

Title	Communicate with clients in a compliance context		
Level	4	Credits	6

Purpose	This unit standard is for compliance officers communicating primarily one-to-one with clients in their daily work. People credited with this unit standard are able to: make first contact with clients in a compliance context; progress compliance with clients; and close contact with clients.
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Classification	Compliance and Law Enforcement > Compliance and Regulatory Control
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Available grade	Achieved
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Guidance Information

- 1 Assessment will be in relation to those laws, regulations, bylaws, activities, procedures, and policies defined by the compliance and/or regulatory organisation as relevant to the performance context.
- 2 Assessment may be in relation to a wide variety of compliance contexts, including all local government compliance contexts. This means that communication must be appropriate to the performance context. Factors to be taken into account include the role of the officer, the response of any clients, and the desired outcome. For example, what is appropriate communication during first contact in an emergency will differ from what is appropriate when an officer is requesting assistance by radio, or requesting a list of contacts for a notifiable disease, or conducting a routine discussion of an approval.
- 3 **Range**
At least three clients, including at least one from a culture other than the officer's own, and at least one client who is aggressive.
- 4 **Glossary**
Paralanguage and non-verbal communication (kinesic and proxemic) – in the absence of one all-embracing and universally accepted term these two terms have been used together as the technical linguistic definition of 'body language'. There is some redundancy caused by using both terms;
Paralanguage refers to aspects of vocal or bodily expression that convey meaning. The main paralinguistic phenomena are:
 - a tones of voice used to convey everyday emotion, or to express social, psychological, or occupational states, and
 - b aspects of body language such as gestures and facial expressions;*Non-verbal communication (kinesic and proxemic)*
There are two aspects:

- a kinesics – facial expressions and bodily gestures;
- b proxemics – the use of touch and body position with reference to other people.

5 Reference

McArthur, T. ed.

Oxford Companion to the English Language (Oxford University Press, 1992).

Outcomes and performance criteria

Outcome 1

Make first contact with clients in a compliance context.

Performance criteria

- 1.1 The purpose of first contact is explained in terms of achieving compliance.
Range includes but is not limited to – link to final outcome.
- 1.2 Introductory information given meets any legal requirements, and follows organisation's procedures and policies.
Range includes but is not limited to – identity, authority, purpose of contact.
- 1.3 Style of communication is appropriate to the situation.
Range form of address, vocabulary, phraseology, paralanguage, non-verbal communication (kinesic and proxemic), articulation, voice modulation and projection, order of information.
- 1.4 Time taken in making first contact is appropriate to the situation.

Outcome 2

Progress compliance with clients.

Performance criteria

- 2.1 Information given is relevant to the situation and in accordance with organisation's procedures and policies.
- 2.2 The focus of the dialogue is maintained, and disputed issues are identified.
Range acts and regulations, client's point of view, officer's point of view.
- 2.3 Clarification of disputed issues enables relevant and complete information to be given.

2.4 Style of communication is appropriate to the situation and the compliance context.

Range form of address, vocabulary, phraseology, paralanguage, non-verbal communication (kinesic and proxemic), articulation, voice modulation and projection.

2.5 Time taken is appropriate to the situation.

Outcome 3

Close contact with clients.

Performance criteria

3.1 The purpose of closure is explained in terms of achieving compliance.

3.2 Any final messages or instructions are unambiguous.

3.3 The timing and style of closure are appropriate to the situation.

Range content, form of address, vocabulary, phraseology, paralanguage, non-verbal communication (kinesic and proxemic), articulation, voice modulation and projection.

This unit standard is expiring. Assessment against the standard must take place by the last date for assessment set out below.

Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	23 July 1997	31 December 2023
Revision	2	17 July 2002	31 December 2023
Revision	3	19 May 2004	31 December 2023
Review	4	27 February 2006	31 December 2023
Review	5	23 May 2019	31 December 2023

Consent and Moderation Requirements (CMR) reference	0046
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This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.