



UNIVERSITY of WASHINGTON

FY2021 Annual Review Narrative Survey

Unit Name: Compliance and Risk Services

Programmatic & Academic Vitality Narratives

- 1) Have you made any changes to your unit's annual budget development process from the response provided last year? If yes, please briefly describe the changes you've made to your unit's annual internal budget development process. If no, please answer with a simple, "no changes." Word Limit: 500**

Yes. With the hiring of the new Executive Compliance and Risk Officer and the reporting change of Compliance and Risk Services (CRS) from the Provost to the President, CRS is aligning its budget to Executive Office practices. We are creating budgets and processes designed to better manage CRS operations, insurance operations and premiums, and related budgets. New CRS resource requests will be made through the Provost Reinvestment Fund process.

- 2) Have you made any changes to your unit's strategic plan in the past year? If yes, what are 3-5 key elements of your unit's new/revised strategic plan? If no, please comment on the progress you've made in 3-5 key areas of your strategic plan. Word Limit: 500**

Yes. Elements of our FY2021 plan include:

- Deliver results in key areas of: Title IX, ADA, cybersecurity, and risk financing
- Develop a new University-wide compliance and risk management structure and reporting
- Create regular reporting to and consultation with University partners on claims, risk financing, and compliance areas

- 3) What major obstacles or institutional barriers currently do, or will, hinder execution of your strategic plan? What are you doing to address these challenges? If no changes from your response to either component of this question from last year, please answer "no changes": Word Limit: 250**

The success of our work plan depends on support from the Executive Office and collaboration from our partners. While we do not anticipate significant challenges in these areas, a lack of support or collaboration would hinder execution. We are addressing this by demonstrating transparency in decisions large and small, and by focusing on engagement with leaders and partners to achieve the best results for the University.

- 4) Over the next year, could any of your planned strategic activities result in material changes to revenues or expenditures, faculty or staff workload, or the student experience within your unit/campus and/or another unit/campus? Word Limit: 500**

Yes. Based on FY2021 work plan goals, we anticipate resource requests to support the enterprise-wide compliance and risk management functions and reporting. We will assist in some coordination or prioritization of University requests for ADA-related needs; those will include significant requests from other campus units.

- 5) What is your unit doing to effectively use or redeploy resources in a way that benefits your unit/campus and/or other units/campuses? Word Limit: 500**

CRS serves the University through its risk financing, claims, and compliance functions; one of the most effective is through prevention programs and proactive coordination of risk areas. The risk financing team works with campus partners to fund insurance coverage in a cost-effective manner, and the claims unit manages claims and litigation against the University by vigorously defending or expeditiously settling matters.



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- 6) For UW student facing units, what are you doing to improve the experience and outcomes of students on your campus or in your unit? What could the University do to support your efforts? *Word Limit: 500, Leave blank if N/A*