Compliance Risk Review (CRR): (risk area referenced here)

Response from the Office of Institutional Compliance

**Governing Rules, Regulations, and University Policies**

|  |  |
| --- | --- |
| **Governing Regulation** | **Requirement** |
| Specific regulation or policy | * Specific requirement in the regulation |
| Specific regulation or policy | * Specific requirement in the policy * Specific requirement in the policy |

**Primary Impacts of Non-Compliance**

A typical failure to comply with one or more requirements in the governing regulations related to the (list risk here) would likely have an impact in the risk areas checked below:

Health and safety (sustain injury or loss of life)

Legal (regulatory or legal action brought against the University or its employees, resulting in fines, penalties, etc.)

☒ Reputational (damage to the U’s reputation or brand such as bad press, social media discussion, loss of customer trust, or decreased employee morale)

Financial (such as significant loss of funds, loss of sponsoring agency confidence)

Business (significant disruption to the unit or organization’s ability to operate)

**Administrative Policy**

Responsible Officer(s): Name, Title

Name, Title

Policy Owner(s): Name, Title

Name, Title

Primary Contact(s): Name, Title

**Background**

Provide some history and current information on the policy and the programs for minors, including:

* A brief summary of the governing policy;
* Statistics, if available;
* How this risk area has rated in the past; and
* Other historical information that might assist an average reader with knowing how we got to this point and how the program/risk areas is doing today.

**Findings from the CRA Review**

Provide key findings (both positive and negative) from the review, after reviewing the responses from the compliance specialist and reviewing any requested documentation.

**Opportunities for Improvement**

List the opportunities to improve the process or oversight of the program here. Provide a date/date range by which the opportunities should be addressed, if applicable.