ACCCB/543 Competency 3 Assessment and Rubric

Competency 3 Assessment: Business Risk Management Analysis

Assessment Directions

Assessment Preparation

Part 1

Read the following scenario and **review** the eight principles addressed by codes of conduct that meet world-class standards, according to Harvard researchers. Your textbook lists the eight standards at the end of Chapter 18.

Scenario

A regional director of intellectual property for the U.S. division of a multinational cosmetics company was responsible for overseeing the process of preparing and filing patent applications. As a licensed attorney, he had to follow state professional conduct rules and regulations issued by the U.S. Patent and Trademark Office.

The company's global headquarters implemented an annual filing target requiring each regional office to submit a specified number of patent applications. Management communicated that meeting these targets would be tied to performance evaluations and continued employment. At the same time, U.S. leadership emphasized improving the technical quality and defensibility of patent submissions. Stricter internal review standards reduced the number of applications that met filing criteria, creating tension between quantity expectations and quality requirements.

The director informed senior leadership that he would not authorize the submission of applications that did not meet ethical and legal standards for patentability. After ongoing disagreements, the company terminated his employment. He later filed a lawsuit, alleging that his employer dismissed him for refusing to compromise his professional and regulatory obligations.

Part 2

You are a senior compliance and risk manager for the U.S. operations of a multinational corporation. Senior leadership has asked you to evaluate this dispute and determine whether current policies and controls sufficiently address legal, regulatory, and ethical risks in the organization's patent operations.

Input the scenario into the generative AI tool of your choice, such as Copilot or ChatGPT.

Instruct AI to:

- Summarize the important elements of the case and identify alternative managerial responses that managers could have been used.

- Identify the key legal, regulatory, employment, and professional-conduct risks.
- Identify at least 2 alternative managerial responses and the potential legal and regulatory outcomes and trade-offs for each response.

Verify the source information where possible.

Save the AI conversation, including prompts and outputs, to include in your deliverable.

Assessment Deliverable

Write a 700- to 875-word analysis with the following sections. Refer to the eight principles from the Assessment Preparation section for guidance.

Risk Overview

- Identify the key legal, regulatory, employment, and reputational risks raised by the scenario.
- Discuss the top 3 risks that pose the greatest threat to the organization, rank them in order from greatest to least threat, and explain your ranking and why these are the most serious threats.

Ethical and Regulatory Evaluation

- Select four of the eight principles addressed by codes of conduct that meet world-class standards and explain how they apply to this case.
- Evaluate whether management’s actions and the employee’s actions adhered to or conflicted with these principles and cite examples.

AI-Supported Risk Analysis

- Summarize the AI-supported risk analysis you completed.
- Summarize the potential legal and regulatory outcomes and trade-offs for each alternative managerial response.
- Identify any risks that should inform your managerial recommendations that the AI output did not include.

Managerial Recommendations

- Propose two to three concrete policy or process changes that would reduce future legal and regulatory risk.
- Explain how these recommendations balance business objectives with compliance and ethical obligations.

Appendix

- Write a brief critique of the AI tool's usefulness and limitations for this analysis. Include accuracy, gaps, and risks of over-reliance on the AI outputs.

- Include your documentation of the conversation with the AI tool from your assessment preparation.

Competency Assessment Rubric

Assignment/Performance Criteria	Mastery 100%	Meets Expectations 85%	Not Met 0%
1. Identify the key legal, regulatory, employment, and reputational risks raised by the scenario. (weight 15%)	Clearly identified the key legal, regulatory, employment, and reputational risks raised by the scenario, demonstrating a strong understanding of organizational exposure	Adequately identified the key legal, regulatory, employment, and reputational risks raised by the scenario	Did not identify the key legal, regulatory, employment, and reputational risks raised by the scenario
2. Discuss the top 3 risks that pose the greatest threat to the organization, rank them in order from greatest to least threat, and explain your reasoning. (weight 10%)	Thoroughly discussed the top 3 risks that pose the greatest threat to the organization, and the explanation was well-reasoned	Adequately discussed the top 3 risks that pose the greatest threat to the organization, but the explanation was incomplete or weakly supported	Did not discuss the top 3 risks that pose the greatest threat to the organization
3. Select four principles and explain how they apply to this case. (weight 10%)	Effectively explained how four of the eight principles addressed by codes of conduct that meet world-class standards apply to this case.	Adequately explained how four of the eight principles addressed by codes of conduct that meet world-class standards apply to this case, but the explanation was limited or uneven	Did not explain how four of the eight principles addressed by codes of conduct that meet world-class standards apply to this case
4. Evaluate whether management and employee actions adhered to or conflicted with the four chosen principles and cite examples. (weight 10%)	Clearly evaluated whether management and employee actions adhered to or conflicted with the four chosen principles and cited examples	Adequately evaluated whether management and employee actions adhered to or conflicted with the four chosen principles, but the analysis lacked depth or specific support from the case	Did not evaluate the actions of management or the employee

Assignment/Performance Criteria	Mastery 100%	Meets Expectations 85%	Not Met 0%
5. Summarize the AI-supported risk analysis, as well as the potential legal and regulatory outcomes and trade-offs for each managerial response. (weight 15%)	Thoroughly summarized the AI-supported risk analysis, as well as the potential legal and regulatory outcomes and trade-offs for each managerial response	Mostly summarized the AI-supported risk analysis, as well as the potential legal and regulatory outcomes and trade-offs for each managerial response	Did not sufficiently summarize the AI-supported risk analysis, as well as the potential legal and regulatory outcomes and trade-offs for each managerial response or did so with major inaccuracies
6. Write a 1- to 2-paragraph critique of the AI tool's usefulness and limitations for this analysis. (weight 10%)	Wrote a thorough critique of the AI tool's usefulness and limitations for this analysis	Wrote an adequate critique of the AI tool's usefulness and limitations for this analysis; the critique lacked depth or specificity	Did not write a critique of the AI tool's usefulness or limitations
7. Propose two to three concrete policy or process changes that would reduce future legal and regulatory risk. (weight 10%)	Proposed two to three clear, actionable policy or process changes that would effectively reduce future legal and regulatory risk	Proposed vague, limited, or weakly supported recommendations	Did not provide managerial recommendations
8. Explain how these recommendations balance business objectives with compliance and ethical obligations. (weight: 10%)	Clearly explained how each recommendation balances business objectives with compliance and ethical obligations	Adequately explained how each recommendation balances business objectives with compliance and ethical obligations, but it was incomplete or uneven	Did not explain how each recommendation balances business objectives with compliance and ethical obligations
9. Digital fluency: Digital information literacy (weight: 5%)	Thoroughly researched and gathered enough information from a variety of sources, analyzed the plausibility and accuracy of the information, and used it appropriately to inform action	Mostly researched and gathered information from a variety of sources, analyzed the plausibility and accuracy of the information, and used it appropriately to inform action; more detail is needed	Did not sufficiently research or gather information from a variety of sources, analyze the plausibility and accuracy of the information, or use it appropriately to inform action, or did so with major inaccuracies

Assignment/Performance Criteria	Mastery 100%	Meets Expectations 85%	Not Met 0%
10. APA, Grammar, and Writing Mechanics (weight: 5%)	Accuracy in grammar, sentence structures, sentence boundaries, and word choice enhanced content; when applicable, attention to APA citation and formatting enhanced the content	Rare inaccuracies/errors in grammar, sentence structures, sentence boundaries, and word choice; when applicable, APA citation and formatting did not detract from the content	Frequent inaccuracies/errors in grammar, sentence structures, sentence boundaries, and word choice; when applicable, APA formatting made the content inaccessible