



Unit title	Remaining up to date with Current Audit or Assurance Regulatory, Professional and Technical Information
SQA code	H67K 04
SCQF level	7
SCQF credit points	3
SSC ref	Unit 14

History of changes

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Title	Remaining Up to Date with Current Audit or Assurance Regulatory, Professional and Technical Information	
Learning Outcomes		Assessment Criteria
The candidate will:		The candidate can:
1	Understand the professional and personal obligations to remain up to date with current audit or assurance regulatory, professional and technical information.	<p>1.1 Explain the importance of the professional obligations to remain up to date with regulatory, technical, professional, individual competency standards and technical requirements of professional bodies.</p> <p>1.2 Assess the relevance of sources of information for regulatory, professional and technical updates.</p> <p>1.3 Identify relevant sources for audit or assurance regulatory, professional and technical updates.</p> <p>1.4 Explain how to meet personal obligations to remain up to date with employer's internal technical and policy updates.</p>

Additional information about the Unit
Unit purpose and aim(s)
By completing this Unit, the candidate will be able to meet their professional and personal obligations to keep up to date with current audit or assurance regulatory, professional and technical information.
Details of the relationship between the Unit and relevant national occupational standards (if appropriate)
N/A
Details of the relationship between the Unit and other standards or curricula (if appropriate)
N/A
Assessment requirements specified by a sector or regulatory body (if appropriate)
N/A

Assessment (evidence) Requirements

Evidence must be authentic, current, sufficient for purpose and valid — and should come from real work produced in the workplace. Where the assessment is regarding a candidate's knowledge and understanding it should be related to the candidate's workplace or working situation. Real work is defined as the provision of a product or service which, if not carried out by the candidate, would require someone else to do it.

It will be the assessor's responsibility to agree the best method of assessing a candidate in relation to their individual circumstances. The agreed methods must be:

- ◆ valid
- ◆ reliable
- ◆ safe and manageable
- ◆ suitable to the needs of the candidate

Simulation is not acceptable as a form of evidence for this Unit.

Guidance on Instruments of Assessment

This Unit is designed to assess the skills and knowledge of candidates in the workplace.

Acceptable Types of Evidence

A range of different types of evidence is desirable to demonstrate achievement of this Unit. Assessors may consider a number of methods of gathering evidence. These could include:

- ◆ **Observation:** this should form a substantial part of the evidence.
- ◆ **Product evidence:** as would be contained within a portfolio or signposted to its location within in the workplace.
- ◆ **Professional Discussion:** an in-depth discussion recorded electronically or in writing. Assessors must be able to authenticate what candidates have discussed. This may be through confirmation from a third party or sight of the documentation discussed.
- ◆ **Witness Testimony:** in writing or verbally to the assessor. This could include existing in-house records such as internal audit records, call monitoring, observation and file review checklists. The name of the witness and their relationship to the candidate should be clearly documented.
- ◆ **Questioning:** using open questions to elicit detailed and articulate replies. Assessor records should include sufficient detail to justify assessment decisions.
- ◆ **Recognition of Prior Learning:** this should be acknowledged where appropriate. In all instances where recognition of prior learning is used as a form of evidence, assessors must ensure the candidate's knowledge or competence remains current and that all Assessment Criteria have been met through valid assessment tools.

Guidance on Instruments of Assessment (cont)

Assessors should discuss decisions to be made with candidates at an early stage as to the suitability of particular forms of evidence (eg candidate statements, photographic evidence, video recordings).

Holistic assessment is encouraged and one piece of evidence can be used to meet the requirements of more than one Learning Outcome, Assessment Criterion, or Unit.

SQA's Guide to Assessment is designed to provide support for everyone who assesses for SQA qualifications. It looks at the principles of assessment, and brings together information on assessment in general as well as on best practice in assessment. The Guide to Assessment can be downloaded free from SQA's website:

http://www.sqa.org.uk/files_ccc/GuideToAssessment.pdf