ERO Enterprise’s Risk-Based Compliance Monitoring and Enforcement Program
Risk-Based Compliance Oversight Framework

- Registered Entity Functions
- ERO & Regional Characteristics
- Events
- RISC

Risk Elements

 IRA

ICE

CMEP Tools

Inherent Risk Assessment
Internal Controls Evaluation
Oversight Tool Selection

Scope and Focus for Entities not participating in ICE

Initial Scope
Scope
Focus

Input
Enforcement Process Flow

1. **Risk and Control Assessment Input**
2. **Triage**
   - Audit, Spot Check, Etc.
   - Log, Self-Report, Self-Certification
   - Record Compliance Exception
3. **Enforce**
   - Feedback to Risk and Controls Assessment