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| **Assessment Strategy** |  |
| **Retail** |  |
| **Retail SVQs** |  |
| **Developed by People 1st** |  |
| **Approved by ACG** | **7 March 2018** |
| **Version** | **1** |

**Introduction:**

The purpose of an assessment strategy is to provide awarding bodies with a consistent approach to assessment that complies with SQA Accreditation’s regulatory requirements.

The key areas this assessment strategy will cover are:

* how external quality control of assessment will be achieved
* which aspects must always be assessed through performance in the workplace
* the extent to which a realistic work environment and simulated working conditions may be used to assess competence
* the occupational expertise requirements for assessors and verifiers

Awarding bodies must use the assessment strategy as the basis for developing and defining the evidence requirements and assessment methods their providers will use. This includes specifying how the qualification will be internally and externally quality assured.

## External quality control

External quality control is achieved through rigorous monitoring and standardisation of assessment decisions. Awarding bodies achieve this by operating their existing systems for quality monitoring, risk assessment and management of their approved centres, following guidance issued by the regulatory authorities.

As part of this process People 1st requires awarding bodies to:

• ensure that external verification, monitoring and support provided to centres takes into account their level of risk. For example new assessment centres, and those that are experiencing difficulty in meeting the assessment requirements, should be given additional support by their awarding body

• supply People 1st with standardised information on their statistical monitoring, including registration and certification figures, on a quarterly basis. This data will remain confidential and no individual awarding body’s data will be published

• report annually on the outcomes of, and any issues arising from, external verification and quality control arrangements

• highlight specific issues relating to the assessment of the sector’s SVQ units and qualifications that require immediate attention, as and when they arise

• contribute to awarding body forums to review and discuss matters relating to the assessment of retail SVQ units and qualifications

• resolve issues relating to the assessment and verification of the sector’s SVQ units and qualifications with the action(s), and in the timeframe, agreed.

## Workplace assessment

People 1st advocate the integration of national occupational standards within employers’ organisations in order to achieve a national level of competence across the sector’s labour market. As such, assessment of the sector’s competence based units and qualifications will, ideally, take place within the workplace. People 1st recognise, however, that it is not always feasible for candidates to be assessed in the workplace and as such it permits the use of assessment within Realistic Working Environments (RWE). Additionally, where sector employers do not have the infrastructure to manage assessment independently, it values the role of peripatetic assessors to support the assessment process.

Within these parameters, People 1st expects that:

* the majority of assessment of the sector’s SVQ units and qualifications will be based on **performance evidence**, i.e. direct observation, outputs of work and witness testimony within the workplace or a RWE approved by an awarding body. Simulation is allowed only where:
* the assessment criteria require the learner to respond to an emergency;
* a unit covers a limited selection of basic functions which need not involve interacting with customers; a unit originates from another SSC or SSB and the originator expressly allows simulation to be used for that unit.

A list of those units for which simulation is allowed is appended to this document. Evidence generated from simulated activities will not be acceptable for any other unit

* opportunities to ascertain candidate’s **accreditation of prior learning** is maximised by early contact between the assessor and candidate and during initial assessment / induction period.

*Please note: External tests do not form part of People 1st's assessment strategy.*

**Witness Testimony**

People 1st recognise the use of ***witness testimony*** and ***expert witness testimony*** as appropriate methods for assessors to collect evidence of candidates’ performance.

**Witness testimonies** can be obtained from people who are occupationally competent and who may be familiar with the national occupational standards, such as the candidate’s line manager. They may also be obtained from people who are not occupationally competent, and do not have a knowledge of the national occupational standards, such as other people within the candidate’s workplace, e.g. customers and suppliers. The assessor must judge the validity of the witness testimony and this may vary depending on the source.

Witness testimonies can support the assessment process but should not be used as the main form of evidence, (e.g. witness testimony may be useful to authenticate a candidate’s work, confirm consistency over time or confirm that a candidate has covered all of the required scope / range for a unit). In all in cases the awarding body’s minimum evidence requirements must be met.

**Expert witnesses** may be used where additional support relating to the assessment of technical competence is required. Expert witnesses may be:

* approved assessors for other sectors who are also familiar with the relevant occupational standards
* line managers, other managers or experienced colleagues that are not approved assessors, but who the awarding body agrees has current occupational competence, knowledge and expertise to make a judgement of a candidate’s competence.

Expert witnesses must be able to demonstrate through relevant qualifications and/or practical experience and knowledge that they are qualified to provide an expert opinion on a candidate’s performance in relation to the unit being assessed. People 1st believe that it is unlikely for an expert witness to be fully expert within any of the sector’s occupational areas in less than 12 months. The final judgement on the validity of the expert witness testimony rests with the assessor and such testimonies may only be used in line with awarding body’s requirements.

A list of Units for which Expert Witness Testimony is required if the assessor is not expert in the specialism covered by the unit can be found in **Annex A.**

**Professional Discussion**

Professional discussion could be used in addition to performance evidence to confirm a candidate’s overall competence. Professional discussion could also be used as a form of evidence for assessing underpinning knowledge; such discussions should enable the assessor to gather relevant evidence to ensure the candidate has a firm understanding of the standard being assessed, rather than using a prescribed list of questions.

## Realistic work environment and simulation

**Simulation** can only be used to assess candidates for the sector’s SVQ units and qualifications where the opportunity to assess naturally occurring evidence is unlikely or not possible, for example assessment relating to health and safety, fire and emergency procedures. It should not include routine activities that must be covered by performance evidence.

There are no People 1st units that can be solely achieved by simulation. Where simulation is acceptable in the evidence requirements, it should only be used when performance evidence is unlikely to be generated through normal working practices.

See  **Annex B** for SVQ units which permit the use of simulation.

Awarding bodies must issue adequate guidance which informs centres how simulation should be planned and organised, ensuring that demands on candidates are neither more nor less than they would encounter in a real work situation. In particular:

* a centre’s overall strategy for simulation must be examined and approved by the external verifier
* all simulations must be planned, developed and documented by the centre in a way that ensures the simulation correctly reflects what the unit seeks to assess
* ideally, there should be a range of simulations to cover the same aspect of the standard
* the physical environment for the simulation, and the nature of the contingency, must be realistic
* the candidate should be given no indication as to what the simulation will present.

**Providing a Realistic Working Environment (RWE)**

Where simulation is used the sector requires that:

* Simulation must be undertaken in a Realistic Working Environment
* Awarding bodies provide guidance for centres, which requires that Realistic Working Environments:

*"provide an environment which replicates the key characteristics of the workplace in which the skill to be assessed is normally employed".*

A realistic working environment (for the purpose of simulated work activities) is regarded as one that replicates a real working environment. For example, a college shop that operates on a commercial basis (i.e. it has a profit and loss account) is acceptable for retail environments but a shop laid out in a classroom environment isn’t. However, simulated activity may be used within a retail setting itself, for assessment purposes in order to prevent any barriers to achievement.

## Occupational expertise of quality assurers

## The requirements relating to the occupational expertise of assessors and verifiers is set out in **Annex C.**

To maintain high standards of quality and standardisation within assessment, and achieve best practice People 1st require all external verifiers, internal verifiers and assessors to maintain a record of their **continuous professional development** – see guidance at **Annex D**.

**Annex A**

**List of Units for which Expert Witness** **Testimony is required if the assessor is** **not expert in the specialism covered by the unit**

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| **Unit Number** | **Unit Title** |
| PPL.B220 | Bake (bake-off) products for sale in a retail organisation |
| PPL.B221 | Finish bake-off products in a retail organisation |
| PPL.B224 | Prepare greengrocery products for sale in a retail organisation |
| PPL.B225 | Display and maintain greengrocery products to attract sales in a retail organisation |
| PPL.B226 | Quality check the suitability of meat products for finishing in a retail organisation |
| PPL.B227 | Prepare to finish meat products in a retail organisation |
| PPL.B228 | Achieve meat product yield and finish in a retail organisation |
| PPL.B235 | Maintain food safety while working with food in a retail organisation |
| PPL.B238 | Prepare to receive deliveries of fuel (for driver-controlled transfers) on a forecourt |
| PPL.B239 | Check that driver-controlled fuel transfers have been completed |
| PPL.B240 | Receive deliveries and transfer fuel on a forecourt |
| PPL.B243 | Organise your work to meet a dough production schedule in a retail organisation |
| PPL.B248 | Hand-process fish in a retail organisation |
| PPL.B308 | Monitor and contribute to improving food safety in a retail organisation |
| PPL.C215 | Process applications from retail customers for credit facilities |
| PPL.C216 | Set, monitor and take action with retail customers' credit accounts |
| PPL.C217 | Process payments made to retail customer accounts |
| PPL.C218 | Reconcile retail customers' accounts |
| PPL.C220 | Assemble retail products at customers' premises and assist with installation and initial use |
| PPL.C221 | Explain to customers the features and benefits of a retail organisation's loyalty scheme and how the scheme works |
| PPL.C222 | Gain customer commitment to a retail organisation's loyalty scheme and assist them in completing the application |
| PPL.C230 | Interpret design briefs for retail displays |
| PPL.C231 | Source merchandise and props to be featured in retail displays |
| **Unit Number** | **Unit Title** |
| PPL.C232 | Dress in-store retail displays to guidelines |
| PPL.C233 | Dress window displays following a retail organisation's guidelines |
| PPL.C234 | Evaluate and improve retail displays |
| PPL.C235 | Order graphic materials to meet retail display requirements |
| PPL.C236 | Position graphic materials to support retail displays |
| PPL.C237 | Dismantle retail displays |
| PPL.C238 | Store equipment, props and graphics for retail displays |
| PPL.C239 | Confirm the requirements for props and prototypes for retail displays |
| PPL.C240 | Make life-size copies of items for retail displays |
| PPL.C241 | Make scale models of items for retail displays |
| PPL.C242 | Decorate fixtures and panels for retail displays |
| PPL.C243 | Interpret retail display layout requirements from plans, elevations and drawings |
| PPL.C244 | Follow guidelines for putting retail display layouts together |
| PPL.C250 | Identify the retail customers' requirements for lingerie |
| PPL.C251 | Measure and fit retail customers for lingerie |
| PPL.C253 | Demonstrate beauty products to retail customers |
| PPL.C254 | Maintain the retail customer record-card system in a retail organisation |
| PPL.C262 | Establish retail customers' requirements and provide advice regarding tiling products |
| PPL.C263 | Advise customers upon measuring and planning for the fixing of tiles |
| PPL.C264 | Advise customers upon the fixing of their own tiles |
| PPL.C266 | Authorise and monitor the self-service dispensing of motor fuel on a forecourt |
| PPL.C267 | Maintain a display of cut flowers in a retail organisation that does not specialise in floristry |
| PPL.C268 | Help customers to choose alcoholic beverages in a retail organisation by advising on and recommending relevant products |
| PPL.C270 | Promote a retail organisation's own credit card to customers |
| PPL.C271 | Offer customers information on insurance products associated with a retail organisation's credit card |
| PPL.C272 | Help customers to apply for a retail organisation's credit card and associated insurance products |
| **Unit Number** | **Unit Title** |
| PPL.C278 | Help customers to choose delicatessen products in a specialist retail organisation |
| PPL.C279 | Portion delicatessen products to meet individual customers' requirements in a specialised retail organisation or specialist counter within a general retail organisation |
| PPL.C306 | Identify the retail customer's credit or hire-purchase requirements |
| PPL.C307 | Advise retail customers on the features of borrowing facilities |
| PPL.C308 | Process credit or hire-purchase applications on behalf of retail customers |
| PPL.C311 | Make and review plans for finding new retail clients |
| PPL.C312 | Market a retail organisation's services to potential clients |
| PPL.C313 | Provide a consultative selling service to retail clients |
| PPL.C314 | Provide an after-sales service to retail clients as a result of retail client consultations |
| PPL.C330 | Interpret requirements for retail displays |
| PPL.C331 | Choose and agree retail merchandise to be featured in retail displays |
| PPL.C332 | Identify and obtain graphic materials for retail displays |
| PPL.C333 | Co-ordinate how graphic materials are used in retail displays |
| PPL.C334 | Check how graphic materials are used in retail displays |
| PPL.C335 | Gather information about retail customers' responses to displays and layouts |
| PPL.C336 | Assess and report the effect of retail displays and layouts |
| PPL.C337 | Negotiate and agree costs for visual merchandising projects |
| PPL.C338 | Record and monitor costs for visual merchandising projects |
| PPL.C339 | Contribute to developing a retail organisation's visual-design policy |
| PPL.C340 | Support staff putting into practice a retail organisation's visual-design policy |
| PPL.C341 | Develop and test solutions for retail display layouts |
| PPL.C342 | Produce guidance for putting retail display layouts together |
| PPL.E308 | Plan staffing levels and prepare work schedules for a retail organisation |
| PPL.E309 | Monitor work targets to make changes in staffing levels in a retail organisation |
| **Unit Number** | **Unit Title** |
| IMPCB101 | Select weigh and measure ingredients in bakery operations |
| IMPCB105 | Divide, mould and shape fermented dough in bakery operations |
| PPL.MCR01 | Work productively with colleagues in a multi-channel retail organisation |
| PPL.MCR02 | Work with colleagues to encourage innovation in a multi-channel retail organisation |
| PPL.MCR03 | Update product information on a trading website |
| PPL.MCR05 | Provide support to individual retail customers of a trading website |
| PPL.MCR06 | Analyse feedback from retail customers of a multi-channel retail organisation when goods are returned |
| PPL.MCR07 | Manage a social network on a trading website |
| PPL.MCR15 | Use in-store online facilities to achieve retail sales |
| PPL.MCR16 | Advise and support customers in a retail organisation on the use of online retail facilities |
| PPL.MCR17 | Motivate colleagues to promote online retail facilities to retail customers |
| PPL.MCR18 | Maintain the confidentiality and security of online data regarding retail customers |

**Annex B**

**SVQ units in Retail that permit simulation**

There are no People 1st units that may be achieved solely by the use of simulation. However, partial simulation is permissible in the units listed in the table below.

The overarching principle to be applied to units identified as suitable for simulation is that it should only be undertaken in a minority of cases where:

* there is a high risk to the security or safety
* the opportunity to present evidence from work-based practice happens infrequently and therefore insisting that candidates wait for such an occurrence would be unreasonable or create blockages in the assessment system and might carry the risk of de-motivating candidates
* there would otherwise be a breach of confidentiality or privacy.

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| **Unit** number | **Unit title** |
| PPL.B101 | Move goods and materials manually in a retail organisation |
| PPL.B102 | Check stock levels in a retail organisation |
| PPL.C101 | Package goods for customers in a retail organisation |
| PPL.C266 | Authorise and monitor the self-service dispensing of motor fuel on a forecourt |
| PPL.E101 | Identify and report security risks in a retail organisation |
| PPL.E102 | Identify and seek assistance when accidents and emergencies occur in a retail organisation |
| PPL.E103 | Maintain health and safety procedures in a retail organisation |
| PPL.E105 | Work effectively as part of a team in a retail organisation |
| PPL.E106 | Follow a training plan for your own learning to improve your skills and knowledge in a retail organisation |
| PPL.E107 | Keep work surfaces clean in a retail organisation |
| PPL.E108 | Safely remove and dispose of waste and litter in a retail organisation |
| PPL.E109 | Maintain personal hygiene in a retail organisation |
| PPL.E205 | Help maintain security in a retail organisation |
| PPL.E206 | Deal with accidents and emergencies within the limits of your authority in a retail organisation |
| PPL.E207 | Contribute to reducing risks to health and safety in a retail organisation |
| PPL.E208 | Work effectively in a team to meet targets in a retail organisation |
| PPL.E304 | Monitor and maintain security in a retail organisation |
| PPL.E305 | Monitor, identify and investigate loss and wastage in a retail organisation |
| PPL.E306 | Assess, monitor and control risks to health and safety and provide training in a retail organisation |
| PPL.E307 | Take a safe and active role when accidents and emergencies occur in a retail organisation |

**Annex C**

**Occupational Expertise of Assessors and Verifiers**

The requirements set out below relates to all assessors and verifiers.

✓ **= mandatory**

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| **Assessors, Internal Verifiers and External Verifiers**  **must:** | **A** | **IV** | **EV** |
| Have a good knowledge and understanding of the national occupational standard and competence based units and qualifications which are being assessed or verified. | ✓ | ✓ | ✓ |
| Hold or be working towards relevant assessment and/or verification qualification(s) as identified by SQA Accreditation, qualifications regulator, confirming their competence to assess or verify SVQ units and qualifications assessment as follows: |  | | |
| * Assessors and verifiers who hold current assessor and/or verifier units and undertake appropriate continuous professional development (CPD) | ✓ | ✓ | ✓ |
| * Assessors and verifiers who hold previous versions of assessor and/or verifier units, who work to the current Learning and Development (L&D) National Occupational Standards (NOS) and undertake appropriate continuous professional development (CPD) | ✓ | ✓ | ✓ |
| * Any new assessors or verifiers who do not currently hold any assessor or verifier units must undertake the relevant current unit(s). * In the case that an assessor or verifier is working towards their assessor/verifier unit, a representative sample of their assessment/verification decisions must be counter-signed by a colleague who has achieved an appropriate assessor/verifier unit. This colleague should have the same occupational expertise | ✓ | ✓ | ✓ |
| Have relevant occupational expertise and knowledge, at the appropriate level of the occupational area(s) they are assessing and/or verifying which has been gained through ‘hands on’ experience in the industry. | ✓ | ✓ | ✓ |
| Adhere to the awarding body’s assessment requirements and practice standardised assessment principles | ✓ | ✓ | ✓ |
| Have sufficient resources to carry out the role of assessor or verifier, i.e. time and budget | ✓ | ✓ |  |
| Have supervisory / management, interpersonal and investigative skills; including the ability to analyse information, hold meetings, guide, advise, plan and make recommendations at all levels, taking into account the nature and size of the organisation in which assessment is taking place. High standards of administration and record keeping are also essential. |  | ✓ | ✓ |
| Hold qualifications, or have undertaken training, that has legislative relevance to the competence based units and qualifications being assessed (See Annex D). | ✓ | Good  practice | Good  Practice |
| Update their occupational expertise and industry knowledge in the areas being assessed and verified through planned Continuous  Professional Development (see Annex E). | ✓ | ✓ | ✓ |

**Annex D**

**Continuous Professional Development for Assessors and Verifiers**

It is necessary for assessors and verifiers to maintain a record of evidence of their continuous professional development (CPD). This is necessary to maintain currency of skills and understanding of the occupational area(s) being assessed, and can be achieved in a variety of ways. It should be a planned process, reviewed on an annual basis, for example as part of an individual’s performance review.

Assessors and verifiers should select CPD methods that are appropriate to meeting their development needs. The following provides examples of a variety of methods that could be used for CPD purposes.

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| **Updating**  **occupational expertise** | • Internal and external work placements  • Work experience and shadowing (e.g. within associated departments)  • External visits to other organisations  • Updated and new training and qualifications  • Training sessions to update skills  • Visits to educational establishments  • Trade fairs |
| **Keeping up to date with sector developments and**  **new legislation** | • Relevant sector websites  • Membership of professional bodies  • Papers and documents on legislative change  • Networking events  • Seminars, conferences, workshops, membership of committees / working parties (e.g. People 1st events), webinars, social media  • Staff development days |
| **Standardising and best practice in assessment** | • Regular standardisation meetings with colleagues  • Sharing best practice through internal meetings, newsletters, email circulars  • Comparison of assessment and verification in other sectors  • Attending awarding body meetings/seminars |

**Downloadable guidance on CPD can be found at** [**CPD Guidance**](https://set.et-foundation.co.uk/professionalism/cpd/) **(**[**https://set.et-foundation.co.uk/professionalism/cpd/**](https://set.et-foundation.co.uk/professionalism/cpd/)**)**