

Title	Negotiate on a complex issue with an aggressive client in a compliance context		
Level	7	Credits	5

Purpose	This unit standard is for compliance officers communicating with people primarily one-to-one. People credited with this unit standard are able to plan to negotiate on a complex issue with an aggressive client in a compliance context, and negotiate to reach agreement on a complex issue with an aggressive client in a compliance context.
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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 **Range**
At least three situations, including at least one involving an aggressive client who is from a culture other than the candidate's own.
- 5 Assessment may include evidence from simulation.
- 6 **Glossary**
Aggressive client refers to a client who is expected to present, and presents, as angry in tone and threatening.
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:

- i tones of voice used to convey everyday emotion or to express social, psychological or occupational states, and
- ii aspects of body language such as gestures and facial expressions;

Non-Verbal Communication (kinesic and proxemic)

There are two aspects:

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

Source

McArthur, T. (ed), *Oxford Companion to the English Language* (Oxford University Press, 1992).

Outcomes and performance criteria

Outcome 1

Plan to negotiate on a complex issue with an aggressive client in a compliance context.

Performance criteria

- 1.1 The situation is analysed in terms of interpersonal communication processes.
- Range includes but is not limited to – barriers to communication, the people involved and their preferred approach to negotiation, organisational policies and procedures.
- 1.2 The situation is analysed in terms of compliance.
- Range Acts and regulations, local environment constraints, safety, proposals already made, plans submitted, disputed issues, organisational policies and procedures, matters agreed, possible concessions.
- 1.3 Preferred outcome on each point is justified in terms of compliance and, where possible, at least two alternative approaches are identified.
- Range Acts and regulations, local environment constraints, safety, plans submitted, possible concessions and trade-offs.
- 1.4 Rationale for the choice of negotiation technique is justified.
- Range people involved, barriers to communication, compliance requirement.

Outcome 2

Negotiate to reach agreement on a complex issue with an aggressive client in a compliance context.

Performance criteria

- 2.1 First contact is made and the situation is described to the client in terms of compliance.
 - Range officer identity and authority, plans submitted, matters agreed, matters in dispute.
- 2.2 Progress towards compliance agreement is promoted.
 - Range may include but is not limited to – specification of client’s plans, description of proposals, identification of possible concessions, provision of information about the constraints of the local environment, Acts and regulations, safety requirements.
- 2.3 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, number of interruptions, exercise of authority, promotion of compromise.
- 2.4 Points of agreement and next steps are confirmed with the client.
 - Range when reached, at the end of the negotiation.
- 2.5 Time taken is appropriate to the situation.

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