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:

[x]  Health and safety (sustain injury or loss of life)

[x]  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.