

Title	Provide technical advice on complex compliance issues and negotiate complex agreements, in writing		
Level	5	Credits	5

Purpose	This unit standard is for compliance officers who deal with complex issues in compliance and are required to advise and negotiate with clients in writing. People credited with this unit standard are able to write to clients giving technical advice on complex compliance issues, and negotiate a compliance agreement in writing for a complex situation.
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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 A complex issue is one which has at least three inter-related components.
- 2 Assessment will be in relation to those laws, regulations, bylaws, activities, procedures, and policies defined by the compliance and/or regulatory organisation relevant to the performance context.
- 3 Assessment may be in relation to one specific organisational context applying the specific codes, call signs, and procedures of that organisation, or in relation to a wide variety of compliance contexts, including all local government compliance contexts. This means that communication cannot be narrowly defined but in every case it must be appropriate to the situation being assessed. Factors to be taken into account include the role of the officer, the response of any clients, and the desired outcome.
- 4 Assessment against outcome 2 must include the progression of one of the letters used for assessment in outcome 1; that is, a client is followed from first contact to resolution.

Outcomes and performance criteria

Outcome 1

Write to clients giving technical advice on complex issues in a compliance context.

Range at least two letters to external clients, and two submissions to internal clients.

Performance criteria

- 1.1 Opening statement of technical advice specifies the subject of the text.
- 1.2 Legislation to be complied with is quoted and clearly identified by name, date, section, and clause.
- 1.3 Situation is described in terms of compliance.
- Range includes but is not limited to – client plans submitted, Acts and regulations, local environment constraints, consequences of proposals made (legal, safety), available legal options, ways in which factors inter-relate, possible trade-offs.
- 1.4 Recommended action is specified.
- Range action advised, reason for preference in terms of local environment constraints, and/or Acts and regulations, and/or safety concerns, and/or other matters.
- 1.5 Clear and concise language is used.
- Range vocabulary, sentence construction, active verbs, order of information, headings.
- 1.6 Organisational policies and procedures for writing are followed.
- Range may include but is not limited to – format, referencing.

Outcome 2

Negotiate a compliance agreement in writing for a complex situation.

Range a series of at least three letters to one client.

Performance criteria

- 2.1 Opening statement specifies the subject of the negotiation and lists the points that require negotiation to agreement.
- 2.2 Legislation to be complied with is quoted accurately, and is clearly identified by name, date, section, and clause.
- 2.3 Situation is described in terms of compliance.
- Range client plans submitted, analysis of client proposals or counter-proposals in terms of acceptability, disputed issues, analysis of officer's preferred options in terms of constraints in the local environment, safety, Acts and regulations, and other considerations; other options for compliance; possible compromises.

2.4 Conclusion specifies final points of agreement and any further proposals required for compliance.

2.5 Clear and concise language is used.

Range vocabulary, sentence construction, active verbs, order of information, headings.

2.6 Organisational policies and procedures for writing are followed.

Range may include but is not limited to – format, referencing.

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	25 July 2007	31 December 2023
Review	5	23 May 2019	31 December 2023

Consent and Moderation Requirements (CMR) reference

0046

This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.