

**Texas AgriLife Research
Risk Matrix
April 12, 2009**

	Impact (High, Medium, Low)	Likelihood (High, Medium, Low)	Mitigation Activities	Monitoring Activities	Executive Management Reporting Process
Strategic					
Absence of a strategic planning process resulting in insufficient high quality and relevant research programs	Medium	Low	Development of new Strategic Plan, input from internal and external groups. Recommendations to units following Programmatic reviews	Programmatic and budgetary reviews of units. Reports to TAMUS	Programmatic reviews Performance metrics New Agency Strategic Plan (in progress)
Recruiting and retaining sufficient number of high quality employees	High	Medium	Recruitment process, retention actions, professional development, awards/recognition, personnel appraisals	Salary comparisons with peers. Interactions with unit heads.	Turnover ratios Tracking reports on training Feedback on professional development efforts
Lack of a business continuity plan and/or disaster recovery plan	High	Medium	Development of both plans through the AgriLife Information Technology Office (AIT)	Reviews by AIT, Programmatic and budgetary reviews. Management Review Team visits	Reports from AIT Programmatic reviews Management Review Team reports
Financial					
Unbudgeted increases in outside assessments	High	High	Reallocation of resources, including personnel actions Legislative recommendations through TAMUS	Review pay and track assessments	Monthly fiscal updates

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Reduction of external funding	High	Medium	Creation of a Federal Initiative Office Close cooperation with the State and Federal GR Teams Adequate Staffing of Contracts and Grants Office	Contracts and grants reports Federal updates Interactions with GR teams	Monthly contracts and grants reports Assessment from sources in Washington, D.C. and Austin
Damage from reduction in appropriated sources due to prolonged recession	High	High	Reallocation of resources Downsize operations	System Treasury Office Meetings with GR Teams	Monthly fiscal updates Cash concentration pool reports from TAMUS Treasury GR Team reports
Natural or man-induced disasters such as hurricanes or acts of terrorism	High	Medium	Reallocation of resources Contingency funds (PUF) Insurance through TAMUS Emergency Preparedness Plans-coordination with CVM	Engineering Office AIT Health and Safety Office	Reports from Engineering, AIT, State Emergency Office, Health and Safety Office as needed Reports from regular meetings with CVM Executive Committee
Compliance					
Failure to enforce state regulatory responsibilities	Medium	Low	Program reviews Advisory committee meetings Employee training	External reviews Monthly meetings	LBB performance measures System internal audit reports Internal Management Review Team reports Reports from Advisory Committee meetings
Lack of adherence to agency and TAMUS policies and federal or state rules, lack of knowledge of	High	Low	Informing employees of internal policies, employee training in appropriate areas with	Management reviews Internal audits Disbursements reviews Training records	System Internal Audit Report Internal Management Review Reports

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appropriate rules and regulations			continuing training as required		
Failure to recognize and address environmental safety issues in a timely manner	Medium	Low	Informing employees of internal policies, employee training in appropriate areas with continuing training as required, coordination with TAMU and TAMUS efforts	Management reviews Reviews by compliance offices	Internal Management Review Team reports Reports from compliance offices
Operational					
Inadequate training/preparation for new Unit Heads	Medium	Low	New Unit Head training	Programmatic reviews Internal management reviews Unit Head meetings with Senior Management	Programmatic reviews Internal management reviews Performance metrics in Agency Strategic Plan
Deterioration of infrastructure	High	Medium	Reallocation of funds PUF Pursue funding for facilities	Engineers Internal management reviews Unit Head input	Monthly construction updates Management Review Team reports
Reputational					
Inadequate agency identity and poor visibility	Medium	Medium	Development of communication/marketing plan Review of agency programs by external entity	Review legislative success Conduct surveys	Summarization of surveys and of discussions with external groups Programmatic reviews Branding effort

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Inadequate diversity of faculty and staff	Medium	Medium	Aggressive, targeted, recruitment, diversity training, including Affirmative Action Plan, Staff Recruiting Guide and reaffirmation of commitment to affirmative action	Composition of workforce reports	Periodic human resources reports on ethnicity
Employees involved in illegal or improper activities which receive media attention	High	Low	Ethics training Internal controls Internal policies	Management Review Team External reviews	External reports Management Review Team reports

Overview Enterprise Risk Management Process

Programmatic/Strategic risks are identified by our programmatic review process.

Financial risks are identified by regular review of reports related to our fiscal status.

The primary process used to identify compliance and operational risks is the Internal Management Review Team, which monitors for compliance with applicable rules and regulations as well as appropriate internal controls. If this Team is able to correct the weaknesses revealed they will do so immediately. If they are unable to make correction, the appropriate group within the agency will be notified to provide the appropriate counseling and corrective action. Additionally, the team issues written reports for each review conducted. These reports list all findings, actions taken, and recommendations and are distributed to the unit head of the specific entity reviewed as well as to the Texas AgriLife Research CFO and Deputy Director. As needed, information in these reports will be

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forward to the Agency Director and the Vice Chancellor. Also, as a result of these actions, overall agency-wide policies are formulated with the intended purpose of preventing risks in the future.