

Presentation Order	Issue Category	Average Score	Risk Statement	Risk Summary	Manifested Risk	Policy References	Presentation Order	Score	Survey Number	Risk Statement	Manifested Risk/ Outcome	Preliminary Policy Reference	Quick Win	Long Term Critical Path
1	Funding	12.72	Reduction or restriction of available funds as a result of one or more of the following: - Reduced funding from internal or external sources - Increased costs - Lack of effective budgeting process - Inappropriate recharge rates - Administrative policies that restrict ANR's ability to use funds efficiently	Reduction of available funds from internal and/or external sources	Flat or decreasing revenue may result in failure to meet strategic goals and/or harm to reputation.	580 II D, E and Recharge Policy Section 291	1.1	15.20	8	Insufficient funding, from internal and external sources to maintain REC operations, while facing increased costs, may impact RECs' ability to meet its strategic goals.	Failure to meet strategic goals			
							1.2	11.39	7	Lack of an effective and transparent budgeting process, aligned with the overall REC Strategic Planning process may impact RECs' ability to meet its strategic goals.	Failure to meet strategic goals, loss of revenue and/or reputation	580 II D, E		
							1.3	13.69	10	Lack of consensus or clarity on what level of subsidy is appropriate in establishing recharge rates may impact the RECs' ability to recover costs or attract researchers. If rate is too low, then costs are not fully recovered and REC operations may suffer. Higher rates could be a source of funds for REC operations, but may alienate some researchers.	Loss of revenue	Recharge Policy Section 291		
							1.4	10.61	20	University administrative policies and processes may impact RECs' ability to use funding and conduct operations as efficiently and effectively as possible.	Failure to meet strategic goals, loss of revenue and/or reputation			
2	Communication/Outreach	12.26	Failure to develop and articulate a clear strategy to internal and external stakeholders. Specifically: - Failure to communicate the strategy external stakeholders - Failure to communicate the strategy and purpose internally - Lack of representation in the community - Lack of communication between RECs, researchers and Cooperative Extension may result in miscommunication and frustration	Failure to develop and articulate a clear strategy to internal and external stakeholders	Failure to meet strategic goals, loss of revenue and/or reputation	580 II B, D, E	2.1	12.63	3	Lack of a well documented and communicated strategy articulating purpose, vision and importance of REC system may negatively impact the RECs' funding, operations, and ability to attract researchers.	Failure to meet strategic goals, loss of revenue and/or reputation	580 II B, D, E		
							2.2	13.05	1	Lack of effective communication with external stakeholders may result in lack of understanding and support towards the REC mission.	Failure to meet strategic goals, loss of revenue and/or reputation	580 II B, D, E		
							2.3	13.46	5	Lack of effective internal (ANR and UC) communication and marketing of RECs to build awareness of abilities and develop positive reputation among administration and potential research users may result in misunderstanding of RECs' abilities, capabilities, or purpose or may impact the RECs' reputational standing within the UC system.	Failure to meet strategic goals, loss of revenue and/or reputation	580 II B, D, E		
							2.4	11.66	2	Lack of representation within the community/region and lack of understanding of its needs may result in inability to address problems and strengthen relationships.	Failure to meet strategic goals, loss of revenue and/or reputation	580 II B, D, E		
3	Strategy	12.24	Ability of ANR management to identify, understand, adopt and implement required strategic change due to economic conditions, compliance requirements, or research opportunities may result in ineffective execution of strategy or inability to take advantage of opportunities.		Failure to meet strategic goals, loss of revenue and/or reputation	580 II B, D, E	3	12.24	4	Ability of ANR management to identify, understand, adopt and implement required strategic change due to economic conditions, compliance requirements, or research opportunities may result in ineffective execution of strategy or inability to take advantage of opportunities.	Failure to meet strategic goals, loss of revenue and/or reputation	580 II B, D, E		
4	Resources	11.86	Lack of administrative support, staffing or facilities (including equipment, tools and maintenance) may impact the RECs' ability to conduct and deliver quality research.	Lack of administrative support, staffing or facilities (including equipment, tools and maintenance)	Failure to meet strategic goals, loss of revenue and/or reputation	580 II D, E	4.1	12.62	9	Lack of proper facilities, equipment, tools and maintenance may impact the RECs' ability to conduct and deliver quality research.	Failure to meet strategic goals, loss of revenue and/or reputation			
							4.2	12.95	11	Insufficient staffing to maintain REC operations at expected levels of service and align staffing with strategic objectives may impact RECs' ability to conduct and deliver quality research.	Failure to meet strategic goals, loss of revenue and/or reputation	580 II D, E		
5	Staffing	10.66	ANR may not be able to attract and/or retain qualified staff as a result of: - Inefficient recruitment policies - Compensation policies - Inability to take necessary personnel action due to poorly defined roles and responsibilities - Low employee morale	ANR may not be able to attract and/or retain qualified staff	Inability to attract and retain top talent. This may result in failure to meet strategic goals, loss of revenue and/or non-compliance resulting in injury or catastrophic events.	602 II and 580 II D, E	5.1	10.86	12	Inefficient recruitment policies and practices may impact RECs' ability to attract and hire qualified staff.	Inability to attract and retain top talent. This may result in failure to meet strategic goals, loss of revenue and/or non-compliance resulting in injury or catastrophic events.	602 II		
							5.2	12.52	13	Compensation policies and practices make it difficult to reward and retain employees for good performance.	Inability to attract and retain top talent. This may result in failure to meet strategic goals, loss of revenue and/or non-compliance resulting in injury or catastrophic events.	602 III		
6	Research Quality	10.43	Lack of consistent quality review and oversight of research being conducted at the RECs may impact quality of research, resulting in loss of credibility, loss of field research and negative impact to reputation.	Lack of consistent quality review and oversight of research	Failure to meet strategic goals, loss of revenue and/or non-compliance resulting in injury or catastrophic events.	580 II C, V	6.1	12.61	18	Loss of field researchers (Principal Investigators, Specialists, Advisors, etc.), resulting in less research at Center.	Failure to meet strategic goals, loss of revenue and/or reputation			
							6.2	9.02	6	Lack of consistent quality review and oversight of research being conducted at the RECs may impact quality of research, resulting in loss of credibility and negative impact to reputation.	Failure to meet strategic goals, loss of revenue and/or non-compliance resulting in injury or catastrophic events.	580 II C, V		
7	Compliance	9.64	Failure to understand, communicate and adhere to applicable rules and regulations, including: - Failure to identify and notify REC managers of relevant compliance obligations - Failure to apprise researchers of safety and other compliance requirements - Failure to properly record time and expenses	Failure to understand, communicate and adhere to applicable rules and regulations	Non-compliance could result in reimbursement of funding, fines, loss of future program funding or liability related to injury or catastrophic event.	EH&S Office Communication, EH&S Procedures & Guidelines and 580 IV	7.1	9.12	21	Lack of an effective process to identify and communicate applicable laws and regulations to REC managers may result in violations and fines.	Non-compliance could result in reimbursement of funding, fines or loss of future program funding.	EH&S Office Communication		
							7.2	9.19	24	Challenges in defining compliance issues and providing guidance in disseminating information to the public and local community. Incomplete or inappropriate information may result in loss of credibility and negative impact to reputation within the research community and within the UC System.	Failure to meet strategic goals, loss of revenue and/or reputation			
							7.3	9.96	23	Lack of policies, procedures, or guidelines to inform researchers (Pis), advisors and staff (CE or campus) of safety requirements and their roles and responsibilities when working at RECs may lead to injury, damage, or non-compliance with regulations resulting in fines or penalties. Also need tools to enforce these standards when visitors do not comply.	Liability related to injury or catastrophic event	EH&S Procedures & Guidelines 580 IV		
							7.4	10.28	22	Time and expense required for compliance with external laws and regulations (city, county, state and federal) may affect the RECs' operations or non-compliance may result in fines or additional administrative burden.	Non-compliance could result in reimbursement of funding, fines or loss of future program funding.	EH&S Procedures & Guidelines		