

Learning Assessment Guide

Unit Standard 11283 – Version 4

Communicate with clients in a compliance context

Level 4 – 6 Credits

Assessment Summary			
Learner to complete			
Learner's name:			
Employer:			
NSN no. (ROL):		DOB:	
Signed:		Date:	
Assessor to complete			
<input type="checkbox"/> Meets requirements <input type="checkbox"/> More training required <input type="checkbox"/> More evidence required			
Assessor's name:		Assessor's No.	
Signed:		Date:	

Before you begin...

- As well as this Learning Assessment Guide, you may also want to refer to the unit standard from the NZQA website (<http://www.nzqa.govt.nz>).
- Read the Trainee Information Kit. The kit contains important information and guidelines for Learners and can be found on the Learning State website (<http://www.learningstate.govt.nz>) under Learners, then Learning Assessment Guides.
- Check the learning resources available for this unit standard on the Learning State website (<http://www.learningstate.govt.nz>) under Learners, then Learning Assessment Guides.

The tasks in this assessment are designed to show your assessor that you can:

- Make first contact with compliance subjects in a compliance context.
- Progress compliance with compliance subjects.
- Close contact with compliance subjects.

This assessment guide is made up of:

- Tasks for you to complete.
- Observation Checklists to be completed by your assessor or an approved observer.
- A Verification Form to be completed by your manager or team leader.
- An Assessment Schedule that the assessor will use to assess your competence.

Special notes relating to this unit standard:

- 1 Legislation covering the context of the communication must be adhered to.
- 2 As a wide variety of performance contexts apply to this unit standard, the communication must fit the situation, for example: face-to-face, radio, emergency, or routine communication.
- 3 Range must cover at least three compliance subjects, and must include one from a culture other than your own, and one compliance subject who is aggressive.
- 4 Glossary of terms.

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.

Assessment Task One – Elements 1, 2, and 3

Introduction

Assessment Task One is designed to assess your ability to make first contact with compliance subjects in a compliance context, progress compliance and close contact with compliance subjects.

Instructions

- You will be required to provide evidence of communicating with compliance subjects in a compliance context on three separate occasions.

Of these compliance subjects:

- one must be from a culture other than your own
 - one must be an aggressive compliance subject.
- Reviewing these three communication situations with your assessor will form the basis of this assessment. Be prepared to discuss the situations with your assessor. Bring any relevant documentation or tapes to review with your assessor.
 - Your evidence can consist of observations from compliance subject communication situations from the last 12 months, or you can use evidence from compliance subject communications you will be undertaking in the near future.
 - You will need to arrange for an Observation Checklist to be completed for each situation. A copy of the following form will need to be provided to each observer
 - The Observation Checklist can be completed by the assessor, your manager, or a colleague. The person completing the checklist must have been present during the communication situation. Ideally, this will have taken place recently.
 - If the observer is not the assessor, please give the observer an overview of the assessment process and requirements. The unit standard special notes define the specialised communication terms used.
 - Your assessor may wish to discuss your work with you in order to gain clarity or sufficiency of evidence.

The completed assessment for task one will include:

- Three completed Observation Checklists.
- Assessor's notes where relevant.
- Supporting documentation or tapes where available.

Observation Checklist
(For use by assessor or approved observer)
Use one per compliance subject

Name of learner:	
Name of observer assessor:	
Date:	
Compliance subject/context	

Please indicate if the learner has met the criteria. Use the space to add comment for feedback to the learner and for moderation purposes.

Observed that the learner:	Observer comments	Yes / No
<i>Make first contact with compliance subjects in a compliance context</i>		
<input type="checkbox"/> Explains the purpose of the first contact to achieve compliance <input type="checkbox"/> Links to the final outcome (P.C 1.1)		
<input type="checkbox"/> Provides all legally required introductory information, including their: <input type="checkbox"/> identity <input type="checkbox"/> authority <input type="checkbox"/> purpose of contact <input type="checkbox"/> follows organisational policies and procedures (P.C 1.2)		
Uses the appropriate style of communication including: (P.C 1.3) <ul style="list-style-type: none"> <input type="checkbox"/> Form of address <input type="checkbox"/> Vocabulary <input type="checkbox"/> Phraseology <input type="checkbox"/> Paralanguage <input type="checkbox"/> Non-verbal communication <input type="checkbox"/> Articulation <input type="checkbox"/> Voice modulation and projection <input type="checkbox"/> Order of information. 		
First contact takes an appropriate amount of time (P.C 1.4)		

Observed that the learner:	Observer comments	Yes / No
<i>Progress compliance with compliance subjects</i>		
<input type="checkbox"/> Provides information that is relevant and <input type="checkbox"/> Is in accordance with the procedures and policies of the organisation. (P.C 2.1)		
Maintains the focus of the dialogue and identifies disputed issues. This must include: (P.C 2.2) <input type="checkbox"/> Acts and regulations <input type="checkbox"/> Compliance subject's point of view <input type="checkbox"/> Compliance officer's point of view		
<input type="checkbox"/> Disputed issues are clarified <input type="checkbox"/> Relevant and complete information is provided (P.C 2.3)		
Communication style fits the situation and the context. (P.C 2.4) <input type="checkbox"/> form of address <input type="checkbox"/> vocabulary <input type="checkbox"/> phraseology <input type="checkbox"/> paralanguage <input type="checkbox"/> non-verbal communication <input type="checkbox"/> articulation <input type="checkbox"/> voice modulation and projection		
Time taken fits the situation (P.C 2.5)		
<i>Close contact with compliance subjects</i>		
The purpose of the closure is explained to the compliance subjects in terms of achieving compliance (P.C 3.1)		
Final messages or instructions to the compliance subjects are unambiguous (P.C 3.2)		

Observed that the learner:	Observer comments	Yes / No
Timing and style of closure fits the situation (P.C 3.3) <ul style="list-style-type: none"> <input type="checkbox"/> Form of address <input type="checkbox"/> Content <input type="checkbox"/> Vocabulary <input type="checkbox"/> Phraseology <input type="checkbox"/> Paralanguage <input type="checkbox"/> Non-verbal communication <input type="checkbox"/> Articulation <input type="checkbox"/> Voice modulation and projection 		

Assessor/Observer:

Signature:

Assessment Task Two – Elements 1, 2 and 3

Introduction

Assessment Task Two is designed to assess your ability to make first contact with compliance subjects in a compliance context, progress compliance, and close contact with compliance subjects.

Instructions

- Ask your manager or team leader to complete the following Verification Form. This is to confirm that your performance meets the requirements of the organisation, and that your performance consistently meets the required standard.
- Give the completed form to your assessor.

The completed assessment for task two will include:

- Completed Verification Form.

Task Two Verification Form

Name of Learner:		
Name of Verifier:		
Position:		Phone:

_____ (name of learner) is currently being assessed toward Unit Standard 11283 *Communicate with clients in a compliance context*.

Please verify that the learner can:

Part One

Make first contact with compliance subjects in a compliance context. This includes:

- Explaining the purpose of the communication in terms of achieving compliance which links to final outcome.
- Giving introductory information which meets legal requirements, including the learner's identity, authority, and purpose of contact, and follows the policies and procedures of the organisation.
- Using an appropriate style of communication which includes form of address, vocabulary, phraseology, paralanguage, non-verbal communication (kinesic and proxemic), articulation, voice modulation and projection, and order of information.
- Taking an appropriate time for making first contact.

Part Two – Task 2

Progress compliance with compliance subjects. This includes:

- Giving relevant information and in accordance with organisational policies and procedures.
- Maintaining the focus of the communication, and identifying disputed issues. Acts are explained, and compliance subject' and compliance officer's views are acknowledged and understood.
- Clarifying disputed issues to allow information that is both relevant and complete to be given.
- Communicating in a style appropriate to the situation and context which considers form of address, vocabulary, phraseology, paralanguage, non-verbal communication (kinesic and proxemic), articulation, voice modulation, and projection.

- Taking an appropriate time for the situation.

Part Three – Task 3

Close contact with compliance subjects in the workplace. This includes:

- Explaining the purpose of closure to achieve compliance.
- Giving unambiguous final messages or instructions.
- Ensuring that timing and style of closure is appropriate and considers content, form of address, vocabulary, phraseology, paralanguage, non-verbal communication (kinesic and proxemic), articulation, voice modulation and projection.

Comments

Signed: _____

Date: _____

Position: _____

Contact telephone number: _____

Thank you for your assistance

Assessment Guide

The table below will be used to assess your competence in unit standard 11283 - Communicate with clients in a compliance context.

Task/Element	Evidence required	Judgement
<p><i>Tasks 1 and 2/ Element 1</i></p> <p>The learner is observed communicating with compliance subjects in a compliance context</p>	<p>Three Completed Observation Checklists</p> <p>Assessor's notes where relevant</p> <p>Completed Manager's Verification Form</p>	<p>The learner must be observed making first contact with three compliance subjects in a compliance context</p> <p>At least one compliance subjects must be from a culture different to the learner's culture, and at least one compliance subjects must be aggressive</p> <p>The following must be observed in all three situations</p> <p>The entire contact must be in accordance with the organisation's policies and procedures</p> <p>The learner must explain the purpose of the contact to the compliance subjects in a way that the compliance subject understands the final outcome</p> <p>The learner must provide all information pertaining to the communication that is legally required including:</p> <ul style="list-style-type: none"> • Their identity. • Their authority. • The purpose of the contact <p>The learner uses a style of communication that fits the situation. This must include:</p> <ul style="list-style-type: none"> • Form of address • Vocabulary • Phraseology • Paralanguage • Kinesic and proxemic communication • Articulation • Voice modulation and projection • Order of information <p>Time taken to gain compliance is</p>

Task/Element	Evidence required	Judgement
		<p>appropriate to the situation</p> <p>The Verification Form states that the learner has met all of the above criteria consistently</p>
<p><i>Tasks 1 and 2/ Element 2</i></p> <p>The learner is observed progressing compliance with compliance subjects and closing the contact</p>	<p>Completed Observation Checklist</p> <p>Assessor's notes where relevant</p> <p>Completed Manager's Verification Form</p>	<p>The learner must be observed during first contact with three compliance subjects in a compliance context</p> <p>At least one compliance subjects must be from a culture different to the learner's culture, and at least one compliance subjects must be aggressive</p> <p>The following must be observed in all three situations</p> <p>The entire contact must be in accordance with the organisation's policies and procedures</p> <p>The learner provides relevant information, which meets legal requirements</p> <p>The learner maintains the focus of the dialogue. Any issues that are in dispute are identified. This includes acts and regulations, the compliance subject's point of view and the learner's point of view</p> <p>The learner clarifies disputed issues thus allowing all necessary information to be provided</p> <p>The learner uses a style of communication that fits the situation and the context:</p> <ul style="list-style-type: none"> • Form of address • Vocabulary • Phraseology • Paralanguage • Kinesic and proxemic communication • Articulation • Voice modulation and projection <p>The Verification Form states that the learner has met all of the above criteria</p>

Task/Element	Evidence required	Judgement
<p><i>Tasks 1 and 2</i> <i>Element 3</i></p>	<p>Completed Observation Checklist</p> <p>Assessor's notes where relevant</p> <p>Completed Manager's Verification Form</p>	<p>The learner must be observed during first contact with three compliance subjects in a compliance context</p> <p>Learner ensures the compliance subject knows why the contact is being closed</p> <p>Learner ensures that any final messages or instructions are clear and cannot be misinterpreted</p> <p>The timing and style of the closure must be appropriate. Consider:</p> <ul style="list-style-type: none"> • Content • Form of address • Vocabulary • Phraseology • Paralanguage • Non-verbal communication • Articulation • Voice modulation and projection

COMPLIANCE AND REGULATORY CONTROL

Unit Standard 11283 Version 4: Communicate with clients in a compliance context

Level:	4
Credit:	6
Final date for comment:	February 2010
Expiry date:	December 2011
Sub-field:	Compliance and Law Enforcement
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.
Entry information:	Open.
Accreditation option:	Evaluation of documentation by NZQA and industry.
Moderation option:	A centrally established and directed national moderation system has been set up by the Local Government Industry Training Organisation.
Special notes:	<ol style="list-style-type: none">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.

Reference

McArthur, T. ed.

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

Elements and Performance Criteria

Element 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.

Element 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.

Element 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.