

ASSESSMENT BLUEPRINT: REGULATORY COMPLIANCE STRATEGY

March 2021

OVERVIEW

Project background and description

Project: Transforming Regulatory Compliance Training

Target Audience: Financial Services and IT Employees

Assessment Strategy: Scenario-Based Decision Making

Assessment Description

What is this assessment? This is a **Situational Judgment Test (SJT)**. Instead of asking learners to memorize definitions of laws, it presents them with 8 realistic "micro-scenarios" they would encounter on the job. Each question requires the learner to identify the most compliant course of action.

The Goal: To move the needle from "I've read the policy" to "I know how to apply the policy."

Learner Objectives

- **LO 1: Data Privacy & Encryption** – Apply standard encryption protocols when sharing sensitive company or client data with external parties.
- **LO 2: Anti-Bribery & Gift Policy** – Evaluate third-party offers (gifts, entertainment, or travel) against the Global Gift Policy to prevent conflicts of interest.
- **LO 3: Physical Access Control** – Demonstrate "Challenge Protocols" to prevent unauthorized entry (tailgating) into secure office environments.
- **LO 4: Phishing & Social Engineering** – Analyze incoming digital communications for "red flags" and execute the correct reporting procedure for suspicious activity.
- **LO 5: Incident Reporting** – Execute the immediate "Near-Miss" reporting sequence when discovering exposed sensitive information or lost hardware.
- **LO 6: Conflict of Interest** – Identify external business activities or employment opportunities that require a formal disclosure to the Compliance Department.
- **LO 7: Corporate Communications** – Direct all external or media-related inquiries to the authorized Media Relations team to maintain brand integrity.
- **LO 8: Record Retention & Legal Holds** – Differentiate between routine document cleanup and illegal document destruction during an active Legal Hold or Audit.

Learner Instructions

Below are 8 workplace scenarios involving common regulatory challenges. For each situation, select the **best** course of action based on our Global Compliance Policy.

- **Think before you click:** Some answers may look helpful but violate safety protocols.
- **Feedback:** After each selection, you will receive immediate feedback explaining the "Real-World Risk" associated with that choice.
- **Passing Score:** You must answer at least 7 out of 8 scenarios correctly to meet the "Compliance Competence" requirement.

Assessment Blueprint: Regulatory Decision-Making

#	Expanded Learning Objective (LO)	Bloom's Level	Scenario (The "Question")	Correct Action (The "Go")	Incorrect Action (The "No-Go")
1	Data Privacy: Given a request for sensitive data, the learner will correctly apply encryption protocols per company policy.	Apply	A high-value client asks you to send a sensitive report to their personal Gmail to "save time."	Refuse the request and use the Company Secure Portal .	Sending the file as an unencrypted email attachment.
2	Anti-Bribery: When offered an incentive, the learner will evaluate the offer against the Global Gift Policy to identify conflicts.	Evaluate	A vendor offers you "VIP tickets" to a game while you are currently reviewing their contract renewal.	Decline the gift and report the offer to the Legal team.	Accepting the tickets as a "personal gesture."
3	Access Control: In a physical office setting, the learner will demonstrate "Challenge Protocol" to prevent unauthorized entry.	Apply	A stranger follows you through a badge-protected door without scanning their own ID card.	Stop and ask the person to check in at the front desk.	Holding the door open to be "polite" or helpful.
4	Phishing: Given an urgent digital request, the learner will analyze email headers and URLs for signs of a social engineering attack.	Analyze	You receive an "Urgent" email from the CEO's name asking for an immediate, off-book wire transfer.	Report the email using the official "Report Phish" button.	Replying to the email to "confirm" the request.
5	Data Integrity: When discovering exposed sensitive data, the learner will execute the "Near-Miss" reporting procedure immediately.	Apply	You find a printed list containing client Social Security Numbers left unattended on a shared office printer.	Secure the document and file an incident report with HR/Security.	Leaving the list there so the owner can come back for it.
6	Conflicts: Given a third-party employment offer, the learner	Analyze	You are offered a paid weekend	Disclose the offer to your	Starting the job since it happens

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	will determine if the role requires a formal Conflict of Interest disclosure.		consulting gig for a firm that provides software to your current employer.	manager for a formal conflict review.	"outside of business hours."
7	Communications: When contacted by external media, the learner will identify the correct channel for corporate representation.	Apply	A journalist DMs you on LinkedIn asking for a "quick off-the-record comment" regarding a recent merger.	Refer the inquiry directly to the official Media Relations team.	Giving a "brief" personal opinion on the matter.
8	Record Retention: Under the condition of a Legal Hold, the learner will differentiate between standard file cleanup and illegal deletion.	Evaluate	Your supervisor asks you to delete project files that are currently part of an active, ongoing internal audit.	Refuse to delete the files and cite the current Legal Hold protocol.	Deleting the files because your direct supervisor requested it.