

UC ANR - Cooperative Extension Risk Assessment (conducted 2002)

Risk Rank	Risk Category	General Risk Description
1	Staff - Workload/Stress/ Administrative Burden	The risk, or consequences, associated with administrative burdens that range from having little time for programs, through stress and burnout, to losing community and family support.
2	Volunteers - Managing Volunteers	The risk associated with inadequate oversight over the actions of volunteers.
3	Safety of Clientele, Volunteers, Public	Risk of not providing a safe environment to reduce potential danger in the activities of Cooperative Extension to clientele, volunteers and the public.
4	4-H - Youth Injury Prevention & Safety	Risk associated with the need to ensure the safety and protection of children involved in 4-H activities. Risks identified range from preventing physical injury to avoiding exposure to alcohol and drugs (see also Risk: Safety clientele, Volunteers & Public)
5	Staff – Training	Risk associated with inadequate staff training falls into two general areas: (1) support staff (field staff, paraprofessionals) are put at risk (or put others at risk) because they are inadequately trained; (2) UCCE academic staff, especially CDs, are not trained adequately to deal with the multifaceted aspects of their jobs.
6	4-H – Volunteer Activities	The activities, responsibilities and judgments of the volunteers involved in 4H can create uncontrolled risk (see also Risk: Volunteers – Managing Volunteers <u>and</u> 4-H – Volunteer & Community Reactions/Complaints)
7	Safety in Program Delivery	Not developing, monitoring, and maintaining safe practices and procedures to promote safety in day-to-day activities when delivering and conducting Cooperative Extension programs and research. The risks include injuries to people and damage to property.
8	Staff - Management of	The risk associated with the management of staff divide into three general areas: (1) The individual characteristics of staff members which create management problems; (2) The lack of knowledge, training, and resources for supervisors in the area of human resources policy and management techniques; and (3) Organizational circumstances that exacerbate staff management issues.
9	Internal Information & Communication	Internal information/communication issues are an identified area of risk, whether this be lack of information transmittal/availability within ANR/CE, communication obstacles with county governments, or misinformation at the individual level between UCCE staff members.
10	Volunteers - Training & Communication	The risk associated with limited training and information/communication for volunteers.
11	Staff - Staffing Levels	The risk associated with inadequate staffing levels, which is divided into two categories: (1) risk associated with not filling vacant positions promptly and (2) risk associated with diminished resources.
12	Staff - Policy & Procedure	The risk that are associated with policy and procedure derived from (1) lack of compliance of UCCE staff with ANR CE policies and procedures and (2) lack of direction and/or consistency from ANR Administration.
13	Financial Account Management	The risk associated with the absence or inadequacy of fiscal oversight, accountability and control. Noncompliance with financial and related administrative policy, processes and procedures.
14	4-H - Asset Protection	Volunteer control over 4-H assets constitutes a risk because of poor management and lack of access by UC to accounts (see also Risk: Volunteers – Managing Volunteers).

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15	Agreements, Contracts & Grants	The risk that collaborative relationships and activities are not adequately supported by formal agreement. In instances where formal agreements do exist, the associated risk of non-compliance to the terms and conditions.
16	Information - Reliability, Validity & Requests	The risk associated with the quality of information given by UCCE staff and volunteers, requests for information by clientele, and knowledge of illegal activity by staff are all seen to be serious liabilities, which could have legal implications. (also see Risk: Information – Confidentiality).
17	4-H Volunteer & Community Reactions/Complaints	The risk associated with dealing with disgruntled volunteers and other members of the local community (see also Risk: Volunteers – Managing Volunteers).
18	Safety in the Workplace	Risk of not providing a safe work environment to reduce personal threats during the activities of Cooperative Extension.
19	Volunteers - Attracting & Retaining volunteers	The risk of relying too heavily on volunteers or not attracting and retaining volunteers to support the mission of ANR programs.
20	4-H - Events	The potential risk to 4-H youth at 4-H events (see also Risk: 4-H Youth Injury Prevention & Safety and Risk: Food Safety & Alcohol)
21	Chemicals & Pesticides	Risk associated with the use (or advice rendered concerning the use) of chemicals, pesticides, and related toxic materials.
22	Funding – Fundraising Concerns	The risks and liability associated with overly creative fund raising under name of UC (See also Risk: 4-H Events).
23	Funding - Sources, Donors, Funders	Risk derived from the potential for donor expectations affecting the quality of programming, the uncertainty and insecurity of relying on “soft money,” and the nature of the competition for this money. The resulting risks range from loss of quality of CE research and extension activities to loss of future funding and the reputation of UC.
24	ANR/CE's Identity	The risk associated with ANR/CE losing its identity and relevance to clientele, the University, and supporting governments, in part due to lack of organizational cohesiveness and lack of responsiveness to clientele needs.
25	Food Safety and Alcohol	The risk associated with serving food and alcohol at University-sponsored events.
26	Information - Confidentiality	The needs for confidentiality and restrictions on research information by sponsors are two types of risks that relate to this keyword. First, there is the risk to UCCE and to collaborators of not being able to ensure confidentiality of research findings. Second, there is the risk associated with compromising research potential because of the requirements of some sponsors. (also see Risk: Information – Reliability, Validity & Requests).
27	Discrimination	Violation or noncompliance in any manner or form with ANR policy pertaining to equal opportunity and nondiscrimination: <i>“The University of California prohibits discrimination against or harassment of any person on the basis of race, color, national origin, religion, sex, physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or status as a covered veteran (special disabled veteran, Vietnam-era veteran or any other veteran who served on active duty during a war or in a campaign or expedition for which a campaign badge has been authorized)”</i> . Includes all forms of harassment, hostile work environments, and related areas. Risk includes noncompliance to all applicable Federal and State laws.

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28	Representation of ANR/CE by Others	Risk that is associated with county employees or UCCE volunteers who present themselves as representing, or speaking for, the University. As these individuals are not always totally aware of University procedures, practices, or protocol, this misrepresentation is an area of exposure.
29	County vs. UC Expectations	The risk associated with conflicts between University policies and County policies, each carrying a set of expectations that can cause conflict. The conflicts occur in areas such as employment practices and fiscal policies, creating a risk of losing financial support and local clientele.
30	Property	Category encompasses all risks and liabilities associated with property. Includes damage/loss of UC or cooperator's property. Also includes the liabilities associated with the use of property, in particular non-UC property, to conduct research and deliver programs.
31	Food chain (Environmental) Contamination	Contamination of the food chain, or other environmental damage, resulting from UCCE activities, in particular, applied research.
32	Program Management	The risk associated with research and program activities, including the risk that research and/or program objectives are not achieved.
33	Funding – Restrictions on Research	The risk associated with sponsor/donor expectation and restrictions on research results.
34	4-H – Viability	The risk of the 4-H program not growing, developing and serving the community.
35	Disaster Preparation	The risk associated with lack of planning and preparation for both natural and unnatural disasters. Category includes adequate planning for a response to suspected terrorist activity.
36	Advisor Activities	Advisors are agents of UC and function in an independent “advisory” capacity with external constituents. Primary risk is the degree and extent to which independence can be breached.
37	Co-operators	The risk of attracting and retaining research cooperators and the damage to our reputation when we do not properly communicate advice and research results.
38	Competition	Risk of competing in program delivery with organizations such as CSU or non-research based agency programs for similar clientele.
39	USDA Interactions	USDA and UCCE mission/mandates regarding program directions are not always compatible, resulting in the risk of mixed expectations from clientele and possible funding insecurity.
	Budget Reductions (new risk, 10-03-02, NOT Prioritized)	The risk to the UCCE organization and administration of its programs that results from permanent and mandatory budgetary reductions, including impact on administrative workload burden, services to clientele, administrative support, morale, staffing, competition, sustainability, and strategic planning.