

UC ANR - Research Extension Centers Risk Assessment
Risk and Mitigation Responses with Action Plan

Item #	Risk	Risk Summary	Risk Mitigation Responses	Next Steps/Action Items	Owner	Priority [1]	Status	Status Details
1	Funding	Reduction of available funds from internal and/or external sources	Multi-year budget planning (better planning opportunity)	1. Each center to implement multi-year budget plans. REC/AO Centers.	Bill Frost and Center Directors	Quick Win		too late for current year budget but look to 11/12, 12/13. ID unmet needs for Bill's attention
2	Funding	Reduction of available funds from internal and/or external sources	Evaluate recharge rates and ensure that rates match actual costs. Communicate changes well in advance (9 months or more) so researchers have time to incorporate into grants.	1. Review of rates is now consistent. Communication is a quick win. 2. Continuing training with the Center Leadership and improve communication with the researchers. Post rates on website as they are updated.		Quick Win		Some Centers are experiencing decrease in recharge hours used - partially due to rate? Partially due to drop in research funding to PI.
3	Funding	Reduction of available funds from internal and/or external sources	Lease income from outside sources such as cell towers.	Prepare report which assesses opportunities for adding cell towers. In some locations, additional coverage is warranted from a safety perspective.	Bill Frost/ Shawn Tibor/ Karen Ellsworth Catherine Montano	Quick Win	In Progress	Lease function has transitioned to Director of Admin. Policy and Business Contracts. Template contract has been initiated - increase efficiency. Negotiating increase in lease rates as contracts are renewed.
4	Funding	Reduction of available funds from internal and/or external sources	Internal: Market/communicate value of research at centers to campus, potential PI's and stakeholder groups	1. Need marketing materials for each facility. Need to recruit new researchers (once they start, they stay). Develop a marketing template. Work with Communication services. 2. Use 3-yr RAC reports to share successes in format like UC Delivers. Explore the potential for a REC Center annual report.	Bill Frost and Center Directors	Quick Win	In Progress	discussed at REC Directors meeting 9/28/2010
5	Funding	Reduction of available funds from internal and/or external sources	Reducing travel cost via webinar	Utilize whenever appropriate. Provide training with whatever communication is appropriate (i.e., webinar, adobe breeze, etc.).	Coordinate with Communication Services Thor Benzing can help demonstrate existing webinar tools.	Quick Win	Complete	Initiated use of webinars for numerous meetings.
6	Funding	Reduction of available funds from internal and/or external sources	Reduce fleet vehicles	Currently evaluating current vehicle fleet status. Each center to evaluate their fleet.	Darrin Ogletree & Center Superintendents	Quick Win	In Progress	ongoing process. Centers getting rid of old vehicles and evaluating replacements. Some have purchased electric carts for on-center use. Some incentives available for replacing gas vehicle with electric carts.
7	Funding	Reduction of available funds from internal and/or external sources	Consolidation of support units. Resource sharing/cooperation	This process is now being done centrally. Explore possibility of looking at efficiencies internally.	Joni Rippee	L/T Priority	Complete	Support unit consolidation has been occurring - i.e. REC AO staff transferred to Staff Personnel Unit, Business Ops Center

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8	Funding	Reduction of available funds from internal and/or external sources	Sharing resources and combining buying power. This would cause for greater communications between centers to reduce costs by purchasing in volume and reducing expenses by sharing certain resources. One center may have an expertise or specialized skill that can benefit other centers.	Currently looking at coordinated purchases. Need centralized facilitation and encouragement. Look at the possibility of centralized purchasing when appropriate.	Bill Frost Joni Rippee	Quick Win		
9	Funding	Reduction of available funds from internal and/or external sources	Interest in alternative energy sources (wind, solar) but roadblock has been ability to find matching fund programs for which eligible	1. Need a "alternative energy" champion with purview over entire organization. Do a systemwide assessment for wind and power alternative energy. 2. Explore what resources UC has to conduct a assessment and assist with development. (UCOP Faculties).	Jake McGuire and Brian Oatman to find systemwide resources and forward to Bill Frost and Shawn Tibor	L/T Priority	In Progress	McGuire and Oatman met with Dirk VanUlden - Associate Director, Energy Utilities at UCOP. Need more detail on scope of potential projects at KREC, etc.
10	Funding	Reduction of available funds from internal and/or external sources		Energy Use - Evaluate current energy use at each center and develop strategies for efficiency/reduction. Energy audit is underway.	Shawn Tibor/ Bob Ray	L/T Priority	In Progress	Bob Ray has completed evaluation and submitted recommendations for Desert, Kearney, Lindcove, and West Side RECs
11	Funding	Reduction of available funds from internal and/or external sources	Partnership with private industry to meet some of our needs (Commodity Boards).	Develop approach to utilize with appropriate industries.	Bill Frost Center Directors	L/T Priority		
12	Strategy	Ability of ANR management to identify, understand, adopt and implement required strategic change	Think in terms of 5-10 years rather than current year	Continue to do strategic planning	Bill Frost and Center Directors	Quick Win		REC strategic planning should align with ANR Strategic initiatives
13	Strategy	Ability of ANR management to identify, understand, adopt and implement required strategic change	Identify REC strengths (facilities, crops, and location) and align them with strategic initiatives and UC ANR system-wide research needs	Complete an assessment of facilities, crops, research areas and include into communication plans being developed.	Bill Frost and Center Directors	Quick Win		tie to communication plan (marketing) action item below
14	Strategy	Ability of ANR management to identify, understand, adopt and implement required strategic change	Need to project org and operation 5 - 10+ yrs in the future to be truly strategic	Strategic planning is good. Now need to step back and look at types of LT strategic changes that can be made at the system-wide level.	Bill Frost and Center Directors	L/T Priority		

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15	Communication/ Outreach	Failure to develop and articulate a clear strategy to internal and external stakeholders	Communication plan and implementation	Need to establish a communication plan. Need directors, superintendents and office managers (plus Comm Services) participate in a meeting to 1) establish strategy/plan, 2) develop list of marketing deliverables to be developed, and 3) Methods for disseminating information (web/ social media/ email campaign etc). Development of any communication and marketing materials will be in alignment with the Strategic Vision.	Bill Frost to lead/initiate process, Participation by Center Directors, Superintendents, Office Managers	L/T Priority	In Progress	item was on agenda for REC Directors meeting, day 2 (9/29/2010). Discussed approaches to implement plan.
16	Resources	Lack of administrative support, staffing or facilities (including equipment, tools and maintenance)	Budget flexibility, e.g. Ability to carry forward funds for larger equipment or facilities.	Process is already in place. "Use it or Lose it" was a short term tactical policy to address large shortfall. Not an on-going practice.	N/A (Complete)	Quick Win	Complete	OMP funds carry forward, but AES funds did not
17	Resources	Lack of administrative support, staffing or facilities (including equipment, tools and maintenance)	Revitalization of the FEPP program. Will enable use to acquire equipment and supplies in a cost effective manner.	Position has been filled and is now seeking equipment to meet Centers' needs	Darrin Ogletree, with interaction with Center Directors & Superintendents	Quick Win	Complete	Ongoing program, Darrin is working with all Centers to ID and fulfill needs.
18	Resources	Lack of administrative support, staffing or facilities (including equipment, tools and maintenance)	Consolidating and reviewing staff members' position descriptions and identifying overlapping job skills.	When filling or updating positions, consider sharing of staff with specific skills across multiple Centers.	Center Directors, Superintendents, Office Managers with support from REC/AO	L/T Priority	In Progress	Directors reported some challenges with HR (campus?) at first, but better now. Hard to share staff when spread so thin. Could develop survey to capture existing skills. Start with circulating a list of needed skills to Superintendents. Bob Ray offered to review small projects for code compliance (electrical).
19	Resources	Lack of administrative support, staffing or facilities (including equipment, tools and maintenance)	Use of volunteers for facilities projects.	Conduct analysis of appropriate use of volunteers. Need to consider safety and risk management concerns and ensure that policies, procedures and other controls are implemented.	Shawn Tibor, Brian Oatman, Jake McGuire	L/T Priority	Complete	Not a desired program. Based on discussion with Superintendents, this is only an issue at Hansen
20	Resources	Lack of administrative support, staffing or facilities (including equipment, tools and maintenance)	Utilize on line training or bring training to people in remote locations.	Identify training needs and explore resources for onsite training, groups, campus training, and online tools. Include in individual training development plans.	REC Superintendents, Office Managers, and Joni Rippee	L/T Priority		
21	Staffing	ANR may not be able to attract and/or retain qualified staff	Have a staffing plan based upon future needs and realities -- leverage ANR HR office expertise to develop and execute plan	Develop Center Staffing Plans that will be reviewed on a staggered 5-year basis	REC Directors, Office Managers, Superintendents working with Karen Ellsworth & Staff Personnel Unit (SPU)	L/T Priority		

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22	Staffing	ANR may not be able to attract and/or retain qualified staff	Staff continuity planning. Hire key replacements prior to departure of outgoing individuals.	1. Develop Center Staffing Plans that will be reviewed on a staggered 5-year basis. 2. Document Center practices in an operations Manual.	REC Directors, Office Managers, Superintendents working with Karen Ellsworth, SPU, and Joni Rippee	L/T Priority		
23	Staffing	ANR may not be able to attract and/or retain qualified staff	Write position descriptions that accurately reflect actual job duties, have them placed in proper classification.	Review/update Position Descriptions. Plan to take one center at a time to help them make changes.	REC Office Managers, Superintendents working with Karen Ellsworth and SPU	L/T Priority		
24	Research Quality	Lack of consistent quality review and oversight of research	Develop more centralized, simpler answers to range of compliance questions - post on web as a UC starting point for decisions	Develop and post FAQs Also see items 28 and 30 in Compliance	EH&S, Superintendents Others	Quick Win	Not Started	
25	Research Quality	Lack of consistent quality review and oversight of research	Update the ANR website/ REC web site to include all areas of procedures	1. Reconstruct the REC Website. 2. Provide links to current ANR and REC-specific procedures and relevant websites.	Deb Driskill, Thor Benzing, REC Office Managers	Quick Win	Complete	website has been updated. Continuing to refine.
26	Research Quality	Lack of consistent quality review and oversight of research	Look for ways to fund SRA-level work to meet data collection requests that are becoming more common for many projects	Evaluate system-wide	Bill Frost, REC Directors	L/T Priority	In Progress	item was on agenda for REC Directors meeting 9/28/2010
27	Research Quality	Lack of consistent quality review and oversight of research	Need consistent communication between Center and Researchers to assure Center staff understand and can meet Researcher expectations.	1. Develop process or training to improve two-way communication between researchers and Center staff. 2. Expect researchers to come to Center at least once per year.	Bill Frost to lead/initiate process, Participation by Center Directors, Superintendents, Office Managers	L/T Priority	In Progress	RECs should send periodic (weekly?) reports to PI (DREC does this).
28	Compliance	Failure to understand, communicate and adhere to applicable rules and regulations	Develop an "instruction manual" where major compliance issues can be reviewed easily	1. Develop EH&S Orientation training for staff, visiting researchers, volunteers. 2. Review Land Labor and Facilities questionnaire to determine if additional compliance information required.	EH&S: Richard Smith lead on EH&S orientation training. Brian Oatman lead on EH&S compliance questions	Quick Win	In Progress	Richard Smith has developed draft of comprehensive safety orientation training. Post training in 2Q12
29	Compliance	Failure to understand, communicate and adhere to applicable rules and regulations	More Spanish information	Poll Superintendents about which documents would be helpful to translate.	Brian Oatman	Quick Win	Complete	Discussed at Supt. Meeting. Compiling list of translated documents. Need to review/post backlog of translated docs
30	Compliance	Failure to understand, communicate and adhere to applicable rules and regulations	Develop a web based RECs compliance handbook	Develop a web-based RECs compliance handbook, with "Executive checklist" for Directors	EH&S	Quick Win	Not Started	

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31	Compliance	Failure to understand, communicate and adhere to applicable rules and regulations	Make EH&S website and staff accessible	Link EH&S website to RECs for easy access and put on each REC's website.	Deb Driskill, Support from T. Benzing to get started in Site Builder Office Managers	Quick Win	Complete	"Go to" link at top of REC webpages.
32	Compliance	Failure to understand, communicate and adhere to applicable rules and regulations	Sharing best practices between units	1. Make email list a collaborative tool so responses can be shared with the group rather than one way to EH&S. 2. Training on ways to use the collaborative tools for sharing best practices.	EH&S (Brian Oatman)	Quick Win	Complete	Safety Coordinator list is on Collaborative Tools - there have been productive discussions of topics of concern to REC and CE coordinators.
33	Compliance	Failure to understand, communicate and adhere to applicable rules and regulations	Identification of final decision authority on any particular rule or regulation or policy interpretation	Identify policy subject matter owners in any administrative handbook policies.	Catherine Montano Jake McGuire	Quick Win	Complete	Updated policies contain a subject matter contact person.
34	Compliance	Failure to understand, communicate and adhere to applicable rules and regulations	REC System needs an advocate to work with UC Davis and UCOP during development/revision of policy or procedures.	ANR needs to be proactive and have representation on work groups when UCD/UCOP are developing new policies or processes.	Jake McGuire Bill Frost Joni Rippee Brian Oatman Karen Ellsworth	L/T Priority	In Progress	ANR is well-represented on system-wide or campus committees.

Note:

[1] 'Quick Wins' are defined as those risk mitigation responses that management believes can be easily achieved/implemented within the ANR REC group within six months.