*Note: Please use the following form once per compliance risk.*

**Description:** Describe your implementation of the Federal Sentencing Guidelines to fulfill the metrics established for each compliance risk identified.

**Compliance Risk**

**1. Established Standards and Procedures**

For example: Provide the name and location of the standard and/or procedure established to prevent and detect the identified risk.

**2. Oversight and interest by high level institutional personnel**

For example: Provide a list of all individuals, including their titles, who are participating in the risk mitigation process.

**3. Adequate Education and training of those responsible**

For example: List any educational requirements for the individuals responsible for oversight of the risk mitigation process. Additionally, list any training provided or available to those individuals.

**4. Effective Lines of Communication to report compliance issues**

 For example: Identify all persons in chain of communication that are aware of the identified risk.

**5. Consistently Enforce Standards through Discipline**

For example: List any disciplinary measures and/or actions that have been implemented as a result of the identified risk.

**6. Internal Monitoring of Compliance Programs**

For example: List any risk mitigation techniques currently in place and/or those developed as a result of the identified risk.

**7. Appropriate Response and Corrective Action Plans**

 For example: List the response and time frame identified for implementing a plan of action.

**8. Conduct periodic risk assessments**

For example: Please list any plan of action that recognizes periodic reviews as a way to identify and monitor the high risk area.

**Discuss any impediments and/or unforeseen issues that have arisen that will** **prevent or slow the process to reach your goal regarding this risk.**

**Identify any resources needed to reach this goal.**

**Additional Comments**

Submitter’s Name

Submitter’s Signature Date