

ANR Cooperative Extension Risk Assessment Best Practices

Financial Account Management

A. Training and Tools

1. Conduct small group training workshops at county offices (with County Directors, Advisors, and Office Managers) to address UC policies and procedures
2. Provide on-line access to DaFIS Decision Support
3. Communicate strategies/tools for avoiding overdrafts, and excessive cost transfers
4. Provide over-the-phone and in-person consultation
5. Allow on-line access to the Payroll/Personnel System Decision Support for CDs/PIs for payroll information and to facilitate payroll expense report review procedure
6. Develop implementation guidelines for new technology/resources (e.g., Payroll/Personnel System Decision Support, UCD Procurement Card)
7. Develop web-based financial management tool for managing 4HYDP accounts to streamline oversight process and provide account access
8. Recognize that much risk is associated with county/UC collaboration and county policies; provide training on to two fiscal systems and implement joint audits

B. Policies and Procedures

1. Present policy and procedure updates at County Director meetings
2. Develop and maintain the UCCE Regional Procedures Guide for UCCE county offices in financial, contracts and grants, and conflict of interest areas
3. Enhance communication between UCD Extramural Accounting, ANR Contracts/Grants, ANR Controller, Regional Offices, Principal Investigators (PIs) and funding agencies regarding award requirements and account management
4. Communicate and support efforts to fulfill UC expectations and responsibilities for ANR PIs regarding stewardship of UC resources
5. Clearly define and illustrate roles, responsibilities, and authorities delegated to RDs, CDs, PIs, office managers and regional offices for account management
6. Monitor compliance with internal control processes in county offices (ledger review, management of accounts, overdrafts, cost transfers)
7. Automatically redirect overdrafts to various donors accounts

C. Contracts and Grants

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1. Develop and update the ANR Contracts & Grants Office “Guides” and other resources for Regional Offices to provide to county-based PIs
2. Remind PIs and County Directors of fiduciary responsibility with each new grant
3. Require that conflict of interest statements be filed by all Principal Investigators
4. Include training sessions on contracts and grants in Regional All Staff Conferences
5. Increase Department Head and PI “training” regarding the UC/ANR contract and grant process and responsibilities of PI and department head for stewardship and financial management of UC resources in statewide venues
6. Review existing UC tools or develop additional tools for PIs to forecast costs (e.g., salary and benefits costs) for grant proposals and make resource materials easily available through the Web