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| <b>Unit title</b>         | Understanding Legal, Regulatory and Ethical Requirements in Sales or Marketing |
| <b>SQA code</b>           | H8PL 04  |
| <b>SCQF level</b>         | 5  |
| <b>SCQF credit points</b> | 2  |
| <b>SSC Ref</b>            | N/A  |

## History of changes

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| <b>Version number</b> | <b>Date</b> | <b>Description</b> | <b>Authorised by</b> |
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| <b>Title</b>  | Understanding Legal, Regulatory and Ethical Requirements in Sales or Marketing  |  |
| <b>Learning Outcomes</b>  | <b>Assessment Criteria</b>  |  |
| <b>The candidate will:</b>  | <b>The candidate can:</b>   |  |
| 1 Understand an organisation's procedures for dealing with legal, regulatory and ethical requirements relating to sales or marketing. | 1.1 Describe an organisation's procedures for raising legal, regulatory and ethical concerns.   | 1.2 Explain the scope of legal, regulatory and ethical requirements in sales or marketing.               |
|   | 1.3 Explain how the legal, regulatory and ethical requirements relate to the business of selling or marketing.                          | 1.4 Describe internal and external sources of information on legal, regulatory and ethical requirements. |
|   | 1.5 Explain how an 'ethical approach' affects organisations in the sales or marketing environment.                                      | 1.6 Explain the importance of contract law in sales.   |
| 2 Understand the legal, regulatory and ethical limits of the sales or marketing role.   | 2.1 Explain the legal, regulatory and ethical requirements relevant to the role.  | 2.2 Describe the potential consequences of not complying with legal, regulatory or ethical requirements. |
|   | 2.3 Explain the importance of working within the limits of the role, responsibilities and authority.                                    | 2.4 Explain the process for reporting legal, regulatory and ethical concerns.                            |
|   | 2.5 Explain the importance of clarity of communication with the customer to ensure common understanding of agreements and expectations. |  |

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| <b>Additional information about the Unit</b>  |
| <b>Unit purpose and aim(s)</b>  |
| This Unit is designed to assess the candidates understanding of the organisation's procedures for dealing with legal, regulatory and ethical requirements relating to sales or marketing. Candidates will also develop an understanding of the legal, regulatory and ethical limits of the sales or marketing role. |
| <b>Details of the relationship between the Unit and relevant national occupational standards (if appropriate)</b>   |
| N/A   |
| <b>Details of the relationship between the Unit and other standards or curricula (if appropriate)</b>   |
| N/A   |
| <b>Assessment requirements specified by a sector or regulatory body (if appropriate)</b>  |
| N/A   |

## Assessment (evidence) Requirements

This Unit is designed to assess the knowledge and understanding of candidates in the workplace and can be assessed on or off-the-job. Candidates must cover all the Learning Outcomes and Assessment Criteria.

Candidates may be able to prove their occupational knowledge and understanding through performance in the workplace. In addition to performance, questioning may be used to:

- ◆ confirm knowledge and understanding where it is not apparent from performance
- ◆ address gaps in knowledge and understanding in performance
- ◆ authenticate evidence by asking candidates to explain part of the evidence and/or describe the process of producing it

The legal, regulatory and ethical requirements to be covered will depend on the role held by the learner. Examples may include:

- ◆ Health and Safety at Work Act
- ◆ Data Protection Act
- ◆ Copyright legislation
- ◆ Conflicts of interest

Evidence is likely to be presented in the form of a portfolio.

## Guidance on Instruments of Assessment

Appropriate Instruments of Assessment for assessing candidates' underpinning knowledge and understanding include:

- ◆ Oral questions
- ◆ Written questions
- ◆ Multiple-choice questions
- ◆ Case studies
- ◆ Assignments
- ◆ Professional discussion/Personal statement
- ◆ Observation
- ◆ Product evidence
- ◆ Witness testimony

The choice of method should reflect any special assessment requirements candidates may have. For example, some candidates do not respond well to written questions — in any case, it is important to ensure that the appropriate reading level is used.

SQA's Guide to Assessment provides further information on appropriate Instruments of Assessment. This guide 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 **[www.sqa.org.uk](http://www.sqa.org.uk)**.