, their understanding of how to select an appropriate retail channel for a product should be transferable to products from any sub-sector.

Retail channels to be considered must be those covered by learning outcome 1.

## Assessment

This unit is assessed through an external examination set and marked by AQA-City & Guilds.

This unit will be tested via short answer paper to be taken under controlled conditions. Learners will be allowed 1 hour to complete the paper.

Duration: 1 hour

Assessment type: Short answer paper

Number of marks: 48 marks

Learning outcomes	Assessment criteria	Marks	Weighting
1 Know the range of different businesses that make up the retail sector	a identify different businesses that make up the retail sector	9	18.8%
	b outline the benefits of different retail channels to retail businesses		
2 Understand how the retail sector affects individuals and communities	a explain how retail affects individuals and communities	14	29.2%
	b describe environmental and ethical issues in retail that concern customers		
3 Know the nature of employment in the retail sector	a describe job roles within the retail sector	10	20.8%
	b identify sources of employment and progression opportunities in retail		
	c identify rights and responsibilities of employees in retail		
4 Be able to propose retail channels for products	a use information related to retail to inform decisions	15	31.3%
	b recommend retail channels through which to sell products		
<b>Total</b>		<b>48</b>	<b>100%</b>

## Guidance for delivery

The content of this unit underpins the learning involved in all other Level 1 Principal Learning units. It will benefit learners if this unit is delivered first.

All individuals in society rely upon the retail sector. It helps to meet our basic needs for food and other essential items, but it is also the means by which we buy almost everything else we own. It is a vast and varied sector, which has sprung from a practice of exchanging things for mutual benefit that is as old as humans are, and is still evolving within the rapidly changing business environment of the 21st century.

All learners will have personal experience of buying items, and will therefore have a rudimentary grasp of basic retail concepts. This unit gives learners the opportunity to engage with commonly used terminology and start to understand the business rationale behind the way a store operates. Learners should be supported in understanding concepts and terminology in as engaging a way as possible. Group discussion may be a suitable vehicle for this, and will also enable the teacher to gauge learners' existing levels of knowledge.

Learners should be encouraged to think about which retail channels they use and why. They will need to appreciate the growth of particular retail channels and the ultimate impact this has had on the more traditional routes. Activities could include taking a product such as a CD and looking at how the retail channels used for this product have changed in recent years, plus the impact this has had on the environment, employment, etc. Learners may find it interesting to predict how particular retail channels may look in ten years' time.

Learners could research environmental and ethical issues affecting retail, and how retail affects individuals and communities, as these might be particularly interesting areas of the unit for them. Information accessible to the level and age group is available online. A group discussion or debate could engage learners with these issues, and how they affect both retail businesses and their customers. Learners should be encouraged to share their personal experiences and ideas on these topics.

One method of delivering content on job opportunities within the retail sector, which could give learners useful skills in searching for potential career paths, is to ask learners to research jobs in the local press, on retailers' websites, and on the Skillsmart Retail website. The latter includes useful labour market information on the sector, and learners might produce simple reports that detail basic information on the sector, including how many people are employed, the demographics of employees, specific issues affecting the sector, and training opportunities. Coverage of careers within retail should be linked to familiar areas such as local retail outlets, but job roles outside the outlet and in logistics and the supply chain should not be overlooked. Learners could match skills and qualifications to jobs available at various levels and in different areas of the sector.

Statistics on both local and national employment opportunities within retail should be made available to the learners. Learners also need to be aware of the predominance of part-time working within this sector.

Learners will need to be supported in interpreting data. This could be done in small groups, using simple graphs and working out mode, median and mean. Some learners may find this topic difficult, and the teacher should allocate sufficient time to its teaching.

Learners could work in small groups to select products to sell, and discuss appropriate retail channels through which to sell these products. They could then present a rationale for their choice to the group.

There is the possibility for the delivery of elements of this unit to be combined with elements of other Level 1 Principal Learning units, through a simulated experience of setting up and operating a retail enterprise as a group.

## Employer engagement

Employer engagement is essential in order to maximise the value of learners' experience. A partnership approach should be adopted wherever possible with employers with whom the consortium has links, and with employers used for work experience placements.

It would be helpful for teachers to develop a method of maintaining contact with a range of employers in the sector who can be called upon to help with keeping the examples used in the taught content up-to-date, for example in terms of legislation. Employers may also be willing and able to provide data for learners to interpret, or to set activities, which will help to make the learning experience realistic and sector-relevant.

Learners would benefit from having visiting retailers speak to them about their businesses' positions in the retail sector, and their use of retail channels. Guest speakers could discuss the impact of their businesses on individuals and the local community.

Traditional retail channels could be explored at a local level through visits to shopping areas such as the High Street, shopping centres, retail parks and out-of-town centres. The understanding gained by the learner of retail channels at local level can be built on further to explore both national and international retailers. This information could be accessed through links with national companies via Skillsmart Retail's Retail Ambassador Programme or store visits.

Given that environmental and ethical considerations when trading, producing and sourcing products are nowadays very topical, it is probable that an employer will be willing to talk to learners about their organisation's policy and procedures.

A large national chain (for example a supermarket) and a well-known advocate of environmentally and ethically aware trading (for example The Body Shop) could be invited to speak to learners.

The topics of employee rights and responsibilities, legislation, codes of practice, procedures and principles could be delivered through interaction with local retailers and their employees, although teachers will need to ensure that information given is understandable for the level.

Visits and talks can also be linked into the career opportunities within the sector, and guest speakers from both small and large companies should be invited to inspire the learners further.

Learners could conduct surveys of retail businesses to establish factors such as:

- the types of outlet (chain or independent) and the range of goods sold
- how the range of goods sold links to where the shops are located/market sector etc
- the demographic mix of the shoppers and possible reasons for this mix
- the way in which the use of the shops has changed over the past five to ten years and why this has happened, as well as how it could change in the next five to ten years
- the footfall at any given time
- the range of jobs that are or could be available within the business
- the impact on the environment of this type of retail, if appropriate.

## Personal, Learning and Thinking Skills

The list below is indicative of the way the development of PLTS can support achievement in this unit.

### Independent enquirers

- exploring issues that concern customers from environmental and ethical perspectives (IE3)
- analysing and evaluating data relating to retail businesses when identifying suitable retail channels for products (IE4)
- supporting conclusions about suitable retail channels, using reasoned arguments and evidence (IE6)

### Creative thinkers

- asking questions about retailers and consumers to extend their thinking about how retail affects individuals and communities (CT2)
- connecting their own and others' ideas about and experiences of using different retail channels (CT3)

### Reflective learners

- setting goals with success criteria for their development within retail, based on their learning about job roles within the sector (RL2)
- inviting feedback from employers on proposals of retail channels for products, and dealing positively with praise, setbacks and criticism (RL4)

### Team workers

- collaborating with others to interpret data from employers on their retail businesses (TW1)
- reaching agreements about the effect of retail on the local community (TW2)

### Self-managers

- anticipating the risks involved in operating through a new retail channel, and considering how these could be managed (SM4)

### Effective participators

- discussing ethical and environmental issues of concern, and asking retailers how they address these issues (EP1)
- presenting persuasive cases for suitable retail channels to benefit retail businesses (EP2).

## Opportunities for Functional Skills development

This unit and its associated learning activities will provide the learner with opportunities to develop and use English, mathematics and ICT in a number of ways.

There are a number of opportunities for the development of reading and writing, combined with using ICT, through planning and developing work when researching different aspects of businesses. Research could include using electronic and non-electronic sources. Selecting and using software applications and accessing the internet will provide the learner with opportunities to independently meet the needs of the unit.

Working in small groups will enable the learner to take part in informal discussions to share knowledge and understanding of key terms. There will be opportunities for learners to contribute their own points of view, listen and respond appropriately to others, and to develop skills in interacting in group situations.

Opportunities for preparing and contributing to formal discussion may take place if guest speakers are invited or visits to companies are arranged.

There are also opportunities to develop a range of mathematical skills, for example when collecting data through surveys; interpreting and using given data; and calculating area, percentages, proportion, mode, median, mean and range.

These are only examples and, depending on the nature of the delivery and the learning, it is likely that there will be further opportunities for developing Functional Skills.

## Suggested learning resources

AQA-City & Guilds will publish suggested learning and teaching resources on its website:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

The Diploma Development Partnership (DDP) website for Retail Business contains a 'Diploma Shop' – **[www.diplomainretailbusiness.com/shop.php](http://www.diplomainretailbusiness.com/shop.php)** – with useful learning and teaching resources that consortia may find helpful in the delivery of the Principal Learning. This includes a compendium of websites; books; multimedia resources; museums and exhibitions; and journals and e-newsletters.

The relevant sections for the purposes of this unit are:

- Business and economics in retail
- Ethics and environment
- Retail channels
- Finance.

The DDP for the Diploma in Retail Business also provides a work-related learning guide:

**[www.diplomainretailbusiness.com/pdfs/  
the\\_work-related\\_learning\\_guide\\_second\\_edition\\_\(final\\_pdf\).pdf](http://www.diplomainretailbusiness.com/pdfs/the_work-related_learning_guide_second_edition_(final_pdf).pdf)**

The following resources may also be helpful for the learning in this unit:

- Citizens Advice Bureau – Basic Rights at Work  
**[www.adviceguide.org.uk/index/life/employment/basic\\_rights\\_at\\_work.htm](http://www.adviceguide.org.uk/index/life/employment/basic_rights_at_work.htm)**
- British Retail Consortium – Retail Stats and Info  
**[www.brc.org.uk/latestdata04.asp?iCat=52&sCat=RETAIL+KEY+FACTS](http://www.brc.org.uk/latestdata04.asp?iCat=52&sCat=RETAIL+KEY+FACTS)**
- Mintel Oxygen – Top 250 European Retailers **[www.mintel.com/docs/retailers\\_ranked.htm](http://www.mintel.com/docs/retailers_ranked.htm)**

# Level 1 Unit 2: Exploring enterprise in retail businesses

## What is this unit about?

The purpose of this unit is for learners to be able to use teamwork and entrepreneurial skills for working with others to propose branded retail enterprises that will benefit the area in which they live.

This unit will enable learners to explore how retail enterprises are developed and to experience the early stages of this process themselves, through considering how retail enterprise can meet the needs of people in their local area. The retail sector places high value on enterprising individuals as they are able to seize new opportunities, find solutions to problems, and keep up with the constantly changing sector, making them vital to the success of businesses. This unit will develop learners' enterprise capabilities, encouraging them to think creatively and take calculated risks.

This unit will also introduce learners to working towards goals, collaborating with others in teams, and reviewing their own performance. Retail businesses are centred around objectives and targets, and an awareness of and ability to work towards these is crucial. At all levels of retail, individuals work in teams, and people who collaborate well with others are essential to the sector.

The enterprise, teamwork, goal-setting and reviewing skills developed through this unit can help individuals to go far within the retail sector and in their wider lives.

Elements of this unit can be co-taught with elements of Level 2 Unit 2: Exploring retail channels.

The following Personal, Learning and Thinking Skills (PLTS) will support learners' achievement in this unit and are embedded in the content:

- creative thinkers
- reflective learners
- team workers
- effective participators.

## Guided learning hours

This unit has 60 GLH assigned to it, of which approximately 15 hours will be needed for the assessment. Details of controls needed in relation to the controlled assessment are on pages 101–108 of this specification.

## Content details

<b>Learning outcomes</b> The learner will:	<b>Assessment criteria</b> The learner can:	<b>PLTS</b>
1 Understand the factors involved in developing retail businesses	a explain how successful retail enterprises are developed	
	b describe the importance of enterprise to the success of retail businesses	
	c outline how retail enterprise can meet the needs of people in the local area	
	d describe how brands are developed to benefit retail businesses	
2 Know how to work effectively in teams	a identify characteristics of effective teams	
3 Be able to work with others to propose branded retail enterprises to meet local needs	a agree goals for working in a team to propose branded retail enterprises	
	b suggest potential local retail needs based on own and others' experiences	CT3
	c collaborate with others to propose branded retail enterprises for the benefit of people in local area	EP4 TW1
	d review individual progress in working towards team goals, identifying opportunities and achievements	RL1

Where the assessment criteria show a direct link to an area of the PLTS framework, it is referenced here. Further information on PLTS is available on pages 10–12 of the specification and also within this unit in the section on Personal, Learning and Thinking Skills.

## Scope of content

This section gives details of the scope of content to be covered in the teaching of the unit to ensure that all the learning outcomes can be achieved.

It is important that, through the Level 1 Principal Learning in Retail Business, learners receive as broad an experience of the whole sector as possible. Differences between retail businesses should be learnt in the contexts in which they are greatest and/or most obvious. The focus for coverage of different businesses in this unit is **retail channels**. At least three different retail channels must be covered in the teaching of this unit. Details of these may be found on page 15 of the specification.

An understanding of what enterprise is must be confirmed initially as it forms a foundation for the learning in this unit.

### Learning outcome 1: Understand the factors involved in developing retail businesses

#### Developing retail businesses

Ways in which retail businesses develop:

- start-up
- expansion
- diversification
- use of new retail channels.

Costs of running retail businesses:

- capital costs
- fixed costs
- variable costs
- direct costs
- indirect costs.

Ways of costing profitable products for retail:

- cost-based pricing – starting with production costs, incorporating other costs, and adding a 'mark-up'
- competition-based pricing – setting the same prices as competitors
- customer-based pricing – researching the target market to find out what customers are prepared to pay.

Learners will need to know, in simple terms, the methods and means by which retail businesses achieve the types of development specified.

They will need to be aware of the support available to help retail businesses to develop: this will include expertise, advice and financial support.

Learners will need to know the types of cost involved in running retail businesses, but are not expected to calculate them.

How retailers respond to considerations involved in developing retail businesses:

- ethical considerations relating to:
  - people involved in the retail business and the retail supply chain for products sold
  - the environment
  - consumers
- social considerations relating to social problems – eg promoting and branding products such as alcohol with care, including signposting customers to support agencies.

Learning will cover the breadth of ethical issues associated with retail in a global sense when studying Level 1 Unit 1: An introduction to retail.

Here, the focus should be on the interaction between retail businesses and the communities and societies in which they sell their goods and services.

How retail businesses meet local retail needs:

- by providing a local outlet for the purchase of products which may also support local producers
- by offering convenience and variety of choice
- by meeting the needs of the local demographics for specific products.

The focus of this learning should be on physical retail outlets rather than online retailers.

### The importance of enterprise to the success of retail businesses

Qualities that make:

- inspirational entrepreneurs:
  - personality traits
  - intellectual capabilities
  - interpersonal and networking skills
  - attitudes
- successful leaders:
  - personality traits
  - intellectual capabilities
  - interpersonal skills
  - attitudes.

Learners will need to know a range of qualities, what these qualities are, and how they contribute to entrepreneurs or leaders, primarily through creating new opportunities. They will need to know what networking is and how networking can create new opportunities for retailers.

The importance of enterprise to retail businesses from the perspective of:

- businesses, in terms of:
  - enabling businesses to compete in an overcrowded and competitive marketplace
  - enabling retailers to respond to external factors
- employees, in terms of:
  - job security
  - investment in training and career development
  - opportunities to give feedback and take ownership of projects.

Learners will need to recognise clear causal links between enterprise and the development of businesses and employees within the retail sector.

## How brands are developed to benefit retail businesses

'Brands' may be defined in terms of the following concepts:

- personality – the expression of values and culture
- identity – the means by which the corporate personality is communicated
- image – the consumers' view of the retailer.

Learners will need to understand the importance of brands to different retail businesses. They will need to know the meaning of the terms 'loyalty', 'recognition' and 'prestige' in relation to branding, as well as the impact of these on profitability.

How brands are developed:

- types of brand:
  - business brand
  - product brand
  - own brand – eg supermarket own brands
- how they are developed:
  - identifying how the product should be viewed by the consumer
  - producing a brand mission statement
  - identifying the values and 'personality' of the product
  - incorporating these values into the way the consumer views the brand visually – ie packaging, marketing materials, logos.

## Learning outcome 2: Know how to work effectively in teams

### How to work effectively in teams

Characteristics of:

- effective team members:
  - skills
  - attitudes
  - behaviours
- effective teams:
  - SMART (specific, measurable, agreed, relevant and time-bound) goals
  - good communication
  - supportive of each other
  - continue to work well in difficult conditions.

Behaviour that can lead to conflict within teams:

- poor interpersonal skills
- failure to respect individual differences
- failure to respect professional boundaries.

Learners will need an awareness of the causal link between certain behaviours and resultant conflict, and the situations in which conflict can arise. Learners are not required to know measures to prevent or solve conflict. At Level 1, it is expected that conflict will be covered within the context of individuals working immediately alongside each other, as opposed to conflict with managers or at a managerial level.

## Learning outcome 3: Be able to work with others to propose branded retail enterprises to meet local needs

### Proposing branded retail enterprises to meet local needs

Techniques for suggesting potential local retail needs:

- reflecting on own requirements for products locally
- finding out others' requirements for products locally
- identifying needs that are not currently met by retailers in the area
- stating identified needs.

Learners are not expected to investigate local retail needs in depth or to conduct interviews with members of the community. They may talk to friends, family and other local people who are part of their everyday lives. As a minimum, they should ask each other for views on potential local retail needs.

If learners conclude that all retail needs in the area are being met, they should be encouraged to think about retailers not currently operating locally who could add value to the area, or to imagine that an existing local retail business is not there.

Techniques for proposing branded retail enterprises to benefit the local area:

- identifying essential features of businesses that could meet the needs, in terms of:
  - business size
  - retail channel
  - location – if relevant to meeting needs
- identifying and confirming the essential elements of the businesses' brands, in terms of:
  - personality
  - identity
- designing an image or logo to represent the brand
- proposing the branded retail enterprise by:
  - identifying the need that will be met by the proposed enterprise
  - explaining how the enterprise will meet the needs of people in the local area
  - showing how the enterprise will work (using understanding gained from learning outcome 1)
  - supporting the proposal with any relevant evidence or information.

Branded products or retail enterprises must be ones that operate locally to meet local needs. Therefore suggestions to open a branch of an existing chain or to start an online retail enterprise are not suitable.

Learners will need to use their understanding of enterprise from learning outcome 1 to find innovative and creative ways in which retail can benefit themselves and others in their area.

## Working with others

Techniques for collaborating with others to work towards agreed team goals:

- agreeing goals for individual contribution and team performance by:
  - identifying what needs to happen in order for ultimate goals to be achieved
  - identifying who will take which actions, how, and by when
  - sharing work fairly, taking into account each other's abilities and feelings
  - confirming understanding of goals and individual roles, and recording these
- collaborating by:
  - having a positive attitude
  - communicating throughout
  - contributing and allowing others to do so
  - overcoming personal differences
  - supporting each other if difficulties are encountered
- monitoring progress along the way by:
  - checking progress in relation to agreed timescales
  - discussing progress made and any barriers that may impact upon the completion of the task.

Teaching of this area should encourage learners to recognise the importance of effective goal-setting.

Goals set for individual contributions to teamwork will depend on each individual and the role that they have agreed with team members in a specific activity. Learners at this level are not required to use the SMART method of goal-setting. They are, however, expected to set goals that are achievable but challenging.

Techniques for reviewing individual progress in working towards team goals:

- asking oneself questions to answer in order to determine:
  - how successfully team goals have been met
  - individual contribution to meeting team goals
  - what went well, what did not and why
  - what could be done differently next time to improve the outcome
  - what has been learnt from the experience.

## Assessment

This unit is assessed through a centre set and marked assignment. Controlled assessments are subject to moderation by AQA-City & Guilds. Information on assessment and controls which apply to the qualification as a whole can be found on pages 101–108 of this specification.

The information in this section is specific to the assessment for this unit.

### Task setting (limited control)

#### Sector-relevant purpose

The assignment set must have a sector-relevant purpose and context. This must be communicated to the learner through a clear introductory brief.

This assignment will give the learner the opportunity to demonstrate teamwork skills and an understanding of how enterprise is used to develop retail businesses, through the proposal of a branded retail enterprise to meet specific identified local needs.

The teacher or a local employer should set a realistic brief and objective for learners to work from. The brief for the assessment must clearly specify who the proposal is for and the expected outcome. As learners will be proposing new branded retail enterprises to meet needs which they will identify themselves, the brief must be carefully set. It may be that the brief needs to come from an entrepreneur wishing to set up a new business, rather than an existing employer.

#### Tasks

Limited control in respect of task setting for this assessment means that it is the responsibility of the centre to devise a suitable assignment which covers the assessment criteria. Controlled assessments must aim to be holistic in nature and encourage learners to produce evidence to cover all the assessment criteria.

There is no requirement for learners to conduct research in order to identify local retail needs: their own ideas and those of their classmates will be sufficient, though any extra views will be beneficial.

#### Evidence

The table below indicates the evidence which should be produced for marking and moderation of tasks.

Task	Evidence The following must be provided:	Acceptable formats	LO/AC mapping
Work in a team to propose a branded product or retail enterprise based on local retail needs	Draft ideas for retail enterprise	Hard copy or electronic (maximum 1 side A4)	1a, 1b, 1c and 1d
	Proposal including images relating to brand	Hard copy or electronic written proposal (maximum 4 sides of A4) or Hard copy or electronic visual display supported by written notes or Oral presentation (no longer than 5 minutes) evidenced through hard copy or electronic witness testimony, or audio recording, accompanied by any presentation materials	3a, 3b and 3c
	Witness testimony of individual contribution to teamwork	Hard copy or electronic	

<b>Task</b>	<b>Evidence</b> The following must be provided:	<b>Acceptable formats</b>	<b>LO/AC mapping</b>
Review individual progress in working towards team goals	Review including team goals	Hard copy or electronic (maximum 2 sides of A4) or Hard copy or electronic witness testimony, or audio recording, of oral presentation to assessor (no longer than 5 minutes)	2a and 3d

### Task taking

This section gives specific information relating to the controls for task taking for this assessment in terms of time, resources, supervision and collaboration.

#### Time (limited control)

The assignment will take approximately 15 of the 60 guided learning hours available for this unit.

#### Resources (limited control)

Resource material for the assignment such as case studies, photographs or literature should be up-to-date and relevant to the sector area. Centres may find that this is best done by getting resources directly from employers, which will help to give the assignment a real work-related purpose.

#### Supervision (medium control)

Learners must be supervised when working in teams. Learners must be asked to define their individual roles and goals within the team in the presence of a teacher. Learners should also be supervised when discussing their response to the introduced change.

Learners may be unsupervised when gathering initial ideas about local retail needs when preparing for the assessment. However, they must be supervised when writing up their draft ideas and written proposals and when undertaking a review of their individual progress.

Overarching guidance on controls relating to supervision may be found on page 105 of the specification.

#### Collaboration (medium control)

Learners must work in teams of three to five individuals. At this level, teachers should assign learners' roles according to individual skills and personalities. The teacher should check the role of each learner during the early stages of the project to ensure that every member of the group will have the opportunity to contribute appropriately.

Though this assignment is taking place as group work, each learner must present their own evidence and be able to identify the exact work which they have carried out. This identification should be submitted with the evidence.

Oral presentations must be conducted individually.

#### Roles

If learners give oral presentations, these should be directed at a teacher or employer in a sector-relevant role. This role should be clear to the learner and the teacher or employer should stay in character. The presentation must be assessed by the teacher.

## Weighting of learning outcomes

Learning outcomes	Marks	Weighting
1 Understand the factors involved in developing retail businesses	15	31.3%
2 Know how to work effectively in teams	6	12.5%
3 Be able to work with others to propose branded retail enterprises to meet local needs	27	56.3%
<b>Total</b>	<b>48</b>	<b>100%</b>

## Assessment grid

### Task marking (medium control)

Please note that the descriptions in this marking grid relate to the top of each band. Further guidance on using marking grids is available in the assessment section of this specification on pages 101–108.

Learning outcomes	Band 1	Band 2	Band 3
	The learner has:		
	<b>0 to 5 marks</b>	<b>6 to 10 marks</b>	<b>11 to 15 marks</b>
1 Understand the factors involved in developing retail businesses	<p>Explained how successful retail enterprises are developed, covering only some aspects and in minimal detail.</p> <p>Described the importance of enterprise to the success of retail businesses in minimal detail, covering only some aspects.</p> <p>Outlined in basic terms how retail enterprise can meet the needs of people in the local area, relating retail enterprises to local needs with limited coherence.</p> <p>Described how brands are developed to benefit retail businesses, in basic terms and with limited accuracy.</p>	<p>Explained how successful retail enterprises are developed, covering a range of relevant aspects in some detail.</p> <p>Described the importance of enterprise to the success of retail businesses, covering a range of relevant aspects in some detail.</p> <p>Outlined in some detail how retail enterprise can meet the needs of people in the local area, relating relevant retail enterprises to local needs with some coherence.</p> <p>Offered a largely accurate description of how brands are developed to benefit retail businesses, with some detail.</p>	<p>Explained how successful retail enterprises are developed, covering a wide range of relevant aspects in detail.</p> <p>Described the importance of enterprise to the success of retail businesses, covering all or almost all relevant aspects in detail.</p> <p>Outlined in detail how retail enterprise can meet the needs of people in the local area, coherently relating relevant retail enterprises to local needs.</p> <p>Described how brands are developed to benefit retail businesses, in detail and with a high level of accuracy.</p>
	<b>0 to 2 marks</b>	<b>3 to 4 marks</b>	<b>5 to 6 marks</b>
2 Know how to work effectively in teams	Identified a basic range of characteristics of effective teams.	Identified a range of characteristics of effective teams.	Identified a wide range of characteristics of effective teams.

Learning outcomes	Band 1	Band 2	Band 3
	The learner has:		
	0 to 9 marks	10 to 18 marks	19 to 27 marks
3 Be able to work with others to propose branded retail enterprises to meet local needs	<p>Participated in agreeing team goals, with limited input into ensuring goals are achievable and challenging.</p> <p>Suggested potential local retail needs that are broadly defined and not always relevant, based on limited consideration of own and others' experiences.</p> <p>Collaborated with team members to propose a branded retail enterprise, showing limited application of teamwork skills, and linking retail enterprise and local needs with limited coherence.</p> <p>Reviewed individual progress in working towards team goals, covering only some aspects and with limited self-awareness; identified the most obvious opportunities and achievements.</p>	<p>Contributed to agreeing team goals, with some input into ensuring goals are achievable and challenging.</p> <p>Suggested potential local retail needs, some of which are relevant and clearly defined, based on consideration of own and others' experiences.</p> <p>Collaborated with team members to propose a branded retail enterprise, showing some effective application of teamwork skills and linking retail enterprise and local needs with some coherence.</p> <p>Reviewed individual progress in working towards team goals, covering a range of aspects and identifying opportunities and achievements with some self-awareness.</p>	<p>Contributed to agreeing team goals, making an active input into ensuring goals are achievable and challenging.</p> <p>Suggested potential local retail needs that are relevant and clearly defined, based on consideration of own and others' experiences.</p> <p>Collaborated with team members to propose a branded retail enterprise, showing effective application of teamwork skills, and coherently linking retail enterprise and local needs.</p> <p>Reviewed individual progress in working towards team goals, covering a wide range of relevant aspects and identifying opportunities and achievements with a high level of self-awareness.</p>

3

## Guidance for delivery

The topics included in this unit are likely either to be new concepts for learners or will involve them learning the official term for something to which they have already had exposure.

In order for learners to understand the concept of enterprise, they could look at case studies of particular entrepreneurs. Referring to programmes such as Dragons' Den or to famous entrepreneurs such as Richard Branson might encourage engagement. A potentially suitable case study of an early entrepreneur is Levi Strauss, the co-founder of Levi Strauss & Co.

Learners should use addition, subtraction, multiplication and division to consider the effects of increases or decreases in the different costs of running a retail business on its profitability.

In order to develop learners' understanding of effective teamwork, they might be asked to note experiences of teamwork that occur in their everyday lives, including any approaches they have used which worked particularly well, how they resolved difficult situations, and characteristics displayed by the group member who facilitated teamwork.

When exploring how retail meets local needs, learners could list some key features of their local area: for example – city centre location with lots of shops offering similar products, or out-of-town shopping centre with large stores and limited access to smaller independent stores. They could investigate how retailers are meeting these needs and possibly create a map of the local retail environment.

Learners could explore the difference between what retail businesses 'could' or 'should' do to tackle or avoid worsening social issues, and what they are required to do. Learners must be made aware of business motives for and outcomes of different responses (eg saving money by producing fewer plastic bags and charging for them). Learners must also be aware that social issues are complex and that many agencies and factors have an influence upon them.

There is the possibility for the delivery of elements of this unit to be combined with elements of other Level 1 Principal Learning units, through a simulated experience of setting up and operating a retail enterprise as a group.

## Employer engagement

Employer engagement is essential in order to maximise the value of learners' experience. A partnership approach should be adopted wherever possible with employers with whom the consortium has links, and with employers used for work experience placements.

It would be helpful for teachers to develop a method of maintaining contact with a range of employers in the sector who can be called upon to help with keeping the examples used in the taught content up-to-date, eg in terms of costs. Case studies provided, or activities set, by employers would give learning a real sector-relevant context and purpose. Learners would benefit particularly from employers being involved in setting the brief for the assessment of this unit.

Two retailers could be invited into the class to talk about how they meet the needs of the local area. Ideally, these should be one large national chain, and one small independent, so that learners have the opportunity to compare different approaches.

Local employers could also be invited to talk about the development of their business, including the start-up process, expansion, the use of retail channels and the support available to them. A business start-up advisor could speak to learners about the support available to new businesses.

## Personal, Learning and Thinking Skills

The list below is indicative of the way the development of PLTS can support achievement in this unit.

### Independent enquirers

- planning and carrying out research on potential new business opportunities to sell products (IE2)
- analysing and evaluating information in order to identify local retail needs (IE4)
- supporting conclusions, using reasoned arguments and evidence when proposing retail enterprises for products (IE6)

### Creative thinkers

- generating ideas and exploring possibilities for branded retail enterprises (CT1)
- asking questions of visiting speakers and teachers to extend their thinking on the process of developing retail businesses (CT2)

### Reflective learners

- setting goals with success criteria for their development and work when proposing branded retail enterprises (RL2)
- reviewing progress, acting on the outcomes during teamwork activities (RL3)
- inviting feedback from employers on ideas for retail enterprises, and dealing positively with praise, setbacks and criticism (RL4)

### Team workers

- showing fairness and consideration to others when sharing ideas about local retail needs (TW4)
- providing constructive support and feedback to others on their contribution to teamwork (TW6)

### Self-managers

- working towards goals, showing initiative, commitment and perseverance when proposing branded retail enterprises (SM2)

### Effective participators

- discussing issues of concern, seeking resolution where needed when deciding upon retail enterprises through which to sell products (EP1)
- presenting persuasive cases for profitable retail enterprises that would benefit the local area (EP2)
- proposing practical ways forward, breaking these down into manageable steps when considering how new retail enterprises are developed (EP3).

## Opportunities for Functional Skills development

This unit and its associated learning activities will provide the learner with opportunities to develop and use English, mathematics and ICT in a number of ways.

There are a number of opportunities for the development of reading and writing skills in this unit when writing notes and lists, and setting goals. These can be handwritten or produced using ICT.

Group work will provide opportunities for preparing and contributing to discussion and presenting information to others. Informal discussions and questioning people known to the learner will provide opportunities for informal exchanges of ideas and opinions.

Opportunities exist in the internally set assignment for reading and understanding text and taking appropriate action. This may be given via email, giving the learner an opportunity to interact with ICT, use appropriate software applications and observe safe working practices.

Written homework will provide opportunities for research in the form of reading and understanding different texts and producing evidence in different formats and styles. ICT can be used to plan and organise work.

Although the learner should know about the different types of costs involved in running a retail business, there is no requirement for calculation of these.

There are opportunities to develop a range of mathematical skills using addition, subtraction, multiplication and division when considering the effects of increases and decreases in areas of profitability.

These are only examples and, depending on the nature of the delivery and the learning, it is likely that there will be further opportunities for developing Functional Skills.

## Suggested learning resources

AQA-City & Guilds will publish suggested learning and teaching resources on its website:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

The Diploma Development Partnership (DDP) website for Retail Business contains a 'Diploma Shop' – **[www.diplomainretailbusiness.com/shop.php](http://www.diplomainretailbusiness.com/shop.php)** – with useful learning and teaching resources that consortia may find helpful in the delivery of the Principal Learning. This includes a compendium of websites; books; multimedia resources; museums and exhibitions; and journals and e-newsletters.

The relevant sections for the purposes of this unit are:

- Business and economics in retail
- Enterprise and entrepreneurship
- Retail channels.

The DDP for the Diploma in Retail Business also provides a work-related learning guide:

**[www.diplomainretailbusiness.com/pdfs/  
the\\_work-related\\_learning\\_guide\\_second\\_edition\\_\(final\\_pdf\).pdf](http://www.diplomainretailbusiness.com/pdfs/the_work-related_learning_guide_second_edition_(final_pdf).pdf)**

The following resources may also be helpful for the learning in this unit:

- Business Link **[www.businesslink.gov.uk/](http://www.businesslink.gov.uk/)**
- Chambers of Commerce **[www.britishchambers.org.uk/](http://www.britishchambers.org.uk/)**
- Fastlink Solutions – how to work out business costs  
**[www.fastlinksolutions.co.uk/howtowor.htm#retail](http://www.fastlinksolutions.co.uk/howtowor.htm#retail)**

## Level 1 Unit 3: Introducing the retail supply chain

### What is this unit about?

The purpose of this unit is for learners to be able to use skills in problem-solving and using technology and communication methods, to support the effective flow of products through the retail supply chain.

A smooth and efficient supply chain is crucial in allowing retailers to meet customer needs. Good relationships and communication need to be maintained along the whole retail supply chain to ensure that orders are completed and stock flows in and out as needed. Any problems with a supply chain in a retail business need to be addressed as quickly as possible to ensure that customers are not let down and that the reputation of the retail business is maintained. An understanding of the need for effective supply chain management is valuable for anybody working in the retail sector.

The unit will allow learners to explore how a supply chain works, whether for a fashion item or a motor vehicle. This will include the use of technology for tracking goods and the use of communication in keeping the supply chain operating smoothly. Learners will also have the opportunity to solve basic problems within a retail supply chain themselves.

Elements of this unit can be co-taught with elements of Level 2 Unit 4: Exploring the retail supply chain.

The following Personal, Learning and Thinking Skills (PLTS) will support learners' achievement in this unit and are embedded in the content:

- independent enquirers.

### Guided learning hours

This unit has 30 GLH assigned to it, of which approximately 8 hours will be needed for the assessment. Details of controls needed in relation to the controlled assessment are on pages 101–108 of this specification.

## Content details

<b>Learning outcomes</b> The learner will:	<b>Assessment criteria</b> The learner can:	<b>PLTS</b>
1 Know how products progress through the retail supply chain	a identify businesses involved at different stages of the retail supply chain	
	b describe how retail supply chain businesses progress products through the retail supply chain	
2 Understand factors affecting the retail supply chain	a explain external issues affecting the retail supply chain from different perspectives	IE3
	b explain how retail supply chain businesses respond to problems affecting the retail supply chain	
3 Be able to manage information to track the journeys of products through the retail supply chain	a use technology to order and track products in the retail supply chain	
	b communicate information across the retail supply chain	
4 Be able to solve problems in the retail supply chain	a ask questions to gather information relating to problems in the retail supply chain	IE1
	b suggest solutions to overcome common problems in the retail supply chain	

Where the assessment criteria show a direct link to an area of the PLTS framework, it is referenced here. Further information on PLTS is available on pages 10–12 of the specification and also within this unit in the section on Personal, Learning and Thinking Skills.

## Scope of content

This section gives details of the scope of content to be covered in the teaching of the unit to ensure that all the learning outcomes can be achieved.

It is important that, through the Level 1 Principal Learning in Retail Business, learners receive as broad an experience of the whole sector as possible. Differences between retail businesses should be learnt in the contexts in which they are greatest and/or most obvious. Variations in the retail supply chain will be based mainly on products; therefore, the focus for coverage of different businesses in this unit is **sub-sectors**. At least two different sub-sectors must be covered in the teaching of this unit. Details of these may be found on page 15 of the specification.

Teachers will need to promote learners' understanding and use of common terminology used in the retail supply chain throughout the teaching of the unit, using an integrated approach.

### Learning outcome 1: Know how products progress through the retail supply chain

#### How products progress through the retail supply chain

Key features of and businesses involved in each stage of the retail supply chain:

- producing the product:
  - manufacturers
  - growers
- exporting and importing the product:
  - exporters
  - importers
- selling the product to the retailer:
  - direct
  - using a 'middle man'
- transporting the product to individual outlets:
  - distributors
- storing the product:
  - retailers
  - warehouses
  - wholesalers
- selling the product to the customer:
  - retailers
  - direct marketing
- disposing of the product:
  - waste management.

The locations of businesses at different stages, in terms of:

- closeness to transport links
- closeness to customers
- economics of location.

Learners will need to know that logistics involves the integration of information, transportation, inventory, warehousing, material handling and packaging.

Learners will need to be aware that different sub-sectors will use or omit different parts of the supply chain. For example, products may be supplied directly from the manufacturer to the retailer or directly from the distributor to the customer. In these cases, the retail supply chain is still operating.

Learners will need to be aware of businesses that support the retail supply chain, such as ICT companies that produce software for automated systems.

Transport used to move products between the stages:

- means of transport:
  - road
  - rail
  - sea
  - air
- modes of transport.

Handling methods used to move and store products:

- manual
- automated.

Technology used in the retail supply chain:

- Electronic Data Interchange (EDI)
- bar-coding
- Electronic Point of Sale (EPOS).

Communication methods used in the supply chain:

- oral communication
- written communication
- non-verbal communication.

Principles of safe and effective storage of products:

- conditions:
  - temperature controlled storage
  - special conditions.

The range of warehousing and storage facilities used for different products:

- large distribution warehousing centres – short-term storage
- wholesalers – medium-term storage facilities
- retailers – short-term storage facilities
- DIY storage facilities such as Big Box Storage.

Detailed coverage of the above is not required. Learners will need to know what the methods are and their role in progressing products through the retail supply chain. Their knowledge should be developed through practical use of equipment and methods, where this is possible.

## Learning outcome 2: Understand factors affecting the retail supply chain

### Factors affecting the retail supply chain

External issues affecting the retail supply chain:

- environmental issues relating to:
  - disposal of waste
  - transport
- ethical issues relating to the livelihoods and well-being of individuals and communities involved in stages of the retail supply chain
- legal issues – current health and safety legislation relating to:
  - health and safety hazards – eg Control of Substances Hazardous to Health (COSHH)
  - employee health and safety – eg Health and Safety at Work Act 1974.

Problems occurring within the retail supply chain:

- problems:
  - damage during transportation
  - loss
  - delays
  - 'last 50 metres' issues
- how retail supply chain businesses respond:
  - forward planning
  - contingency planning.

Learners are expected to be able to look at issues affecting the retail supply chain from environmental, ethical and legal perspectives. They will need to understand what these issues are and how they affect the supply chain in broad terms.

Learners will need to know that health and safety is subject to legislation and regulation such as the Health and Safety at Work Act, but are not expected to know about the requirements of these in any depth.

Learners need to know how problems occurring within the retail supply chain are handled, to the extent that they can identify problems and suggest approaches to overcoming them. In-depth understanding is not required at this level.

## Learning outcome 3: Be able to manage information to track the journeys of products through the retail supply chain

### Managing information to track the journeys of products through the retail supply chain

Techniques for ordering goods:

- establishing what is needed, where it is needed and by when
- identifying how to communicate this information – eg where to input details in an order form
- using technology to communicate information:
  - telephone
  - internet
  - Electronic Data Interchange (EDI)
- placing orders.

Techniques for tracking goods from their sources to the customer:

- using spreadsheets
- recording the necessary information:
  - goods
  - supplier
  - transport method(s)
  - special requirements
  - timings.

Techniques for communicating information across the retail supply chain:

- recognising the need for communication for a particular purpose, and the desired outcome
- identifying the relevant person or people with whom to communicate, and the appropriate time, for the particular purpose
- selecting a method by which to communicate, or using an established method conveying a clear message
- clarifying understanding.

Learners are not expected to identify suppliers for particular products at this level.

Learners will need to be able to communicate information relating to confirming requirements for orders; tracking the movement of goods; deliveries; and finding solutions for problems. They will need to recognise why different methods of communication can be preferable depending on the situation – eg if a response is needed urgently, a phone call may be the most effective method, but if the information to be communicated is lengthy or complex, an email may be more appropriate.

Communicating information may involve asking questions. See the scope of content for learning outcome 4 for specific details on questioning.

## Learning outcome 4: Be able to solve problems in the retail supply chain

### Solving problems in the retail supply chain

The scope of content for ‘communicating information’ in learning outcome 3 also applies to asking questions, and learning will need to include applying communication techniques for the specific purpose of gathering information through asking questions. The following points are additional.

Techniques for asking questions to gather information relating to problems within the supply chain that need to be resolved:

- identifying the nature of the problem and its potential consequences
- identifying the type and level of information that is needed to resolve the problem
- using open and/or closed questions to achieve the desired outcome
- responding to answers with additional questions if necessary.

Learners will need to be aware of the difference between open and closed questioning and the situations in which each might be used to ask questions clearly.

Detailed understanding of question types and questioning techniques is not required at this level.

Techniques for suggesting solutions to overcome problems in the retail supply chain:

- identifying the nature of the problem
- identifying possible solutions
- taking into consideration:
  - environmental, ethical and legal factors
  - possible effects on other stages of the retail supply chain
- selecting appropriate solutions
- showing how the solution is expected to work.

At this level, problems that learners need to deal with will not be complex: they could relate to goods going missing, late delivery due to transport breakdown etc. Expected solutions will relate to the use of transport and handling methods, and methods of storing products.

## Assessment

This unit is assessed through a centre set and marked assignment. Controlled assessments are subject to moderation by AQA-City & Guilds. Information on assessment and controls which apply to the qualification as a whole can be found on pages 101–108 of this specification.

The information in this section is specific to the assessment for this unit.

### Task setting (limited control)

#### Sector-relevant purpose

The assignment set must have a sector-relevant purpose and context. This must be communicated to the learner through a clear introductory brief.

The assignment will give the learner the opportunity to demonstrate their ability to use technology and communication methods to track the journeys of products through the retail supply chain from the manufacturer to the customer, solving problems along the way.

The teacher or a local employer should set a realistic brief and objective for learners to work from. The brief for the assessment must clearly specify the product to be tracked; the retail business which will form the context for the tasks; challenges that the learners will need to overcome; and the expected outcome.

#### Tasks

Limited control in respect of task setting for this assessment means that it is the responsibility of the centre to devise a suitable assignment which covers the assessment criteria. Controlled assessments must aim to be holistic in nature and encourage learners to produce evidence to cover all the assessment criteria.

As the learner is tracking the product, two problems should be introduced: the learner should not be forewarned about the nature of these problems in the initial brief, as they will be assessed on their ability to respond to problems.

Learners are not expected to be able to use ordering systems for individual retail businesses. Rather, they should be asked to fill in the sections of forms used that relate to the learning undertaken in this unit.

One of the problems introduced should be related to an environmental, ethical or legal issue. Learners will need to provide one solution for each problem.

#### Evidence

The table below indicates the evidence which should be produced for marking and moderation of tasks.

Task	Evidence The following must be provided:	Acceptable formats	LO/AC mapping
Order and track the journey of a product through the retail supply chain, solving problems that arise	Completed order form or order confirmation	Hard copy or electronic	1a, 1b, 2a, 2b, 3a*, 3b*, 4a* and 4b
	Tracking form	Hard copy or electronic	
	Report on the progress of the product through the retail supply chain, including suggested solutions to two problems in the retail supply chain	Hard copy or electronic (maximum 3 sides of A4) or Hard copy or electronic witness testimony, or audio recording, of oral presentation to assessor (no longer than 5 minutes)	

Task	Evidence The following must be provided:	Acceptable formats	LO/AC mapping
Use technology and communication methods in the retail supply chain	Witness testimony covering: <ul style="list-style-type: none"> <li>• use of technology to order and track the product</li> <li>• use of communication methods to track the product and propose solutions to problems</li> </ul>	Hard copy or electronic	3a*, 3b* and 4a*
	Copies of any emails, faxes etc	Hard copy or electronic	

\*Achievement of this assessment criterion may be evidenced through either or both tasks where referenced, as appropriate.

### Task taking

This section gives specific information relating to the controls for task taking for this assessment in terms of time, resources, supervision and collaboration.

#### Time (limited control)

The assignment will take approximately 8 of the 30 guided learning hours available for this unit.

The timing of this assignment will be staged so that learners can track the progress of products through the retail supply chain. This can be done over a number of sessions, but does not need to be done in real time.

#### Resources (medium control)

Resource material for the assignment such as case studies, photographs or literature should be up-to-date and relevant to the sector area. Centres may find that this is best done by getting resources directly from employers, which will help to give the assignment a real work-related purpose.

The ordering of products will need to take place in a real or realistic retail environment.

Walkie-talkies, fax machines, telephones and access to email may be needed to allow learners to use technology and to communicate information.

Learners will need to be provided with order forms and tracking forms containing suitable fields.

#### Supervision (medium control)

Learners should be supervised when completing order and tracking forms, when writing up reports on the progress of products and when using technology and communication methods.

If the most appropriate environment for some of these activities is not in the normal learning environment then it may take place elsewhere provided that the teacher or other appropriate person can supervise. If the teacher is not supervising the activity then a witness statement must be completed which includes all the required information for the teacher or assessor to make a judgement about each learner's performance.

Overarching guidance on controls relating to supervision may be found on page 105 of the specification.

#### Collaboration (limited control)

Teamwork is not applicable for the assessment of this unit. Learners must complete all tasks and produce all evidence individually.

## Roles

A teacher and/or another appropriate person should take the role of an employer and will need to alert learners to a problem approximately half-way through the tracking of the product.

In order to track products, learners must be able to communicate with the relevant people at different stages of the retail supply chain. This will need to be simulated: teachers and/or employers should play the necessary roles.

## Weighting of learning outcomes

Learning outcomes	Marks	Weighting
1 Know how products progress through the retail supply chain	9	18.8%
2 Understand factors affecting the retail supply chain	12	25%
3 Be able to manage information to track the journeys of products through the retail supply chain	15	31.3%
4 Be able to solve problems in the retail supply chain	12	25%
<b>Total</b>	<b>48</b>	<b>100%</b>

## Assessment grid

### Task marking (medium control)

Please note that the descriptions in this marking grid relate to the top of each band. Further guidance on using marking grids is available in the assessment section of this specification on pages 101–108.

Learning outcomes	Band 1	Band 2	Band 3
	The learner has:		
	0 to 3 marks	4 to 6 marks	7 to 9 marks
1 Know how products progress through the retail supply chain	<p>Identified businesses involved at different stages of the retail supply chain, covering only some aspects.</p> <p>Described how retail supply chain businesses progress products through the retail supply chain in minimal detail, covering only some aspects.</p>	<p>Identified businesses involved at different stages of the retail supply chain, covering a range of relevant aspects.</p> <p>Described how retail supply chain businesses progress products through the retail supply chain, covering a range of relevant aspects in some detail.</p>	<p>Identified businesses involved at different stages of the retail supply chain, covering a wide range of relevant aspects.</p> <p>Described how retail supply chain businesses progress products through the retail supply chain, covering a wide range of relevant aspects in detail.</p>
	0 to 4 marks	5 to 8 marks	9 to 12 marks
2 Understand factors affecting the retail supply chain	<p>Explained a limited range of external issues affecting the retail supply chain, with minimal consideration of different perspectives.</p> <p>Explained how retail supply chain businesses respond to problems affecting the retail supply chain, in basic terms and with limited accuracy.</p>	<p>Explained a range of relevant external issues affecting the retail supply chain, with some consideration of different perspectives.</p> <p>Offered a largely accurate explanation of how retail supply chain businesses respond to problems affecting the retail supply chain, with some detail.</p>	<p>Explained a wide range of relevant external issues affecting the retail supply chain, considering different perspectives.</p> <p>Explained how retail supply chain businesses respond to problems affecting the retail supply chain, in detail and with a high level of accuracy.</p>
	0 to 5 marks	6 to 10 marks	11 to 15 marks
3 Be able to manage information to track the journeys of products through the retail supply chain	<p>Used technology to order and track products in the retail supply chain, employing technology with limited effectiveness and tracking products with limited accuracy.</p> <p>Communicated some relevant information across the retail supply chain, making use of communication methods with limited effectiveness.</p>	<p>Used technology to order and track products in the retail supply chain, employing technology with some effectiveness; tracking of products is largely accurate.</p> <p>Communicated relevant information across the retail supply chain, making some effective use of communication methods.</p>	<p>Used technology to order and track products in the retail supply chain, employing technology effectively and tracking products with a high level of accuracy.</p> <p>Communicated relevant information across the retail supply chain, making effective use of communication methods.</p>

Learning outcomes	Band 1	Band 2	Band 3
	The learner has:		
	0 to 4 marks	5 to 8 marks	9 to 12 marks
4 Be able to solve problems in the retail supply chain	<p>Asked questions of limited suitability and relevance to gather information relating to problems in the retail supply chain.</p> <p>Suggested solutions to overcome common problems in the retail supply chain that are of limited appropriateness and consider only some aspects of the situation.</p>	<p>Asked questions which are largely suitable and relevant to gather information relating to problems in the retail supply chain.</p> <p>Suggested solutions to overcome common problems in the retail supply chain that are largely appropriate, considering a range of relevant aspects of the situation.</p>	<p>Asked relevant and suitable questions to gather information relating to problems in the retail supply chain.</p> <p>Suggested appropriate solutions to overcome common problems in the retail supply chain, considering all or almost all relevant aspects of the situation.</p>

## Guidance for delivery

Learners will need to understand where products come from, whether these be manmade, grown or bred. Stages of manufacture, growing or livestock production, and the organisations involved in the supply chain, could be brainstormed by small groups of learners, with comparisons made to allow groups to make more comprehensive lists of stages within the supply chain. Transport, handling and storage and communication methods used in the supply chain could also be brainstormed, with learners listing advantages and disadvantages, in order to explore traditional and current methods.

Teaching should encourage learners to map or route a product from its source to the shop floor, and then to disposal. This could include basic costing for buying materials, labour, transport, storage and display.

Learners need to explore their own beliefs and opinions about environmental and ethical issues involved in the retail supply chain, such as 'cheap' and child labour. This could cover the effects of cheap product manufacture and 'carbon foot-printing', and issues around farmers and producers stockpiling and selling at loss to large supermarkets. Learners might carry out some basic research into issues associated with particular retail sub-sectors. This could include looking at national and local government environmental and social responsibility targets, as well as publications and websites.

This unit encourages development of investigative skills to solve problems. Offering learners the opportunity to experience using everyday technology and resources such as internet search engines, road maps, sea and/or air routes, rail networks and satellite navigation tools will enhance this development.

Allowing learners to practise using email, walkie talkies, fax machines, photocopiers, and basic hand signalling will give them some practical skills used in supply chain management.

Getting learners into groups to solve a set of supply chain problems will encourage teamwork and allow learners to see how integrated communication systems are crucial to this sector. Examples could include how to re-route a lorry when a major motorway is blocked and how to contact the retailer; how flight delays are monitored and communicated to logistics/delivery organisations; and what procedures or tools are used to communicate with forklift drivers in a warehouse when accidents occurs.

The teaching of this unit could link with that of Level 1 Unit 2: Exploring enterprise in retail businesses, with learners exploring how the product used for the assessment of that unit progresses through the retail supply chain.

There is the possibility for the delivery of elements of this unit to be combined with elements of other Level 1 Principal Learning units, through a simulated experience of setting up and operating a retail enterprise as a group.

## Employer engagement

Employer engagement is essential in order to maximise the value of learners' experience. A partnership approach should be adopted wherever possible with employers with whom the consortium has links, and with employers used for work experience placements.

It would be helpful for teachers to develop a method of maintaining contact with a range of employers in the sector who can be called upon to help with keeping the examples of legislation, methods used and issues involved up-to-date. Case studies provided, or problems set, by employers would give learning a real sector-relevant context and purpose. Learners would benefit particularly from employers being involved in setting the brief for the assessment of this unit.

Local and national employers can play a valuable role in supporting experiential learning and providing a practical and realistic context for learners by allowing access to distribution, warehouse and storage areas during visits or short work shadowing, so that learners can see behind the scenes activity. Learners could gather information about technology, equipment and terminology, as well as health and safety and security. They can observe the use of personal protective equipment, moving equipment such as lorries and forklift trucks. They will also learn about secure areas not accessible to everyone.

Learners would benefit from visiting retail supply chain organisations that deal with products from different sub-sectors. If possible, it would also be useful for them to visit freight ports – air, rail or sea – and local farmers or producers such as plant nurseries.

Employers can send representatives from areas such as driving and delivery, storage, buying and merchandising to talk to learners about the journey a product takes from manufacturer to display. Health and safety and security representatives could also give talks, either on employers' premises or in the learning environment.

Learners will benefit from completing the Skills for Logistics 'Employers' rights and responsibilities' (ERR) booklet when visiting or working in a warehouse or distribution site. Talks from health and safety representatives will give learners an understanding of the risks and problems encountered by supply chain partners. If visits or work experience are not available the workbook can still be completed, but with support from the teacher to research the topics within it.

Learners could ask employers what their social and environmental policies are.

Having employers provide feedback on learners' work, or assist in role play situations to practise using communication methods, could help to engage and motivate learners.

## Personal, Learning and Thinking Skills

The list below is indicative of the way the development of PLTS can support achievement in this unit.

### Independent enquirers

- planning and carrying out research into different stages of the retail supply chain and the technology involved (IE2)

### Creative thinkers

- asking questions to extend their thinking when engaging with employers from retail supply chain businesses (CT2)
- connecting their own and others' ideas and experiences about where products come from, in inventive ways (CT3)
- trying out alternatives or new solutions and following ideas through when dealing with problems in the retail supply chain (CT5)

### Reflective learners

- inviting feedback and dealing positively with praise, setbacks and criticism when presenting solutions to supply chain problems (RL4)

### Team workers

- adapting behaviour to suit different roles and situations, when carrying out role plays to practise communication in the retail supply chain (TW3)

### Self-managers

- responding positively to problems that arise in the retail supply chain, seeking advice and support when needed (SM6)

### Effective participators

- discussing issues of concern when considering problems in the retail supply chain, seeking resolution where needed (EP1)
- presenting persuasive cases for ways in which to overcome problems in the retail supply chain (EP2)
- proposing practical ways forward when mapping the journeys of products, breaking these down into manageable steps (EP3)
- acting as an advocate for views and beliefs that may differ from their own when considering environmental and ethical issues affecting the retail supply chain (EP6).

## Opportunities for Functional Skills development

This unit and its associated learning activities will provide the learner with opportunities to develop and use English, mathematics and ICT in a number of ways.

The emphasis of this unit is on the use of technology and communication methods. However, there are also opportunities to develop mathematical skills.

Verbal communication methods involving the use of different types of technology, in both informal and formal settings, will provide the learner with opportunities to prepare and contribute to discussions. This will enable them to present their points of view clearly and to listen and respond appropriately when exchanging information.

Written communication methods, involving the use of different types of technology to convey information, provide opportunities to develop ideas and opinions and to use formats, styles and language suitable for the intended audience.

Reading can be developed using electronic and non-electronic source material, for example when carrying out research into environmental issues, human rights and health and safety. Writing can be developed through producing notes, a glossary of terms, and written evidence for the assessment task.

The types of technology referred to in this unit are different from those in Functional ICT. However, there will be instances where access to the internet to use search engines and to look at road maps, sea/air routes and rail networks will be relevant.

There are opportunities for developing mathematical skills, for example problem-solving skills requiring calculations with common measures, including money, time, length, weight, capacity and temperature; converting units of measure; and extracting and interpreting information from tables, diagrams, charts and graphs.

These are only examples and, depending on the nature of the delivery and the learning, it is likely that there will be further opportunities for developing Functional Skills.

## Suggested learning resources

AQA-City & Guilds will publish suggested learning and teaching resources on its website:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

The Diploma Development Partnership (DDP) website for Retail Business contains a 'Diploma Shop' – **[www.diplomainretailbusiness.com/shop.php](http://www.diplomainretailbusiness.com/shop.php)** – with useful learning and teaching resources that consortia may find helpful in the delivery of the Principal Learning. This includes a compendium of websites; books; multimedia resources; museums and exhibitions; and journals and e-newsletters.

The relevant sections for the purposes of this unit are:

- Ethics and environment
- Finance
- Supply chain management
- Logistics
- Warehousing and distribution.

The DDP for the Diploma in Retail Business also provides a work-related learning guide:

**[www.diplomainretailbusiness.com/pdfs/  
the\\_work-related\\_learning\\_guide\\_second\\_edition\\_\(final\\_pdf\).pdf](http://www.diplomainretailbusiness.com/pdfs/the_work-related_learning_guide_second_edition_(final_pdf).pdf)**

The following resources may also be helpful for the learning in this unit:

- Business Link **[www.businesslink.gov.uk](http://www.businesslink.gov.uk)**
- Supply Chain Standard **[www.supplychainstandard.com](http://www.supplychainstandard.com)**
- Chartered Institute of Logistics and Transport (UK) **[www.ciltuk.org.uk](http://www.ciltuk.org.uk)**
- Retail supply chain management (Microsoft) **[www.microsoft.com/retail](http://www.microsoft.com/retail)**
- Five steps to risk assessment (HSE) **[www.hse.gov.uk/pubns/indg163.pdf](http://www.hse.gov.uk/pubns/indg163.pdf)**

# Level 1 Unit 4: Introducing the retail outlet

## What is this unit about?

The purpose of this unit is for learners to be able to use creative and organisational skills to design and plan the safe and effective operation of retail outlets.

The safe and effective operation of retail outlets is key to retail businesses. If activities are not co-ordinated efficiently, staff are not in the right places at the right time, or the outlet is not safe for staff and customers, the whole operation falls apart.

The skills developed in this unit are valuable in both the retail sector and the wider world. All employees of retail businesses, at any level, must be aware of the need for retail outlets to be safe, attractive to customers, and efficient in their operations. This unit will develop the learner's ability to think strategically, bearing in mind the consequences of their decisions both at a high level and on the ground.

Elements of this unit can be co-taught with elements of Level 2 Unit 5: Operating the retail outlet.

The following Personal, Learning and Thinking Skills (PLTS) will support learners' achievement in this unit and are embedded in the content:

- creative thinkers
- self-managers.

## Guided learning hours

This unit has 60 GLH assigned to it, of which approximately 10 hours will be needed for the assessment. Details of controls needed in relation to the controlled assessment are on pages 101–108 of this specification.

## Content details

<b>Learning outcomes</b> The learner will:	<b>Assessment criteria</b> The learner can:	<b>PLTS</b>
1 Understand how retail outlets are operated safely and effectively	a describe day-to-day activities of retail outlets	
	b explain how retailers maintain the safe and effective operation of retail outlets	
2 Know the principles of retail outlet layout	a describe how retailers apply key principles of retail outlet layout	
	b identify how retail outlet layouts are affected by health and safety considerations	
3 Be able to design layouts for retail outlets	a generate ideas for retail outlet layouts	CT1
	b design outlet layouts to support the safe and effective operation of retail outlets	
4 Be able to plan the operation of retail outlets	a assess risks to health and safety in retail outlets, anticipating risks	SM4
	b plan how stock will be managed in retail outlets, organising time and resources	SM3

Where the assessment criteria show a direct link to an area of the PLTS framework, it is referenced here. Further information on PLTS is available on pages 10–12 of the specification and also within this unit in the section on Personal, Learning and Thinking Skills.

## Scope of content

This section gives details of the scope of content to be covered in the teaching of the unit to ensure that all the learning outcomes can be achieved.

It is important that, through the Level 1 Principal Learning in Retail Business, learners receive as broad an experience of the whole sector as possible. Differences between retail businesses should be learnt in the contexts in which they are greatest and/or most obvious. Variations in retail outlets will be based mainly on retail channels used; therefore, the focus for coverage of different businesses in this unit is **retail channels**. At least three different retail channels must be covered in the teaching of this unit. Details of these may be found on page 15 of the specification.

### Learning outcome 1: Understand how retail outlets are operated safely and effectively

#### The effective operation of retail outlets

Different types of retail outlet:

- high street stores
- independent retailers
- showrooms
- online retailers
- mobile technology
- catalogues
- market stalls and kiosks
- large warehouses
- TV shopping.

Activities involved in operating retail outlets:

- day-to-day activities in the following areas:
  - shop floor
  - warehouse
  - office
  - goods in/out
  - payment points
  - security
- how activities interrelate.

Staff needed to complete activities:

- levels of job roles:
  - entry/operator
  - intermediate
  - supervisory
  - deputy/assistant management
  - management
- job roles in different areas of the retail outlet
- how staffing is scheduled to take into account:
  - staff holidays
  - busy seasonal periods
  - lunch and coffee breaks
  - Sunday and late night opening.

Learners are not expected to know every single job role available in a retail outlet. They will need to be aware of the most common job roles across different levels and areas.

Learners will need to be aware of the effect of staff sickness and non-attendance on the operation of retail outlets.

Technology that supports the activities of retail outlets:

- computers – hardware and software
- chip and PIN
- electronic ordering
- barcode scanners
- stock control databases.

Learners will need to know what the above technology is used for but are not expected to have an in-depth knowledge of how technology contributes to the operation of retail outlets.

3

### The safe operation of retail outlets

How retailers minimise risks to people and goods in retail outlets:

- potential risks to people in retail outlets:
  - health and safety risks
  - risk of violence from angry customers
- potential risks to goods in retail outlets:
  - theft
  - damage.

Health and safety and security measures used in retail outlets to minimise risks to people and goods:

- health and safety measures:
  - safe layout of the retail outlet (see learning outcome 2)
  - undertaking health and safety risk assessments
  - training staff in health and safety
- security measures:
  - recruiting security services and/or using security equipment
  - training staff in security issues
  - using safe practices when opening and closing outlets.

Learners will need to recognise the importance of health and safety during and outside trading hours. They will need to know that health and safety is subject to legislation and regulation such as the Health and Safety at Work Act, but are not expected to know about the requirements of these in any depth.

## Learning outcome 2: Know the principles of retail outlet layout

### Principles of retail outlet layout

Key principles of retail outlet layout in relation to:

- health and safety
- accessibility
- security
- maximising space.

Creative ways in which retailers develop positive retail environments for customers:

- positioning of products
- attractive display areas
- use of signs and language
- appeal to human senses.

Learners will need to be aware of how differently the principles of retail outlet layout are applied by retailers of different sizes and using different retail channels. Learners are expected to be able to see the deliberate reasoning behind the layout of any retail layout, from a market stall to a car showroom, based on their general knowledge of the principles of retail outlet layout.

### **Learning outcome 3: Be able to design layouts for retail outlets**

#### **Designing layouts for retail outlets**

Techniques for generating ideas for retail outlet layouts:

- understanding any requirements and/or constraints
- brainstorming, exploring alternatives
- looking at existing retail outlet layouts for ideas
- taking into account:
  - attractiveness
  - target customer
  - how activities interrelate
  - health and safety.

Techniques for designing outlet layouts to support the safe and effective operation of retail outlets:

- plotting features on an outline
- indicating the locations of entrances, exits, fire exits, and first aid and fire equipment
- positioning items, attractions, shelving, security equipment or personnel, and payment points
- indicating measurements in real terms: length x width = floor space volume.

Learners will need to use design skills to create positive retail environments, but the emphasis here is not on artistic ability. Rather, learners are expected to show how they have applied the principles of retail outlet layout, taking into account all relevant considerations.

## Learning outcome 4: Be able to plan the operation of retail outlets

### Planning the operation of retail outlets

Techniques for assessing risks to health and safety in retail outlets:

- identifying potential risks, hazards and/or problems
- identifying what is at risk
- completing a risk assessment.

Techniques for planning for stock control in retail outlets:

- identifying what needs to happen and when
- prioritising
- identifying the resources needed
- considering constraints and potential problems
- deciding how time and resources will be used.

Learners will need to plan for stock control at a basic level, and will not require a detailed understanding of stock control methods. They are expected to be able to identify how much stock is available, how much is needed, and how technology will be used to monitor stock levels.

## Assessment

This unit is assessed through a centre set and marked assignment. Controlled assessments are subject to moderation by AQA-City & Guilds. Information on assessment and controls which apply to the qualification as a whole can be found on pages 101–108 of this specification.

The information in this section is specific to the assessment for this unit.

### Task setting (limited control)

#### Sector-relevant purpose

The assignment set must have a sector-relevant purpose and context. This must be communicated to the learner through a clear introductory brief.

The assignment will give the learner the opportunity to demonstrate their ability to design and plan the operation of a retail outlet.

The teacher or a local employer should set a realistic brief and objective for learners to work from. The brief for the assessment must clearly specify the individual or individuals for whom the learner is producing the design and plan; the retail outlet which will form the context for the tasks; the dimensions of the shop floor and any essential fixtures such as product displays and payment points; challenges that the learners will need to overcome; and the expected outcome.

#### Tasks

Limited control in respect of task setting for this assessment means that it is the responsibility of the centre to devise a suitable assignment which covers the assessment criteria. Controlled assessments must aim to be holistic in nature and encourage learners to produce evidence to cover all the assessment criteria.

If the retail outlet used for the context of this assignment is a department store, learners must design one department.

#### Evidence

The table below indicates the evidence which should be produced for marking and moderation of tasks.

Task	Evidence The following must be provided:	Acceptable formats	LO/AC mapping
Produce a retail outlet layout design for one retail outlet	Preliminary sketches and/or notes	Hard copy or electronic	3a and 3b
	Retail outlet layout design	Hard copy based on given outline	
Produce a rationale to support retail outlet layout design	Rationale	Hard copy or electronic (maximum 2 sides of A4) or Hard copy or electronic witness testimony, or audio recording, of oral presentation to assessor (no longer than 5 minutes)	1a, 1b*, 2a, and 2b*

Task	Evidence The following must be provided:	Acceptable formats	LO/AC mapping
Plan the operation of a retail outlet	Health and safety risk assessment form	Hard copy risk assessment form	1b*, 2b*, 4a and 4b
	Plan to support stock control	Hard copy or electronic (maximum 1 side of A4)	

\*Achievement of this assessment criterion may be evidenced through either or both tasks where referenced, as appropriate.

### Task taking

This section gives specific information relating to the controls for task taking for this assessment in terms of time, resources, supervision and collaboration.

#### Time (limited control)

The assignment will take approximately 10 of the 60 guided learning hours available for this unit.

#### Resources (medium control)

Resource material for the assignment such as case studies, photographs or literature should be up-to-date and relevant to the sector area. Centres may find that this is best done by getting resources directly from employers, which will help to give the assignment a real work-related purpose.

The generation of evidence can take place in any suitable learning environment, but the assignment will need to be set in the context of a real retail outlet, 'mock shop' or other realistic environment. If a real outlet is used, the brief must be carefully set to prevent learners from merely copying the existing outlet layout.

Risk assessments may be carried out in real retail environments, although learners may not be able to identify many risks in real outlets. Alternatively, a video or other form of simulation may be used.

#### Supervision (medium control)

Learners must be supervised when creating initial sketches/notes; when producing layout designs with a rationale; when carrying out health and safety risk assessments and completing forms; and when producing plans to support stock control.

Overarching guidance on controls relating to supervision may be found on page 105 of the specification.

#### Collaboration (limited control)

Although teamwork is not assessed in this unit, there is potential for learners to work collaboratively when completing this assignment. However, each learner must present all the required evidence as learners will be assessed individually.

## Weighting of learning outcomes

Learning outcomes	Marks	Weighting
1 Understand how retail outlets are operated safely and effectively	12	25%
2 Know the principles of retail outlet layout	9	18.8%
3 Be able to design layouts for retail outlets	15	31.3%
4 Be able to plan the operation of retail outlets	12	25%
<b>Total</b>	<b>48</b>	<b>100%</b>

## Assessment grid

### Task marking (medium control)

Please note that the descriptions in this marking grid relate to the top of each band. Further guidance on using marking grids is available in the assessment section of this specification on pages 101–108.

Learning outcomes	Band 1	Band 2	Band 3
	The learner has:		
	<b>0 to 4 marks</b>	<b>5 to 8 marks</b>	<b>9 to 12 marks</b>
1 Understand how retail outlets are operated safely and effectively	<p>Described day-to-day activities of retail outlets, covering only some aspects and with limited accuracy.</p> <p>Explained how retailers maintain the safe and effective operation of retail outlets, covering only some aspects and in minimal detail.</p>	<p>Offered a largely accurate description of day-to-day activities of retail outlets, covering a range of relevant aspects.</p> <p>Explained how retailers maintain the safe and effective operation of retail outlets, covering a range of relevant aspects in some detail.</p>	<p>Described day-to-day activities of retail outlets, covering a wide range of relevant aspects with a high level of accuracy.</p> <p>Explained how retailers maintain the safe and effective operation of retail outlets, covering a wide range of relevant aspects in detail.</p>
	<b>0 to 3 marks</b>	<b>4 to 6 marks</b>	<b>7 to 9 marks</b>
2 Know the principles of retail outlet layout	<p>Described how retailers apply key principles of retail outlet layout, covering only some aspects and in minimal detail.</p> <p>Identified how retail outlet layouts are affected by only some aspects of health and safety, with limited accuracy.</p>	<p>Described how retailers apply key principles of retail outlet layout, covering a range of relevant aspects in some detail.</p> <p>Accurately identified how retail outlet layouts are affected by some relevant aspects of health and safety.</p>	<p>Described how retailers apply key principles of retail outlet layout, covering most or all relevant aspects in detail.</p> <p>Accurately identified how retail outlet layouts are affected by most or all relevant aspects of health and safety.</p>
	<b>0 to 5 marks</b>	<b>6 to 10 marks</b>	<b>11 to 15 marks</b>
3 Be able to design layouts for retail outlets	<p>Generated basic ideas for retail outlet layouts, that are of limited suitability.</p> <p>Designed outlet layouts that show limited potential to support the safe and effective operation of retail outlets.</p>	<p>Generated reasonably well-developed and largely suitable ideas for retail outlet layouts.</p> <p>Designed outlet layouts that show potential to support aspects of the safe and effective operation of retail outlets.</p>	<p>Generated fully developed and suitable ideas for retail outlet layouts.</p> <p>Designed outlet layouts that show potential to support the safe and effective operation of retail outlets.</p>
	<b>0 to 4 marks</b>	<b>5 to 8 marks</b>	<b>9 to 12 marks</b>
4 Be able to plan the operation of retail outlets	<p>Assessed risks to health and safety in retail outlets, covering only some aspects and making judgements which show limited reasoning.</p> <p>Planned how stock will be managed in retail outlets, covering only some aspects and organising time and resources with limited effectiveness.</p>	<p>Assessed risks to health and safety in retail outlets, covering a range of aspects and making judgements which show some sound reasoning.</p> <p>Planned how stock will be managed in retail outlets, covering a range of aspects and organising time and resources with some effectiveness.</p>	<p>Assessed risks to health and safety in retail outlets, covering a wide range of relevant aspects and making judgements which show a consistently high level of reasoning.</p> <p>Planned how stock will be managed in retail outlets, covering most or all relevant aspects and organising time and resources effectively.</p>

## Guidance for delivery

This unit deals with a range of retail outlets, and learners will benefit from being introduced to as many of the types of outlet outlined in the Scope of content as possible. Learners will already have visited many types of 'bricks and mortar' retail outlet. Many will have engaged with internet and/or TV shopping. Sharing learners' retail experiences could provide a good starting point for this unit.

Visits to a range of retail outlets must be made early in the programme so that learners can establish the different roles and responsibilities of personnel. Learners will also benefit from knowing about the different departments and how they interact within large retail chains and smaller outlets.

Discussion and research into the different departments within different outlets will assist learners in understanding the main principles of different outlets. Learners could focus on how the cash office in a large supermarket supports the point of sale departments. Alternatively, they could focus on how the warehouse department is linked to replenishment on the shop floor. Other examples need to be included – eg how the production team supports the presenters on a TV shopping channel. This will give learners an insight into other retail channels.

Getting learners to see the operation of 'behind the scenes' departments will highlight how retail and distribution is a 24/7 industry. Learners could learn how retail schedules are maintained through spreadsheet calculation using basic ICT, or via work experience or visits to retailers.

Learners could be guided through the process of designing retail outlets using basic technical drawing skills and equipment such as graph paper, rulers and coloured pens/pencils, or on the computer using relevant software. Particular attention should be paid to health and safety considerations such as access for disabled customers, fire exits, and safety and first aid equipment.

There is the possibility for the delivery of elements of this unit to be combined with elements of other Level 1 Principal Learning units, through a simulated experience of setting up and operating a retail enterprise as a group.

## Employer engagement

Employer engagement is essential in order to maximise the value of learners' experience. A partnership approach should be adopted wherever possible with employers with whom the consortium has links, and with employers used for work experience placements.

It would be helpful for teachers to develop a method of maintaining contact with a range of employers in the sector who can be called upon to help with keeping examples used in the taught content up-to-date. Case studies provided, or activities set, by employers would give learning a real sector-relevant context and purpose. Learners would benefit particularly from employers being involved in setting the brief for the assessment of this unit.

Local employers can play a valuable role in providing a practical and realistic context for learners. Employers could allow access to different departments to learners during opening hours or after closing so they can see 'behind the scenes' activity. Learners may even be able to participate in certain activities.

Learners can also visit retail outlets to see how different outlets create positive 'buying' environments, comparing them to get a sense of the key principles of outlet layout. Learners could be encouraged to use a checklist of areas for observation or a customer survey.

Employer talks or discussions with learners could centre on the structure of the employer's organisation and the pressures it faces. Health, safety and risk assessments could be discussed or employers could allow learners access to do risk assessments during work experience or visits.

Allowing learners to visit different outlets, copy floor layouts and do customer surveys will assist learners in applying the skills needed for learning outcomes 3 and 4. Employers could supervise, and be involved in the judgements of the assessment for, the floor layout, risk assessment and staff schedules. This can be during work experience or during visits/talks to learners.

Learners would also benefit from being able to present retail outlet layout designs to employers and gaining feedback from them.

## Personal, Learning and Thinking Skills

The list below is indicative of the way the development of PLTS can support achievement in this unit.

### Independent enquirers

- identifying questions to answer when researching how retailers maintain the safe and effective operation of outlets (IE1)
- planning and carrying out research on day-to-day activities of retail outlets (IE2)

### Creative thinkers

- asking questions to extend their thinking about hazards and risks in retail outlets (CT2)
- trying out alternatives or new solutions and following ideas through when designing retail outlet layouts (CT5)

### Reflective learners

- inviting feedback on retail outlet layouts and dealing positively with praise, setbacks and criticism (RL4)
- evaluating experiences of carrying out health and safety risk assessments and learning to inform future progress (RL5)

### Team workers

- collaborating with others when working in small groups researching the day-to-day activities of retail outlets (TW1)

### Self-managers

- working towards goals, showing initiative, commitment and perseverance when designing retail outlet layouts (SM2)

### Effective participators

- discussing issues of concern, seeking resolution where needed when putting forward ideas for retail outlet design (EP1)
- presenting a persuasive case for action when designing the layout of retail outlets (EP2)
- identifying improvements to retail outlet designs that would benefit others as well as themselves (EP4).

## Opportunities for Functional Skills development

This unit and its associated learning activities will provide the learner with opportunities to develop and use English, mathematics and ICT in a number of ways.

Opportunities exist for developing writing skills when producing different types of document for the assessment of this unit. These may be developed into different formats using ICT skills.

There are opportunities throughout the unit to develop reading skills for research using both electronic and non-electronic source material.

There are a number of opportunities for developing speaking and listening skills. For example, when taking part in formal and informal discussions both face to face and in groups while obtaining information from peers, employers and outside speakers, and when carrying out surveys.

Opportunities exist to develop a range of mathematical skills, for example through extracting and interpreting information from given diagrams; working out areas, perimeters and volumes; using whole numbers and decimals; multiplying and dividing; solving problems requiring calculation with common measures; converting units of measurement; using simple formulae; organising data and representing information in different ways.

The learner may use ICT skills in research, for example by using a search engine, entering a web address, browsing, saving and using bookmarks. There will be opportunities for learners to enter, develop and organise numerical information to produce spreadsheets.

These are only examples and, depending on the nature of the delivery and the learning, it is likely that there will be further opportunities for developing Functional Skills.

## Suggested learning resources

AQA-City & Guilds will publish suggested learning and teaching resources on its website:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

The Diploma Development Partnership (DDP) website for Retail Business contains a 'Diploma Shop' – **[www.diplomainretailbusiness.com/shop.php](http://www.diplomainretailbusiness.com/shop.php)** – with useful learning and teaching resources that consortia may find helpful in the delivery of the Principal Learning. This includes a compendium of websites; books; multimedia resources; museums and exhibitions; and journals and e-newsletters.

The relevant sections for the purposes of this unit are:

- People and the retail environment
- Retail channels
- Stock control
- Customer service
- Visual merchandising.

The DDP for the Diploma in Retail Business also provides a work-related learning guide:

**[www.diplomainretailbusiness.com/pdfs/](http://www.diplomainretailbusiness.com/pdfs/)**

**[the\\_work-related\\_learning\\_guide\\_second\\_edition\\_\(final\\_pdf\).pdf](#)**

# Level 1 Unit 5: Introduction to customer service in retail businesses

## What is this unit about?

The purpose of this unit is for learners to be able to use customer service skills to communicate and build relationships with a diverse range of customers.

Customer service is one of the most important aspects of successful retail businesses. High quality customer service helps to create customer loyalty. Customers today are interested not only in the product they are being offered but also in all the additional elements of service that they receive, from the greeting they receive when they enter a retail outlet to the refund and help that they receive when they have a complaint about a faulty product for which they have paid.

Individuals with strong customer service skills are an asset to the retail sector: they are able to improve sales by providing a positive customer experience, communicating effectively with customers and colleagues, and continually improving their performance.

Through this unit, learners will develop their communication skills and have the opportunity to practise customer service skills, including adapting behaviour to different situations and interpreting the behaviour of others. Learners will develop their ability to respond to feedback and to review their own performance in order to improve their customer service delivery.

Elements of this unit can be co-taught with elements of Level 2 Unit 7: Customer service in retail businesses.

The following Personal, Learning and Thinking Skills (PLTS) will support learners' achievement in this unit and are embedded in the content:

- reflective learners
- self-managers.

## Guided learning hours

This unit has 30 GLH assigned to it, of which approximately 6 hours will be needed for the assessment. Details of controls needed in relation to the controlled assessment are on pages 101–108 of this specification.

## Content details

<b>Learning outcomes</b> The learner will:	<b>Assessment criteria</b> The learner can:	<b>PLTS</b>
1 Know the role of customer service standards in retail businesses	a identify the importance of customer service to retail businesses b identify how retail businesses measure their customer service standards	
2 Understand the techniques used by retailers to deliver customer service	a describe customer service techniques used by retailers to attract and retain customers b explain how staff in retail businesses communicate with diverse ranges of customers	
3 Be able to build relationships with customers in retail environments	a communicate with customers in retail environments to build positive relationships	SM7
	b respond to constructive feedback on own customer service	RL4
	c review own customer service delivery, acting on the outcomes	RL3

Where the assessment criteria show a direct link to an area of the PLTS framework, it is referenced here. Further information on PLTS is available on pages 10–12 of the specification and also within this unit in the section on Personal, Learning and Thinking Skills.

## Scope of content

This section gives details of the scope of content to be covered in the teaching of the unit to ensure that all the learning outcomes can be achieved.

It is important that, through the Level 1 Principal Learning in Retail Business, learners receive as broad an experience of the whole sector as possible. Differences between retail businesses should be learnt in the contexts in which they are greatest and/or most obvious. Variations in customer service delivery will be based mainly on retail channels; therefore, the focus for coverage of different businesses in this unit is **retail channels**. At least three different retail channels must be covered in the teaching of this unit, and should encompass businesses of different sizes. Details of these may be found on page 15 of the specification.

An understanding of the concepts of customers and customer service should form a foundation for the learning in this unit. Learners will need to be aware that the customer and their expectations are at the heart of everything that businesses do.

### Learning outcome 1: Know the role of customer service standards in retail businesses

#### The role of customer service standards in retail businesses

The importance of customer service to retail businesses, in terms of:

- encouraging repeat custom
- increasing customer loyalty
- improving the customer experience
- increasing sales
- increasing profit.

Customer service standards:

- standards for:
  - creating good first impressions – verbally, visually and face-to-face
  - maintaining good impressions – verbally, visually and face-to-face
  - 'going the extra mile' by anticipating and solving problems and assisting customers
- how retailers measure their standards of service:
  - communicating customer services to customers and employees through different formats
  - obtaining information on their standards of service from customers using different research methods.

Learners will need to be able to recognise the customer service standards of different retail businesses. They will need to be aware that customer service is affected by legislation such as the Sale of Goods Act, but no further understanding of legislation is required at this level.

## Learning outcome 2: Understand the techniques used by retailers to deliver customer service

### Techniques used by retailers to deliver customer service

Roles and responsibilities for delivering customer service in retail businesses:

- dress code
- how to address customers verbally
- knowing the limits of authority
- understanding how to resolve customer service problems.

Customer service techniques used in retail business to retain existing and attract new customers:

- approaching customers if they appear to need help – ie on ‘floor walks’
- building rapport through friendly conversation
- use of positive body language
- active listening
- questioning techniques – asking relevant open and/or closed questions to identify what the customer needs
- keeping product knowledge up-to-date in order to be able to provide accurate and relevant information to customers
- thanking customers for their business
- rewarding repeat custom.

How retailers communicate with customers:

- verbal communication
- written communication.

Learners are expected to appreciate that any retail business is likely to have a diverse range of customers with accordingly diverse needs, which the business must try to address effectively. When identifying a customer’s needs, customer service staff will adjust their communication in response to the customer, for example selecting open or closed questions depending on how sure the customer is of what he/she is looking for.

Learners will need to be aware of the need to be clear, straightforward and positive when communicating with customers. This includes responding to customers individually, being sensitive to how each customer communicates, and making the customer feel important.

How retailers handle feedback from customers:

- complaints:
  - showing the desire to understand the complaint by using active listening and questioning techniques
  - remaining calm and polite at all times
  - apologising when necessary
  - solving the issue or problem
  - thanking the customer for drawing attention to the fault
- compliments:
  - thanking the customer, using positive body language.

The emphasis here should be on how customer-facing staff deal with feedback from customers. Organisational procedures for lodging complaints need not be covered.

## Learning outcome 3: Be able to build relationships with customers in retail environments

### Building relationships with customers in retail environments

Techniques for communicating with customers in retail environments to build positive relationships:

- approaching customers at the appropriate time
- asking relevant questions to establish customers' needs
- active listening
- responding to customers individually, showing sensitivity and managing own emotions when necessary
- using language that is:
  - clear and straightforward
  - polite
  - friendly
- using positive body language.

Techniques for responding to constructive feedback on own customer service:

- being open to feedback which is intended to encourage development:
  - showing appreciation of constructive feedback – whether praise, setbacks or criticism
  - not taking negative comments personally or arguing against them
  - accepting compliments
- identifying changes to be made based on what has been learnt from feedback.

At this level, learners are not expected to deal with 'difficult' customers or to respond to feedback which is not constructive.

Techniques for reviewing own customer service delivery and acting on the outcomes:

- using feedback
- asking oneself questions to answer in order to determine:
  - how successfully customer needs have been met
  - how successfully customer service techniques were used
  - achievements and opportunities for future improvement
  - what has been learnt
- identifying changes to be made
- putting changes into practice
- reviewing customer service delivery again after making changes.

Learners will need to be able to act on the outcomes of their review in order to give them the opportunity to practise and improve their customer service delivery.

## Assessment

This unit is assessed through a centre set and marked assignment. Controlled assessments are subject to moderation by AQA-City & Guilds. Information on assessment and controls which apply to the qualification as a whole can be found on pages 101–108 of this specification.

The information in this section is specific to the assessment for this unit.

### Task setting (limited control)

#### Sector-relevant purpose

The assignment set must have a sector-relevant purpose and context. This must be communicated to the learner through a clear introductory brief.

The assignment will give the learner the opportunity to demonstrate their ability to deliver customer service in a retail context, and to use feedback to inform their progress.

The teacher or a local employer should set a realistic brief and objective for learners to work from. The brief for the assessment must clearly specify the context within which the learner is providing customer service, how many customers the learner will interact with, challenges that learners will need to overcome, the expected outcome, and the target audience for the review.

#### Tasks

Limited control in respect of task setting for this assessment means that it is the responsibility of the centre to devise a suitable assignment which covers the assessment criteria. Controlled assessments must aim to be holistic in nature and encourage learners to produce evidence to cover all the assessment criteria.

In order for learners to demonstrate that they can build relationships with customers, at least one customer should have a query that requires the learner to find information or offer advice, or should be served by the learner on more than one occasion. Information or advice required should be that which the learner will already know or be able to access easily.

Customers must have different needs, but not to an extent which makes it difficult for learners to apply their learning from feedback to their communication with future customers.

Learners at this level are not expected to deal with complex queries or demanding customers.

#### Evidence

The table below indicates the evidence which should be produced for marking and moderation of tasks.

Task	Evidence The following must be provided:	Acceptable formats	LO/AC mapping
Deliver customer service to three customers with different needs, using review to inform progress	Witness testimony covering the learner's interaction with each customer	Hard copy or electronic	3a and 3c*
Review customer service delivery on the basis of feedback	Reflective log compiled in three stages: <ul style="list-style-type: none"><li>• after receiving feedback on their interaction with the first customer</li><li>• after receiving feedback on their interaction with the second customer</li><li>• after serving the final customer</li></ul>	Hard copy or electronic reflective log (maximum 3 sides of A4)	1a, 1b, 2a, 2b, 3b and 3c*

\*Achievement of this assessment criterion may be evidenced through either or both tasks where referenced, as appropriate.

## Task taking

This section gives specific information relating to the controls for task taking for this assessment in terms of time, resources, supervision and collaboration.

### Time (limited control)

The assignment will take approximately 6 of the 30 guided learning hours available for this unit.

Each interaction with a customer should last a maximum of 5 minutes.

### Resources (medium control)

Resource material for the assignment such as case studies, photographs or literature should be up-to-date and relevant to the sector area. Centres may find that this is best done by getting resources directly from employers, which will help to give the assignment a real work-related purpose.

This assessment must take place in a 'mock shop' or realistic retail environment containing a range of products. Learners will need to serve three adults playing the role of customers.

### Supervision (medium control)

Learners must be supervised when delivering customer service and when completing reflective logs.

Overarching guidance on controls relating to supervision may be found on page 105 of the specification.

### Collaboration (limited control)

Teamwork is not applicable for the assessment of this unit. Learners must complete all tasks and produce all evidence individually.

### Roles

Teachers at the centre, or a local employer, should play the roles of customers.

### Feedback

Learners should be given feedback after their interaction with the first customer and again after their interaction with the second. Feedback given should be constructive and manageable for the learner.

## Weighting of learning outcomes

Learning outcomes	Marks	Weighting
1 Know the role of customer service standards in retail businesses	6	12.5%
2 Understand the techniques used by retailers to deliver customer service	12	25%
3 Be able to build relationships with customers in retail environments	30	62.5%
<b>Total</b>	<b>48</b>	<b>100%</b>

## Assessment grid

### Task marking (medium control)

Please note that the descriptions in this marking grid relate to the top of each band. Further guidance on using marking grids is available in the assessment section of this specification on pages 101–108.

Learning outcomes	Band 1	Band 2	Band 3
	The learner has:		
	0 to 2 marks	3 to 4 marks	5 to 6 marks
1 Know the role of customer service standards in retail businesses	<p>Identified the importance of customer service to retail businesses in basic terms with limited accuracy.</p> <p>Identified how retail businesses measure their customer service standards, in basic terms with limited accuracy.</p>	<p>Identified the importance of customer service to retail businesses in general terms, with accuracy.</p> <p>Identified how retail businesses measure their customer service standards, in general terms, with accuracy.</p>	<p>Accurately identified the importance of customer service to retail businesses in specific terms.</p> <p>Accurately identified how retail businesses measure their customer service standards, in specific terms.</p>
	0 to 4 marks	5 to 8 marks	9 to 12 marks
2 Understand the techniques used by retailers to deliver customer service	<p>Described customer service techniques used by retailers to attract and retain customers in minimal detail, covering only some aspects.</p> <p>Explained how staff in retail businesses communicate with diverse customers, covering only some aspects and in minimal detail.</p>	<p>Described customer service techniques used by retailers to attract and retain customers, covering a range of relevant aspects in some detail.</p> <p>Explained how staff in retail businesses communicate with diverse customers, covering a range of relevant aspects in some detail.</p>	<p>Described customer service techniques used by retailers to attract and retain customers, covering most or all relevant aspects in detail.</p> <p>Explained how staff in retail businesses communicate with diverse customers, covering a wide range of relevant aspects in detail.</p>
	0 to 10 marks	11 to 20 marks	21 to 30 marks
3 Be able to build relationships with customers in retail environments	<p>Communicated with customers in retail environments with limited effectiveness and consideration of customers' needs.</p> <p>Responded positively to praise and less positively to setbacks and criticism.</p> <p>Reviewed own customer service delivery, covering only some aspects and with limited self-awareness; taken little action on the outcomes.</p>	<p>Communicated with customers in retail environments with some effectiveness and consideration of customers' needs.</p> <p>Responded to praise, setbacks and criticism in a largely positive manner.</p> <p>Reviewed own customer service delivery, covering a range of relevant aspects with some self-awareness; acted on the outcomes with some appropriateness.</p>	<p>Communicated effectively with customers in retail environments, considering customers' needs throughout.</p> <p>Responded to praise, setbacks and criticism in a consistently positive manner.</p> <p>Reviewed own customer service delivery, covering a wide range of relevant aspects with self-awareness; acted on the outcomes appropriately.</p>

## Guidance for delivery

Customer service in retail businesses can be an interactive, enjoyable subject for learners. To introduce the subject, the teacher could encourage learners to engage in the customer service experience within different retail businesses. This will ensure that the learners gain knowledge and understanding from the point of view of the customer and the retail business. Whilst it is inevitable that all learners will at some point have been a customer within a retail environment, it is less likely that they will have appreciated the techniques and methods that go into making the customer service experience successful.

It will be helpful for learners to use their existing knowledge to explore customer service through research, discussion and a series of visits to different retail channels, for instance visits to local businesses, large national retail businesses and internet businesses. Research data on customer service may be found via newspaper or journal articles and relevant websites, or be provided by a willing employer.

The teacher could assist learners in compiling surveys that could be conducted through approaching customers within a school/college retail outlet or a mock shop. Learners could use simple questionnaires for customers to rate their experience on a scale of 1 to 10, based on:

- listening skills of individual
- body language
- helpfulness.

Teachers must support learners in developing their skills by demonstrating that customers may display a range of feelings and behaviours. This could include the use of role play showing the different types of feelings and behaviour that people display in different situations.

Games could be used to enable learners to practise customer service techniques, eg the use of open questions to establish customer needs.

There is the possibility for the delivery of elements of this unit to be combined with elements of other Level 1 Principal Learning units, through a simulated experience of setting up and operating a retail enterprise as a group.

## Employer engagement

Employer engagement is essential in order to maximise the value of learners' experience. A partnership approach should be adopted wherever possible with employers with whom the consortium has links, and with employers used for work experience placements.

It would be helpful for teachers to develop a method of maintaining contact with a range of employers in the sector who can be called upon to help with keeping examples used in the taught content up-to-date. Case studies provided, or activities set, by employers would give learning a real sector-relevant context and purpose. Learners would benefit particularly from employers being involved in setting the brief for the assessment of this unit.

Employers could also engage with the delivery of this unit by encouraging interaction between learners and customers within a retail environment, including either visits to or work experience in a retail setting, and providing feedback on learners' customer service delivery in role plays or real situations. Employers could provide some customer service training appropriate for the level, and give presentations on their own standards of customer service.

Employers could support learners in gathering customer satisfaction research and data. They may provide current mystery shopper reports and feedback from their own businesses for learners to review.

## Personal, Learning and Thinking Skills

The list below is indicative of the way the development of PLTS can support achievement in this unit.

### Independent enquirers

- identifying questions to answer when carrying out research into customer service in retail businesses (IE1)
- planning and carrying out research into the importance of customer service in retail and the techniques used by retailers (IE2)
- exploring issues, events or problems in retail businesses from the perspectives of employees and customers (IE3)

### Creative thinkers

- asking questions to extend their thinking about the techniques used by retailers to attract and retain customers when visiting retail environments (CT2)
- questioning their own and others' assumptions about customer behaviour (CT4)

### Reflective learners

- assessing themselves and others, identifying areas of improvement when delivering customer service (RL1)
- evaluating experiences and learning to inform future progress on own service delivery techniques (RL5)

### Team workers

- adapting behaviour to suit different roles and situations when performing customer service role plays (TW3)
- providing constructive support and feedback to others on their customer service (TW6)

### Self-managers

- dealing with competing pressures, including personal and work-related demands, in customer service situations (SM5)

### Effective participators

- discussing issues of concern when delivering customer service, seeking resolution where needed (EP1)
- identifying improvements to customer service that would benefit retail businesses as well as customers (EP4)
- trying to influence customers, negotiating and balancing diverse views to reach workable solutions (EP5).

## Opportunities for Functional Skills development

This unit and its associated learning activities will provide the learner with opportunities to develop and use English, mathematics and ICT in a number of ways.

The unit is predominantly about verbal communication skills.

There will be opportunities to develop speaking and listening skills while working in small groups and taking part in informal discussions sharing knowledge and understanding of key terms.

Opportunities exist for preparing and contributing to formal discussion and questioning, particularly if guest speakers are invited to talk or visits to companies take place.

There are a number of opportunities to develop reading and writing skills in this unit through researching information to gain product knowledge and obtaining information from the resource material for the assessment. Learners may use email or web-based methods to communicate and exchange information as part of product research. Written evidence for the assessment can be handwritten or developed electronically using ICT skills.

There are also opportunities to develop a range of mathematical skills, for example through collecting data while conducting surveys; interpreting and using given data; and calculating area, percentages, proportion, mode, median, mean and range. The assessment involves being able to propose retail channels for products based on the interpretation of data.

These are only examples and, depending on the nature of the delivery and the learning, it is likely that there will be further opportunities for developing Functional Skills.

## Suggested learning resources

AQA-City & Guilds will publish suggested learning and teaching resources on its website:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

The Diploma Development Partnership (DDP) website for Retail Business contains a ‘Diploma Shop’ – **[www.diplomainretailbusiness.com/shop.php](http://www.diplomainretailbusiness.com/shop.php)** – with useful learning and teaching resources that consortia may find helpful in the delivery of the Principal Learning. This includes a compendium of websites; books; multimedia resources; museums and exhibitions; and journals and e-newsletters.

The relevant sections for the purposes of this unit are:

- People and the retail environment
- Retail channels
- Customer service.

The DDP for the Diploma in Retail Business also provides a work-related learning guide:

**[www.diplomainretailbusiness.com/pdfs/  
the\\_work-related\\_learning\\_guide\\_second\\_edition\\_\(final\\_pdf\).pdf](http://www.diplomainretailbusiness.com/pdfs/the_work-related_learning_guide_second_edition_(final_pdf).pdf)**

## Level 1 Unit 6: Introduction to retail selling

### What is this unit about?

The purpose of this unit is for learners to be able to use selling skills, using appropriate techniques and behaviours in retail environments, to sell products to customers.

The main role of a retailer is to sell products, and retailers could not exist without sales. Retail businesses constantly aim to improve their profits through increasing sales. Salespeople play a crucial role in achieving this goal. It is essential that salespeople have the skills needed to influence customers to buy products.

In this unit, learners will gain an understanding of the roles of sales and salespeople in retail businesses. They will explore techniques used to sell products, as well as appropriate behaviour in sales situations. Learners will have the opportunity to practise and develop selling skills, which are highly valued in retail businesses across all retail channels and sub-sectors.

Elements of this unit can be co-taught with elements of Level 2 Unit 8: Selling in retail businesses.

### Guided learning hours

This unit has 30 GLH assigned to it, of which approximately 5 hours will be needed for the assessment. Details of controls needed in relation to the controlled assessment are on pages 101–108 of this specification.

## Content details

Learning outcomes The learner will:	Assessment criteria The learner can:	PLTS
1 Know how retail businesses sell products	a identify the role of sales in retail businesses	
	b describe the stages of the sales process in retail	
	c describe how retailers ensure secure payment	
2 Know the techniques and behaviour that are used in the selling process	a identify factors that influence customers when buying	
	b describe appropriate behaviour in sales situations	
	c outline how product knowledge assists with the sales process	
3 Be able to sell products by demonstrating their main features and benefits	a use personal selling techniques to influence buying decisions in retail environments	
	b demonstrate the main features and benefits of products	
	c process payments	

No PLTS have been selected for assessment in this unit. PLTS from each of the six groups are embedded in the assessment of other units at this level. However, the unit has been designed to afford ample opportunities for PLTS development through the learning programme. Further information of PLTS is available on pages 10–12 of the specification and also with this unit in the section on Personal, Learning and Thinking Skills.

## Scope of content

This section gives details of the scope of content to be covered in the teaching of the unit to ensure that all the learning outcomes can be achieved.

It is important that, through the Level 1 Principal Learning in Retail Business, learners receive as broad an experience of the whole sector as possible. Differences between retail businesses should be learnt in the contexts in which they are greatest and/or most obvious. Variations in the selling process will be based mainly on products; therefore, the focus for coverage of different businesses in this unit is **sub-sectors**. At least three different sub-sectors must be covered in the teaching of this unit. Details of these may be found on page 15 of the specification.

### Learning outcome 1: Know how retail businesses sell products

#### How retail businesses sell products

The role of selling and sales targets in retail businesses:

- selling – essential for a retailer to continue to trade
- sales targets:
  - help to measure the performance of sales personnel
  - provide incentives to improve.

The sales process:

- approaching the customer
- identifying the customer's needs using questioning techniques
- demonstrating features and benefits
- overcoming objections
- closing the sale.

Learners will need to be aware of how the sales process differs across sub-sectors and retail channels.

The impact of key sales-related legislation on the sales process:

- Sale of Goods Act
- Consumer Credit Act
- Weights and Measures Act
- Trade Descriptions Act
- Copyright & Patents.

Learners are not required to have an in-depth understanding of sales-related legislation: they are expected to know what each piece of legislation addresses and how it affects the sales process in broad terms.

Payment methods used across retail channels:

- cash
- credit and debit cards
- store cards
- coupons, vouchers and tokens
- other relevant methods.

How retailers ensure secure payment:

- visual checks
- identity checks.

Learners will need to be able to identify appropriate checks to ensure secure payment using different payment methods.

3

## Learning outcome 2: Know the techniques and behaviour that are used in the selling process

### Techniques and behaviour that are used in the selling process

Factors that influence customers when buying:

- how much they can afford to spend
- the behaviour of the salesperson
- seasonal factors – eg the need to buy a gift for an occasion
- store incentives
- special offers.

Appropriate behaviour in sales situations:

- being attentive and listening to the customer
- positive body language
- careful choice of words
- showing confidence in the quality and value of the product
- helping customers to find what they need or suggesting alternatives
- highlighting promotions and savings.

The use of product knowledge in the sales process:

- how salespeople identify features and benefits of products:
  - identifying features which distinguish a product from other similar products
  - identifying the advantage of this feature and the benefit to the customer
  - where appropriate, allowing customers to try products out/on or offering demonstrations
- how product knowledge can assist in the sales process:
  - giving the salesperson confidence
  - overcoming objections
  - allowing the salesperson to identify suitable alternative products
  - upselling
  - reflecting well upon the salesperson, the retailer and the products.

Techniques for closing a sale:

- reading buying signals to know when a customer is making their decision to buy
- using questions that imply that a customer is going to make a purchase
- using positive affirmations to confirm that the customer is making the right choice.

In order to appreciate the importance of appropriate behaviour in the selling process, learners will need to be aware of how salespeople can put off customers, eg by being overzealous or asking too many questions.

### **Learning outcome 3: Be able to sell products by demonstrating their main features and benefits**

#### **Selling products by demonstrating their main features and benefits**

Personal selling techniques used to influence buying decisions:

- behaving appropriately when dealing with customers
- if a customer indicates any factors influencing their buying decision, taking these into account
- applying techniques for closing the sale.

Techniques for demonstrating the main features and benefits of products:

- getting to know products before attempting to sell them:
  - using the product
  - talking to others about the product
  - asking questions or referring to information about the product
- identifying features which distinguish a product from other similar products, and their benefits for the customer
- where appropriate, allowing customers to try products out/on or offering demonstrations.

Techniques for processing payments:

- cash:
  - putting cash into a till drawer
  - presenting change and a receipt back to the customer
- credit and debit cards:
  - processing card payments on a chip and PIN device
  - presenting a receipt back to the customer
- ensuring secure payment:
  - making visual and identity checks as relevant.

It is not intended that learners will process real payments. They are expected to be able to talk through the process as they demonstrate how to process payments. They are not required to be able to use interfaces on tills or chip and PIN terminals, and pieces of equipment used do not have to be functional.

## Assessment

This unit is assessed through a centre set and marked assignment. Controlled assessments are subject to moderation by AQA-City & Guilds. Information on assessment and controls which apply to the qualification as a whole can be found on pages 101–108 of this specification.

The information in this section is specific to the assessment for this unit.

### Task setting (limited control)

#### Sector-relevant purpose

The assignment set must have a sector-relevant purpose and context. This must be communicated to the learner through a clear introductory brief.

This assignment will give the learner the opportunity to demonstrate their use of the techniques and behaviour required to sell products in retail environments.

The teacher or a local employer should set a realistic brief and objective for learners to work from. The brief for the assessment must clearly specify the context within which the learner is selling products, the products for which learners are demonstrating features and benefits, challenges that learners will need to overcome, the expected outcome, and the target audience for the review.

#### Tasks

Limited control in respect of task setting for this assessment means that it is the responsibility of the centre to devise a suitable assignment which covers the assessment criteria. Controlled assessments must aim to be holistic in nature and encourage learners to produce evidence to cover all the assessment criteria.

#### Evidence

The table below indicates the evidence which should be produced for marking and moderation of tasks.

Task	Evidence The following must be provided:	Acceptable formats	LO/AC mapping
Sell one product each to two customers	Witness testimony covering the learner's selling of each product, to include a talk-through demonstration of processing payments	Hard copy or electronic	1c*, 3a, 3b, and 3c
Review the sales process	Review to be completed after selling the first product	Hard copy or electronic review (maximum 3 sides of A4) or Hard copy or electronic witness testimony, or audio recording, of oral presentation to assessor (no longer than 5 minutes)	1a, 1b, 1c*, 2a, 2b and 2c

\*Achievement of this assessment criterion may be evidenced through either or both tasks where referenced, as appropriate.

### Task taking

This section gives specific information relating to the controls for task taking for this assessment in terms of time, resources, supervision and collaboration.

**Time (limited control)**

The assignment will take approximately 5 of the 30 guided learning hours available for this unit.

**Resources (medium control)**

Resource material for the assignment such as case studies, photographs or literature should be up-to-date and relevant to the sector area. Centres may find that this is best done by getting resources directly from employers, which will help to give the assignment a real work-related purpose.

This assessment may take place in any suitable learning environment. Learners will need to sell products to two adults playing the role of customers, and will need two products to sell. Teachers must consider fairness when choosing products, so that all learners have an equal chance to demonstrate product knowledge. An example of a product which would not be suitable is a book which some learners may have read and others will not have.

Learners' processing of payments will be simulated, but learners would benefit from having access to real or model equipment for processing payments. Learners are not expected to be able to use interfaces on tills or chip and PIN terminals.

**Supervision (medium control)**

Learners must be supervised when selling products and when producing their review of the sales process in a suitable format.

Overarching guidance on controls relating to supervision may be found on page 105 of the specification.

**Collaboration (limited)**

Teamwork is not applicable for the assessment of this unit. Learners must complete all tasks and produce all evidence individually.

**Roles**

The teacher, or a local employer, should play the role of customer. The customer in the second sales situation may be different from or the same as the one in the first. Customers must be persuaded to buy, but should not show objections to buying. They must always buy the product. A different payment method should be used in each situation.

The teacher, or a local employer, may play a role when learners are demonstrating processing payments. This might be a supervisor, for example, or a new member of staff being trained. This role should be clear to the learner and the teacher or employer should stay in character.

**Weighting of learning outcomes**

Learning outcomes	Marks	Weighting
1 Know how retail businesses sell products	12	25%
2 Know the techniques and behaviour that are used in the selling process	15	31.3%
3 Be able to sell products by demonstrating their main features and benefits	21	43.8%
<b>Total</b>	<b>48</b>	<b>100%</b>

## Assessment grid

### Task marking (medium control)

Please note that the descriptions in this marking grid relate to the top of each band. Further guidance on using marking grids is available in the assessment section of this specification on pages 101–108.

Learning outcomes	Band 1	Band 2	Band 3
	The learner has:		
	0 to 4 marks	5 to 8 marks	9 to 12 marks
1 Know how retail businesses sell products	<p>Identified the role of sales in retail businesses in basic terms, with limited accuracy.</p> <p>Described the stages of the sales process in minimal detail, covering only some aspects.</p> <p>Described how retailers ensure secure payment, covering only some aspects and with limited accuracy.</p>	<p>Identified the role of sales in retail businesses in general terms, with accuracy.</p> <p>Described the stages of the sales process, covering a range of relevant aspects in some detail.</p> <p>Offered a largely accurate description of how retailers ensure secure payment, covering a range of relevant aspects.</p>	<p>Identified the role of sales in retail businesses in specific terms, with accuracy.</p> <p>Described the stages of the sales process, covering most or all relevant aspects in detail.</p> <p>Described how retailers ensure secure payment, covering most or all relevant aspects with a high level of accuracy.</p>
	0 to 5 marks	6 to 10 marks	11 to 15 marks
2 Know the techniques and behaviour that are used in the selling process	<p>Identified factors that influence customers when buying, with limited accuracy and relevance.</p> <p>Described appropriate behaviour in sales situations, covering only some aspects and with limited accuracy.</p> <p>Outlined how product knowledge assists with the sales process in minimal detail, covering only some aspects.</p>	<p>Identified factors that influence customers when buying that are mainly accurate and relevant.</p> <p>Offered a largely accurate description of appropriate behaviour in sales situations, covering a range of relevant aspects.</p> <p>Outlined how product knowledge assists with the sales process, covering a range of relevant aspects in some detail.</p>	<p>Identified relevant factors that influence customers when buying, with a high level of accuracy.</p> <p>Described appropriate behaviour in sales situations, covering a wide range of relevant aspects with a high level of accuracy.</p> <p>Outlined how product knowledge assists with the sales process, covering most or all relevant aspects in detail.</p>
	0 to 7 marks	8 to 14 marks	15 to 21 marks
3 Be able to sell products by demonstrating their main features and benefits	<p>Used personal selling techniques with limited effectiveness to influence buying decisions in retail environments.</p> <p>Demonstrated features and benefits of products, showing limited product knowledge.</p> <p>Processed payments with limited accuracy.</p>	<p>Used personal selling techniques with some effectiveness to influence buying decisions in retail environments.</p> <p>Demonstrated features and benefits of products, showing satisfactory product knowledge.</p> <p>Processed payments in a mainly accurate manner.</p>	<p>Used personal selling techniques effectively to influence buying decisions in retail environments.</p> <p>Demonstrated features and benefits of products, showing a high degree of product knowledge.</p> <p>Processed payments with a high level of accuracy.</p>

## Guidance for delivery

All learners will have personal experience of buying items, and therefore have a rudimentary grasp of the basic concepts involved in selling.

The topic of salespeople's behaviour lends itself well to practical learning, and the teacher could devise role-plays that cast learners in the role of a pushy salesperson. After watching a role-play through once, it could be re-enacted again and – in the style of forum theatre – those learners not participating in the role-play could stop the dialogue at any point and tell the salesperson where they are going wrong and suggest alternative lines.

Learners could also have the opportunity to ask the learner playing the part of the customer how the salesperson's behaviour makes him or her feel, and equally quiz the salesperson on why they are so keen to make a sale.

Learners could work in small groups and select an item that either belongs to a member of their group or has been given to them by the teacher. Working as a team, they could devise a mini sales pitch to deliver to the rest of the group on the features and benefits of the item.

There is the possibility for the delivery of elements of this unit to be combined with elements of other Level 1 Principal Learning units, through a simulated experience of setting up and operating a retail enterprise as a group.

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## Employer engagement

Employer engagement is essential in order to maximise the value of learners' experience. A partnership approach should be adopted wherever possible with employers with whom the consortium has links, and with employers used for work experience placements.

It would be helpful for teachers to develop a method of maintaining contact with a range of employers in the sector who can be called upon to help with keeping examples used in the taught content up-to-date. Case studies provided, or activities set, by employers would give learning a real sector-relevant context and purpose. Learners would benefit particularly from employers being involved in setting the brief for the assessment of this unit.

Depending on the strength of local links with retailers, teachers could explore inviting a retailer in to discuss the importance of selling in their business and the sales training given to new staff. Employers could even provide basic training sessions to learners. These could incorporate product knowledge, sales behaviours, closing a sale and processing a payment. Alternatively, employers may be willing to share their staff handbooks or other literature that defines their sales processes and the behaviours that underpin them. Large, national chains are more likely to be able to commit to this undertaking than smaller independents.

Inviting a speaker from Trading Standards to talk to learners about the legal rights of customers may make this potentially dry topic more accessible for learners.

## Personal, Learning and Thinking Skills

The list below is indicative of the way the development of PLTS can support achievement in this unit.

### Independent enquirers

- identifying questions to answer when investigating how retail businesses sell products (IE1)
- planning and carrying out research on how retail businesses sell products and the selling techniques used (IE2)
- exploring the selling process from the perspective of salespeople and customers (IE3)
- considering the influence of circumstances, beliefs and feelings on customers' buying decisions (IE5)

### Creative thinkers

- asking questions when visiting retail businesses on selling techniques used and how they influence buyer behaviour (CT2)
- trying out alternatives or new solutions in the selling process and following ideas through (CT5)

### Reflective learners

- assessing their own and others' selling techniques, identifying opportunities and achievements (RL1)
- reviewing progress, acting on the outcomes when demonstrating selling techniques (RL3)
- inviting feedback and dealing positively with praise, setbacks and criticism when demonstrating sales techniques (RL4)
- communicating the features and benefits of products in relevant ways for different customers (RL6)

### Team workers

- collaborating with others to work towards common goals when working in small groups researching how retail businesses sell products (TW1)
- taking responsibility for selling products, showing confidence in themselves and their contribution to the business (TW5)
- providing constructive support and feedback to others on the use of selling techniques (TW6)

### Self-managers

- working towards sales targets, showing initiative, commitment and perseverance (SM2)
- organising time and resources when researching selling techniques used in particular retail businesses (SM3)

### Effective participators

- discussing issues of concern when selling products, seeking resolution where needed (EP1)
- trying to influence customers, negotiating and balancing diverse views to meet customers' needs and to close sales (EP5).

## Opportunities for Functional Skills development

This unit and its associated learning activities will provide the learner with opportunities to develop and use English, mathematics and ICT in a number of ways.

There are a number of opportunities for the development of reading and writing skills in this unit. When preparing scripts for role-plays and commentaries, learners may write by hand or use ICT to produce documents in suitable formats.

Researching products and understanding the selling process and sales-related legislation require learners to read and understand a range of texts. The texts could be from electronic sources and non-electronic sources.

Opportunities exist for the learner to develop their speaking and listening skills while preparing for the assessment. Working in small groups will provide opportunities for making relevant contributions, putting forward ideas and opinions, contributing to discussion and using appropriate language.

The learner may make use of ICT skills throughout the unit to plan and organise work and use email to communicate and exchange information.

There are also opportunities to develop mathematical skills when learning about different payment methods, sales and targets, consumer spending and comparison of sales figures. For example, learners can practise mental methods of addition, subtraction, division and multiplication; understanding and using whole numbers and recognising negative numbers; adding and subtracting decimals; extracting and interpreting information from tables, diagrams, charts and graphs; and presenting information. Comparison may involve statistical analysis.

These are only examples and, depending on the nature of the delivery and the learning, it is likely that there will be further opportunities for developing Functional Skills.

## Suggested learning resources

AQA-City & Guilds will publish suggested learning and teaching resources on its website:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

The Diploma Development Partnership (DDP) website for Retail Business contains a ‘Diploma Shop’ – **[www.diplomainretailbusiness.com/shop.php](http://www.diplomainretailbusiness.com/shop.php)** – with useful learning and teaching resources that consortia may find helpful in the delivery of the Principal Learning. This includes a compendium of websites; books; multimedia resources; museums and exhibitions; and journals and e-newsletters.

The relevant sections for the purposes of this unit are:

- People and the retail environment
- Customer service
- Selling.

The DDP for the Diploma in Retail Business also provides a work-related learning guide:

**[www.diplomainretailbusiness.com/pdfs/  
the\\_work-related\\_learning\\_guide\\_second\\_edition\\_\(final\\_pdf\).pdf](http://www.diplomainretailbusiness.com/pdfs/the_work-related_learning_guide_second_edition_(final_pdf).pdf)**

The following resources may also be helpful for the learning in this unit:

- British Retail Consortium **[www.brc.org.uk/](http://www.brc.org.uk/)**
- Retail Week **[www.retail-week.com/](http://www.retail-week.com/)**

## 4 Assessment guidance

The following information is applicable to all lines of learning and at all levels. This information is also available on [www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)

### 4.1 Controlled assessment (internally assessed units)

This section of the specification provides instructions for controls that apply across the whole qualification. Specific instructions on controls for task taking are also contained within the assessment section of each unit.

The information contained within this section has been written in accordance with the *'Instructions for Conducting Controlled Assessments: 1 September 2009 – 31 August 2010'*. At least one copy of these instructions must be made available to all subject leaders as well as this specification.

### 4.2 What is controlled assessment?

- Controlled assessment is a form of internal assessment where the control levels are set for each stage of the assessment process: task setting, task taking and task marking.
- Controlled assessment measures subject specific skills that may not necessarily be judged by external assessment.
- Depending on the level of control defined within the unit, controlled assessments may take place for example:
  - in a normal timetabled lesson or other defined session under supervised conditions;
  - entirely within the centre under supervision with controlled access to resources; or
  - outside the centre and involve research with limited supervision.
- Controlled assessments may take place at anytime during the course. However, centres must ensure that the controlled assessment task issued to learners is appropriate to the year in which the assessment will be submitted to AQA-City & Guilds.

## 4.3 AQA-City & Guilds approach to controls

The following table sets out the AQA-City & Guilds approach to controls for internally assessed units for the Level 1 Principal Learning in Retail Business.

Aspect	Level 1	Level 2	Level 3
<b>1 Task setting</b>	Limited	Limited	Limited
<b>2 Task taking</b>			
a Time	Limited	Limited	Limited
b Resources	Limited/medium	Limited/medium	Limited/medium
c Supervision	Medium	Medium	Medium
d Collaboration	Limited/medium	Limited/medium	Limited/medium
<b>3 Marking</b>	Medium	Medium	Medium

**Limited control:** means that consortia have control over that area, within the guidance set out by AQA-City & Guilds in its documentation on the unit, the qualification and the assessment.

**Medium control:** means that the parameters for that area of assessment are more closely controlled by AQA-City & Guilds and that anything that can be altered by the consortium is made clear in the appropriate guidance.

## 4.4 Task setting (limited control)

AQA-City & Guilds apply **limited control** to task setting across all Principal Learning qualifications. This means that it is the responsibility of consortia to design assessments that are fit for purpose and that cover all the assessment criteria in the unit.

Each unit contains an assessment section which contains instructions on task setting for that unit. Parameters are specified in terms of:

- setting a brief which secures an **applied and sector-relevant purpose** for the assessment
- the importance of setting a **coherent assessment** that covers all the learning outcomes and assessment criteria
- **tasks and activities** to be undertaken, including the level of demand
- the **evidence** that must be produced.

## Applied and sector-relevant purpose

The assessment section provides information on the purpose of the assessment which consortia must adhere to when setting briefs and tasks for assessment. The brief must clearly state to the learner what the purpose of the assessment is and the assessment must provide an outcome that would be meaningful to an employer. It may help to support learner achievement if the brief for the assessment is able to be set in collaboration with an employer.

## Coherent assessment

The weighting of learning outcomes table shows the weightings of learning outcomes, and should be referred to when setting tasks, so that appropriate depth and breadth can be allocated to different areas of the assessment.

The table in the assessment section of the unit which details tasks and evidence should also be considered when setting tasks to ensure that assessment criteria are covered.

Example assessments are provided for all internally assessed units which aim to help consortia when designing assignments.

## Tasks and activities

The task and evidence table in the assessment section of the unit details the types of tasks that may be set to cover the assessment criteria. Consortia may devise different tasks provided that they meet the requirements of the unit and add up to an applied, purposeful activity. When setting tasks, consortia must also specify the controls for task taking in terms of time, resources, collaboration and supervision for each activity.

Learners should be set tasks of equivalent complexity regardless of whether they are expected to achieve marks at mark band 1 of the marking grid or mark band 3.

## Evidence

The task and evidence table in the assessment section of the unit details the types of acceptable evidence that should be provided for the assessment and the acceptable format. In some cases, and to ensure access to assessment, the format of the evidence may be altered.

## Example assessments

Examples of suitable internal assessment will be made available to all consortia via [www.diplomainfo.org.uk](http://www.diplomainfo.org.uk). These are examples only and should not be used as off the shelf assessments, but may be adapted to suit local delivery circumstances and requirements.

## Internal standardisation

The Domain Assessor at a consortium who has overall responsibility for internal standardisation is also responsible for the standardisation of task setting. This must include checking that the assessment is suitable for the line of learning and the level and that it will allow learners full access to the assessment criteria.

## Moderation of task setting

All consortia will receive an early visit by their moderator, which will include checking suitability of controlled assessment internally set and marked units. This visit will also include guidance on marking.

Consortia will also receive detailed feedback following moderation of any units, which includes appropriateness of the tasks set.

## 4.5 Task taking

Task taking covers the following aspects: time, resources, supervision and collaboration. AQA-City & Guilds will apply either a limited or medium level of control to specific aspects of task taking depending on the unit. The details contained in this section provide information that applies across all of the Level 1 Principal Learning in Retail Business. It is the responsibility of the consortium to ensure that internal controlled assessment for Principal Learning is conducted and marked in accordance with the instructions specified by AQA-City & Guilds and the JCQ '*Instructions for Conducting Controlled Assessments: 1 September 2009 – 31 August 2010*'. At least one copy of the JCQ instructions must be made available to all subject leaders as well as this specification.

### Time (limited control)

The overall time to be spent generating evidence for the assessment is specified in the assessment section of each unit. It is up to individual consortia to determine the amount of time to be allocated to each task within the assessment. Although this time does not have to be followed to the minute, it is recommended that variance should not normally be by more than plus or minus 10%.

### Resources (limited or medium control)

In general, AQA-City & Guilds will apply a limited level of control to resources. This means that consortia must determine appropriate physical resources and information sources for the assessment. However, for some units, the level of control for resources will be medium where particular requirements for resources are specified.

Consortia must have access to sufficient equipment to ensure that learners have the opportunity to cover all the practical activities. Any requirement for specialised equipment such as access to a 'mock shop', use of the internet, or interaction with simulated or live clients/customers will be found in the assessment section of the relevant unit. All resources used, including sources of information, must be clearly referenced by learners.

Guidance on how this should be done can be found in section 4 of the JCQ '*Instructions for Conducting Controlled Assessments: 1 September 2009 – 31 August 2010*'.

### Collaboration (limited or medium control)

In general, AQA-City & Guilds will apply a limited level of control to collaboration. Limited control for collaboration means that consortia should determine appropriate opportunities for collaboration during the assessment.

For some units, the level of control applied to collaboration will be medium. This will apply when learners are required to carry out tasks as part of a team and the team-working skills are an integral part of the assessment requirements. In such cases, the information contained in the assessment section will specify the parameters for how the team work should be managed.

Where an assessment is undertaken as a group, for example generating ideas, each learner must write up his/her own account. Even if all learners have the same information, the description of how the information was obtained and the conclusions drawn from it must be in each learner's own words. Alternatively, learners may collaborate in the construction of the product or the presentation but their evaluative responses must be their own and their individual contribution clearly identified.

Teachers/assessors assessing a learner's evidence where group work has been undertaken will need to be convinced of its individual authenticity. Questioning can be used in order to clarify the validity, authenticity and sufficiency of evidence and, under these circumstances, the teacher/assessor may wish to include a dated witness statement detailing this evidence. It is expected that the use of such statements will be kept to a minimum so that they constitute a very minor part of the submitted evidence.

Annotation of written/photographic evidence can also be used to detail an individual's contribution.

Where group work/team work is not suitable for the assessment activity, this is stated in each individual unit's assessment section.

## **Supervision (medium control)**

Learners do not need to be under the direct supervision of teaching staff at all times. It is, however, expected that the work submitted for assessment, will be produced or carried out when teaching staff are present. In this way, the consortium can be confident that the work submitted is the learner's own and has not been plagiarised in any way.

Learners may work without direct supervision when preparing to undertake controlled assessments. This will include discussing the task or equipment needed with peers and gathering background information. However, if the activity constitutes part of the assessable outcomes, for example, planning with others or generating ideas, then these activities must be supervised.

Supervision is defined by AQA-City & Guilds as normal classroom/studio/workshop conditions where the teacher or assessor is present in the same room whilst learners are producing the evidence for assessment. It is not required that learners work under examination conditions.

The assessment section in each unit specifies the tasks that must be directly supervised in line with the guidance above and those which may be undertaken without direct supervision. On occasion, the requirement for direct supervision may be relaxed if it is not possible to directly supervise the activity required to produce the evidence for assessment. For example, if the most suitable environment for producing the evidence means that the teacher or assessor cannot be present, such as for customer service activities carried out in a work placement, then the teacher or assessor must ensure that an appropriate person supervises the evidence collection. A signed witness statement must be completed with enough information to allow the teacher or assessor to make a reliable judgement about the evidence. An appropriate person is defined as someone who has a supervisory role within the workplace (or equivalent) and who has the required skills. This person must not be a family member.

Evidence produced in the learner's own home is not acceptable for assessment, as it cannot be authenticated by the assessor or teacher and a parent or carer is not an appropriate person to supervise.

## **Authentication**

Both the learner and the teacher are required to sign the Candidate Record Form (CRF) to confirm that the work submitted for assessment is the learner's own. The teacher must declare that the work was conducted under the specified controls and record details of any additional assistance.

Other materials can be utilised in controlled assessments for research and reference, but sources of information must be fully acknowledged.

The Head of centre is responsible for ensuring that internally assessed work is conducted in accordance with AQA-City & Guilds instructions contained in this specification and the guidelines contained in the JCQ '*Instructions for Conducting Controlled Assessments: 1 September 2009 – 31 August 2010*'. To meet the regulator's Operating Rules for Component and Diploma Awarding Bodies, AQA-City & Guilds requires:

- learners to sign the Candidate Record Form (CRF) confirming the work submitted is their own. For forms completed electronically a typed name is sufficient
- teachers/tutors to confirm on the CRF that the work assessed is solely that of the learner concerned and was conducted under the conditions laid down by the specification
- the teacher/tutor responsible for internal standardisation also signs the Centre Declaration Sheet (CDS/PL) to confirm that internal standardisation has taken place and that the work presented is that of the learners named. If only one teacher/tutor has undertaken the marking, that person must sign this form. For each unit, a CRF must be completed for each learner and these, together with the Centre Declaration Sheet for Principal Learning, must be sent to the moderator by the specified date with the final marks. Failure to sign either or both the CRF and the CDS/PL may delay the processing of results.

If the teacher or assessor is unable to sign the authentication statement for a particular learner, then the learner's work cannot be accepted for assessment. If, during the external moderation process, there is no evidence that the work has been properly authenticated, AQA-City & Guilds will set the associated mark(s) to zero.

## Feedback

The work assessed must be solely that of the learner concerned. Any assistance given to an individual learner which is beyond that given to the group as a whole must be recorded by the teacher on the Candidate Record Form (CRF) and be made available to the moderator upon request.

Whilst feedback may be provided to learners, the consortium must ensure that the work submitted is the learner's own. On occasions, the assessment task will require that learners are given feedback which they must act upon as part of the assessment. This feedback must be recorded and the learner's individual response noted as part of his/her achievement of the task. If feedback is required as part of the assessment, this will be detailed in the assessment section for that unit.

Please also refer to the section on 'Revision, re-working and interim review of learners' work' below.

## Revision, re-working and interim review of learners' work

Learners may make amendments to their work in the light of feedback from their teacher provided that this feedback is in line with the requirements of the unit. Learners must not be allowed to make amendments after the work has been submitted for the final assessment by the teacher.

## 4.6 Task marking (medium control)

AQA-City & Guilds apply a medium level of control to task marking. The information in this section applies across all units within the Level 1 Principal Learning in Retail Business. The assessment grid can be found in the assessment section of each unit.

### Guidance on applying the unit assessment grid

In the assessment grid for each unit, mark ranges are specified for each learning outcome. The mark ranges apply to the top of each band. When assessing and marking a learner's work, teachers/assessors should use their professional judgement to identify, for each learning outcome, the mark band description within which that work falls and then the mark within that range that best describes the depth and quality of the work.

In order to meet the higher level mark band descriptions and therefore achieve higher level marks, learners must show greater depth and breadth of understanding, higher level skills in terms of synthesis, analysis and evaluation, as well as a higher level of independence and originality as required in the assessment criteria.

Aspects of the work that might fall short of meeting, in full, the description but which do not, in the judgement of the teacher/assessor sufficiently influence the overall level of achievement to merit the work being assigned to a lower mark band, will reduce the mark awarded within the identified range available. This can be expressed as identifying the 'best-fit' approach, where the areas of strength in the work submitted by the learner can be allowed to compensate for weaknesses in other areas.

Assessors will use archived exemplars of learners' work as they become available as a reference point. By comparing their own learners' work with archive work which has an assessment commentary attached, the assessor will be able to position the work either on a higher or lower point.

Moderators will also use exemplar work in their early advisory visits to consortia/centres to aid in the consistent application of the marking grids.

## Internal standardisation of marking

The consortium is required to standardise the assessment across different teachers and teaching groups, within and across units, to ensure that all work at the consortium has been judged against the same standards. If two or more teachers are involved in marking units, one teacher must be designated as responsible for internal standardisation.

Common pieces of work must be marked on a trial basis and differences between assessments discussed at a training session in which all teachers involved must participate.

The teacher responsible for standardising the marking (normally the Domain Assessor) must ensure that the training includes the use of reference and archive materials such as work from a previous year or examples provided by AQA-City & Guilds. The consortium is required to send to the moderator a signed form confirming that the marking of work at the consortium has been standardised. If only one teacher has undertaken the marking, that person must sign this form.

Further guidance on how to conduct internal standardisation can be found in the JCQ *'Instructions for Conducting Controlled Assessments: 1 September 2009 – 31 August 2010'*

## Moderation of internal assessment and submission to AQA-City & Guilds

Moderation of internal assessment and submission to AQA-City & Guilds will only be available in the summer term by a fixed deadline that will be published at the start of the academic year.

## 4.7 Malpractice

At the start of the course, the supervising teacher is responsible for informing learners of the AQA-City & Guilds regulations concerning malpractice.

Learners must not take part in any unfair practice in the preparation of work to be submitted for assessment and must understand that to present material copied directly from books or other sources, without acknowledgement, will be regarded as deliberate deception. Consortia must report suspected malpractice to AQA-City & Guilds.

Learners must **not**:

- submit work which is not their own;
- lend work to other learners;
- allow other learners access to, or the use of, their own independently-sourced source material (this does not mean that learners may not lend their books to other learners, but learners should be prevented from plagiarising other learners' research);
- include work copied directly from books, the internet or other sources without acknowledgement and attribution;
- submit work typed or word-processed by another person or third party without acknowledgement.

These actions constitute malpractice, for which a penalty (eg disqualification from the examination) will be applied.

If malpractice is suspected, the Examinations Officer should be consulted about the procedure to be followed.

Where suspected malpractice in controlled assessment is identified by a consortium after the learners have signed the declaration of authentication, the Head of Centre making entries for the unit must submit full details of the case to AQA-City & Guilds at the earliest opportunity. The form JCQ/M1 should be used. Copies of the form can be found on the JCQ website ([www.jcq.org.uk](http://www.jcq.org.uk)).

Malpractice in controlled assessment discovered prior to the learners signing the declaration of authentication need not be reported to AQA-City & Guilds, but should be dealt with in accordance with the centre's internal procedures. AQA-City & Guilds would expect centres to treat such cases very seriously. Details of any work which is not the learner's own must be recorded on the coursework/portfolio cover sheet or other appropriate place.

## 4.8 Timing of external assessments

The external assessments will be timetabled twice a year, in January and June and the dates will be published at the start of the academic year.

## 4.9 Moderation

A moderator will be assigned to each consortium for each line of learning. The moderator will give guidance on task setting; check the arrangements for task taking and review the consortium's marking.

Moderation has two stages. The first is the technical advisory visit to check matters such as coverage of applied learning, understanding of controlled conditions, coverage of PLTS and arrangements for internal standardisation, including use of the marking grids. There is also a requirement at the advisory visits for moderators to see examples of assessment tasks that will be used for controlled assessment.

The second stage of moderation is to check the marking of assessments. This stage will take place at a fixed time in the academic year, and may be through postal moderation or through visit to a consortium. This will depend on the line of learning and the type of evidence submitted. The moderator will review a sample of units and the marks awarded by the consortium, in line with national standards. The consortium may be asked to review its marking following this process. In extreme cases, the work of all learners will be re-marked by the moderator.

## 5 Administration

### 5.1 Availability of Principal Learning units

All internally assessed Principal Learning units for this specification are available to claim once a year in June, commencing 2011. External assessments will be timetabled twice a year, in January and June, and the dates will be published at the start of the academic year.

### 5.2 Centre registration

Centres wishing to prepare learners for this specification should apply for approval to offer Principal Learning before teaching begins. Completed application forms should be submitted to Centre Registration, AQA, Stag Hill House, Guildford, Surrey, GU2 7XJ. Applications can only be considered from centres which have received approval through the Gateway process to offer Level 1 Principal Learning in Retail Business. Further details of the approval process are available on the website at:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

### 5.3 Centre requirements

#### Health and safety

The importance of safe working practice and the demands of the Health and Safety at Work Act 1974 must be stressed to all learners. Learners have responsibilities for maintaining the safety of others as well as their own. Anyone behaving in an unsafe fashion must be stopped and a suitable warning given by the teacher responsible. It is essential that all learners acquire habits required to promote health and safety in the workplace and that their learning avoids potentially unpleasant or dangerous consequences.

#### Centre staff

Centre staff should be technically competent in all the areas for which they are delivering education and training and/or should also have relevant experience of providing the necessary practical training.

Lead and domain assessors will be supplied with supporting material, including this specification and exemplars related to internal assessment. These exemplars will also include example learner work and marking guidance.

#### Continuing Professional Development (CPD)

Centres are expected to support their staff in ensuring that their knowledge and skills in the vocational area remain current and take account of any national or legislative developments.

## 5.4 Entries

Please refer to the current version of Entry Procedures and Codes for up-to-date entry procedures. You should use the following entry codes for the Principal Learning units:

Unit 1 (RBS1U1)

Unit 2 (RBS1U2)

Unit 3 (RBS1U3)

Unit 4 (RBS1U4)

Unit 5 (RBS1U5)

Unit 6 (RBS1U6)

## 5.5 Quality assurance

### Internal quality assurance

Registered centres must have effective quality assurance systems to ensure optimum delivery and assessment of qualifications. Quality assurance includes initial centre registration by AQA-City & Guilds and the centre's and/or consortium's own internal procedures for monitoring quality. Centres are responsible for internal quality assurance and AQA-City & Guilds is responsible for external quality assurance.

National standards and rigorous quality assurance are maintained by the use of:

- AQA-City & Guilds external examinations
- AQA-City & Guilds externally set briefs or assignments
- internal quality assurance
- AQA-City & Guilds external moderation.

To meet the quality assurance criteria for this qualification, the centre must ensure that the following procedures are followed:

- setting of appropriate tasks (see Section 4.4)
- the application of appropriate controls for task taking (see Section 4.5)
- training in the use of the assessment grid (see Section 4.6)
- completion by the person responsible for internal standardisation of the Centre Declaration Sheet to confirm that internal standardisation has taken place (see Section 4.6)
- the completion by learners and teachers/assessors of the record form for each learner's work (see Section 4.6).

## External quality assurance

External quality assurance is provided by the two stage moderation system described in Section 4.9. External moderation of internally assessed work is carried out to ensure that assessment is valid and reliable, and that there is good assessment practice in centres and that national standards are maintained.

In order to carry out their quality assurance role, external moderators must have appropriate teaching and vocational knowledge and expertise. AQA-City & Guilds will appoint external moderators and will ensure that they attend regular training and development meetings designed to keep them up-to-date, to ensure standardisation of all assessments and to share good practice.

External moderators will:

- provide advice and support to staff in centres
- ensure the quality and consistency of assessments within and between centres and over time by the use of systematic sampling
- regularly visit centres to ensure that they continue to meet the centre registration requirements of AQA-City & Guilds
- provide feedback to centres and to AQA-City & Guilds.

In order to monitor compliance with JCQ requirements, particularly for administering external tests, JCQ inspectors will regularly visit centres.

AQA-City & Guilds requires the Head of Centre to:

- 1 facilitate any inspection of the centre which is undertaken on behalf of AQA-City & Guilds
- 2 make secure arrangements to receive, check and keep examination material secure at all times, maintain the security of AQA-City & Guilds confidential material from receipt to the time when it is no longer confidential and keep scripts secure from the time they are collected from the learners to their despatch to AQA-City & Guilds.

## 5.6 Irregularities

Centres must inform AQA of any irregularity, including any learner who arrives late for a test. For detailed instructions please refer to the current JCQ *Instructions for Conducting Examinations* which is available to view or to download from the JCQ's website:

**[www.jcq.org.uk](http://www.jcq.org.uk)**

## 5.7 Awarding grades and reporting results

The Foundation Diploma in Retail Business will be reported on a three-grade scale: A\*, A and B. Learners who fail to reach the minimum standard for grade B will be recorded as U (Unclassified) and will not receive a qualification certificate.

The Principal Learning and Level 1 Project will be graded separately and will use the same grading system as the Diploma. Principal Learning and the Level 1 Project will be separately certificated but learners will not receive individual certificates for units of Principal Learning.

## 5.8 Certification of the Diploma

AQA-City & Guilds is a registered Diploma Awarding Body and will certificate the Diploma in accordance with the requirements and timetable to be published separately by QCDA. AQA conducts the administration of the Principal Learning units for this specification on behalf of AQA-City & Guilds.

## 5.9 CABs, DABs and the Diploma aggregation service

AQA is recognised as a Component Awarding Body and offers the widest range of GCE and GCSE qualifications of any unitary awarding body in the UK. These are listed in QCDA's Diploma Catalogue. Similarly, City & Guilds is recognised as a Component Awarding Body and offers the widest range of NVQ, VRQ and City & Guilds' own brand qualifications, which are listed in QCDA's Diploma Catalogue.

AQA-City & Guilds has been recognised as a Component Awarding Body to certificate Principal Learning and Project qualifications for Diplomas.

AQA-City & Guilds has been recognised as a Diploma Awarding Body by QCDA in order to certificate whole Diploma qualifications for the Diploma in Retail Business at all three levels.

Learners who have registered for Diploma awards with AQA-City & Guilds will on completion receive a Diploma certificate and a Diploma transcript. The transcript will conform to QCDA's specification in terms of the design and information included. The data for the transcript will be supplied by the Diploma aggregation service which is designed to enable the data sharing, results aggregation and grading supporting functions required for the operation of the Diploma as a composite qualification.

## 5.10 Enquiries about results

The services available for enquiries about results include a clerical check, re-mark of external assessments and re-moderation of internally assessed work. Requests must be submitted within the specified period after the publication of results for individual assessments.

In cases where a post-results enquiry reveals inaccurate assessment, the result may be confirmed, raised or lowered.

For further details of enquiries about results services, please consult the current version of the *JCQ Post-Results Services* booklet.

## 5.11 Re-sits and shelf-life of unit results

Unit results remain available to count towards certification, whether or not they have already been used, as long as the specification is still valid.

Learners may re-sit a unit any number of times within the shelf-life of the specification. The best result for each unit will count towards the final qualification.

Learners will be graded on the basis of the work submitted for assessment.

## 5.12 Access arrangements and special consideration

We have taken note of the provisions of the Disability Discrimination Act (DDA) 1995 in developing and administering this specification.

We follow the guidelines in the Joint Council for Qualifications (JCQ) document: *Regulations and Guidance Relating to Candidates who are Eligible for Adjustments in Examinations GCSE, GCE, GNVQ, AEA, Entry Level, Basic Skills & Key Skills Access Arrangements and Special Consideration*. This is published on the JCQ website:

**[www.jcq.org.uk/exams\\_office/access\\_arrangements/](http://www.jcq.org.uk/exams_office/access_arrangements/)**

or you can follow the link from our website:

**[www.aqa.org.uk/admin/p\\_special\\_3.html](http://www.aqa.org.uk/admin/p_special_3.html)**

### Access arrangements

We can make arrangements so that learners with disabilities, special educational needs and temporary injuries can access the assessment. These arrangements must be made **before** the examination. For example, we can produce a Braille paper for a learner with visual impairment.

### Special consideration

We can give special consideration to learners who have had a temporary illness, injury or indisposition at the time of the examination. Where we do this, it is given **after** the examination.

Applications for either access arrangements or special consideration should be submitted to AQA-City & Guilds by the Examinations Officer at the centre.

## 5.13 Language of examinations

We will provide units for this specification in English only.

## 5.14 Qualification titles

The qualification based on this specification is:

AQA-City & Guilds Level 1 Principal Learning in Retail Business.

# Appendix A

## Connections to other qualifications

The Foundation Diploma in Retail Business incorporates the following qualifications in addition to the Principal Learning:

### **Functional Skills qualifications in English, mathematics and ICT**

For details of the AQA Functional Skills specifications please go to:

**[www.aqa.org.uk/qual/gcse/functional\\_skills.php](http://www.aqa.org.uk/qual/gcse/functional_skills.php)**

For details of the City & Guilds Functional Skills specifications please go to:

**[www.cityandguilds.com/functionalskills](http://www.cityandguilds.com/functionalskills)**

### **The Level 1 Project qualification**

For details of the AQA-City & Guilds Level 1 Project specification go to:

**[www.diplomainfo.org.uk/aboutdiplomas/projects.html](http://www.diplomainfo.org.uk/aboutdiplomas/projects.html)**

## Appendix B

### Additional and Specialist Learning for the Foundation Diploma in Retail Business

The complete list of accredited qualifications which has been recognised as eligible for Additional and Specialist Learning for the Foundation Diploma in Retail Business is published on the National Database of Accredited Qualifications. Visit:

**[www.accreditedqualifications.org.uk](http://www.accreditedqualifications.org.uk)**

AQA and City & Guilds qualifications which have been recognised as eligible for Additional and Specialist Learning for the Diploma in Retail Business are also published on:

**[www.diplomainfo.org.uk](http://www.diplomainfo.org.uk)**

# Appendix C

## Other issues

### European Dimension

AQA-City & Guilds has taken account of the 1988 Resolution of the Council of the European Community in preparing this specification and associated specimen units.

### Environmental Education

AQA-City & Guilds has taken account of the 1988 Resolution of the Council of the European Community and the Report *Environmental Responsibility: An Agenda for Further and Higher Education* 1993 in preparing this specification and associated specimen units.

### Avoidance of Bias

AQA-City & Guilds has taken great care in the preparation of this specification and specimen units to avoid bias of any kind.



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**Level 1 – Principal Learning**

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