

Administrative Unit Name: Compliance & Risk Services (Provost Unit)

Please complete this Word document and the accompanying [Excel workbook](#), and submit them to the Office of Planning & Budgeting on or before **Friday, November 20**. Please email your materials to [Becka Johnson Poppe](#).

1. In spring 2015, Provost Baldasty initiated the Transforming Administration Program (TAP), which encompasses all central administrative units and focuses on fulfilling the need for greater collaboration, clear priorities, increased accountabilities, and elimination of unnecessary bureaucracy and redundancies.

Within a **500 word bulleted list**, please answer both of the following questions:

- **List 3-5 things your unit is doing to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service. Please be specific.**
 - **In what ways (if any) could your unit leverage activities of other central administrative units to increase efficiency within your unit and/or to streamline activities across the UW? Are there areas of overlap between your unit and another that prompt closer collaboration?**
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Compliance and Risk Services has implemented the Compliance Support Program (Project 1.8 on the 15-16 TAP Goals) to streamline administrative services. The Compliance Support Program will increase the effectiveness of compliance related efforts across campus through coordinated committee oversight, prioritized compliance risk mitigation activities, and improved communication with Regents and campus leadership. Specific activities for 2016 include:

- *Compliance assessments in six UW-wide subject areas*
- *Customized education and training programs*
- *Project management and process improvement services*
- *Coordination of compliance strategy with Internal Audit and the Attorney General's Office*

Specific Compliance & Risk Services activities to increase efficiencies and streamline activities across the UW include:

- *Providing support services to campus partners to build capacity and expedite service delivery such as:*
 - *Loaning training and education specialists to create new training in focus areas, such as faculty and staff training such as for sexual assault, stalking, relationship violence and domestic violence.*
 - *Providing transitional workspace for new Director for Safety of Minors position created in Undergraduate Academic Affairs*
- *Collaborate with Academic HR, Faculty & Staff HR and the Ombuds Office to offer annual employment liability prevention seminar.*
- *Closer collaboration with HR (upper campus and internal units) in assessing and implementing the most efficient handling of employment discrimination complaints falling within Executive Order No. 31 and as consistent with APS 46.3's goal of resolving concerns at the lowest levels*

2. In 200 words or fewer, please identify plans to adapt functions and services to support changing institutional needs in FY17.

Compliance and Risk Services will support institutional needs identified by the Sustainable Academic Business Plan in the following areas:

- *Collaboration – Continue to work with interdisciplinary groups across the institution on creative partnership agreements and technology transfer;*
- *Fiscal and Environmental Sustainability – Effectively steward UW financial resources by adapting coverage programs to the global enterprise, responding to changes in the claims environment resulting from Accountable Care Organizations, and expanding the successful HMC return to work program to other units. Create new revenue sources for campus development from third party recoveries and historic pollution policies;*
- *Operate more effectively and efficiently- Continue the transition to electronic record keeping to support to support the UW’s goal of eliminating paper processes and enhance business continuity;*
- *Awareness of changing student expectations – Adapt student insurance plans to respond to the changing US insurance marketplace and the increasingly international student population.*

3. Please identify any significant obstacle(s) or challenge(s) that your unit faces other than resource constraints. Please plan to discuss these with the Provost. If applicable, please summarize any operational risks that, from your perspective, the UW must work to mitigate over time.

- *Lack of a centralized learning management system complicates documentation of University compliance training for regulators and makes oversight of operational training requirements more difficult for all supervisors, including faculty.*
- *RCW28B10.660 and HCA regulations create health insurance coverage gaps for UW employees working and traveling overseas.*
- *Outdated assumptions about state resources available for post-earthquake recovery undermine UW’s sustainability goals.*

4. Though the Provost will soon be laying out requirements for FY17 merit increases, administrative units should begin to plan for a merit allocation equivalent to 90-95 percent of GOF/DOF merit pool. In other words, units should plan to receive less funding than may be necessary for a full merit increase, on average, for all GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy funds for merit increases in FY17.**
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Compliance & Risk Services is funded on a cost-center model. Estimated merit increases will be included in annual administrative fee analysis so that charges will cover anticipated costs.

5. As you may recall, in the summer of 2014, the UW was the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. The audit reinforced the importance of monitoring expenditures against budgets on a biennial basis, ensuring that colleges, schools and administrative units have plans to spend fund balance in a reasonable and mission-driven manner and that these plans are acted upon.

As such, **we ask that you update the carryover usage plan you submitted as part of last year’s budget development process.** To do so, please **fill out the “Carryover Worksheet - Detail” tab** of the “FY17 Administrative Budget Worksheets & References” [Excel workbook](#) using:

- **The carryover plan you submitted last year, as a starting point, modified as needed.** If you need a copy of the plan you submitted last year, please email [Amy Floit](#) or [Becka Johnson Poppe](#).
- **New reserve figures**, as provided in the “Reserve Figures” tab of the aforementioned spreadsheet.
- **New carryover totals**, as provided in the “Carryover into FY16” tab of the aforementioned spreadsheet.

In the space below, please describe and explain any major change(s) to your carryover usage plan.

No carryover from GOF/DOF. All expenses drawn from the cost center which is budgeted to actual and projected.

6. The Provost will be making the decision to deploy *permanent* Provost Reinvestment Funds **primarily, if not exclusively, to cover for compensation increases. The only possible exceptions for permanent funds will be for critical compliance issues.** However, requests for temporary funds will only be entertained in areas of high institutional priority and in consultation with faculty, staff and students.

If you have a Provost Reinvestment Fund request that fits within these strict parameters, please describe it using the framework below.

No request for Provost Reinvestment Funds needed.