

CORPORATE RISK REGISTER





Agri-Food and Biosciences Institute

CORPORATE RISK REGISTER

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AFBI – Vision, Mission, Values and Strategic Goals

Vision

AFBI's vision is "Scientific excellence in Northern Ireland...serving the world".

Mission

AFBI's mission is "Supporting government policy and industry innovation across the agri-food and rural sector through the provision of high quality scientific services, advice and expertise".

Values

- Customer first
- Scientific Excellence and Integrity
- Respecting People
- Honesty and Trust
- Innovative and Forward Looking

Strategic Goals

1. Successfully deliver the assigned work programme to the department of Agriculture and Rural Development (DARD) and in so doing support DARD in protecting the integrity and improving the competitiveness of the NI agri-food sector and rural economy.
2. Provision of scientific support to DARD and other government departments and agencies in managing the impact of agri-food and environment emergencies.
3. Actively manage AFBI's commercial portfolio and in so doing build our international reputation as a customer-first organisation.
4. Sustain and develop AFBI's knowledge base and position AFBI as a leader in the delivery of innovation and scientific support to the agri-food sector.
5. Invest in our people and ensure that the best systems and processes are in place to manage our organisation.
6. Ensure the long-term financial sustainability of AFBI.

Explanatory Notes

Section A provides the risk title and a score for the risk based on 3 criteria, each is defined below.

Inherent Risk is that risk which exists before any management controls are applied. This enables decisions to be made about resources and the level of priority given to managing a risk.

Residual Risk is determined as the level of risk that remains after existing controls (section B) have been actioned. The residual risk gives an indication of how effectively a risk is being managed by existing controls.

Target Level of Risk is the level of risk that management has set as its target level of risk.

Management Comments provides an assessment of whether management consider that the additional controls to be actioned (section C) will be sufficient to bring the level of residual risk down to the target Level of Risk.

Corporate Goal Alignment shows which Corporate Strategy and Business Plan goals the risk could impact upon and conversely which risks are relevant when considering strategic goals during strategic and business planning.

Risk Scoring is based on impact and likelihood as indicated in section A of each risk and summarised in the Risk Assessment Matrix below.

Impact	Critical	5	5	10	15	20	25
	Major	4	4	8	12	16	20
	Significant	3	3	6	9	12	15
	Moderate	2	2	4	6	8	10
	Minor	1	1	2	3	4	5
			Remote (<20%)	Unlikely (20-40%)	Possible (40-60%)	Probable (60-80%)	Almost Certain (80%+)
		1	2	3	4	5	
Likelihood							

Low

Medium

High

Section B provides a summary of controls already in place to manage the risk.

Section C provides a summary of additional controls that will be put in place to manage the risk.

Corporate Risk Summary

*Total Target Risk Score to be agreed at the April meeting of the AFBI Risk Management and Business Planning Group.

Ref	Overarching Risk Description	Inherent Impact	Inherent Likelihood	Inherent Risk Score	Residual Impact	Residual Likelihood	Residual Risk Score	Total Target Risk Score*	Alignment with AFBI's 4 year Goals as per the 2011/12 Business Plan	Movement
CR1	If AFBI fails to deliver DARD's assigned work programme this will negatively impact the NI agri-food and rural economy and AFBI's Financial and reputational standing.	5	4	20	5	3	15		1	←
CR2	If AFBI fails to manage serious and exceptional incidents this will negatively impact AFBI's reputation, service delivery and ability to generate future business and income.	5	4	20	5	3	15		2, 5	←
CR3	If AFBI fails to fully capitalise on commercial opportunities this will negatively impact AFBI's reputation as a customer-first organisation and reduce the ability to sustain and increase external revenue.	4	4	16	3	3	9		3	↑
CR4	If financial sustainability and organisational effectiveness are not embedded and achieved, at all levels this will negatively impact AFBI.	5	4	20	4	3	12		6	←
CR5	If AFBI fails to maintain and grow its excellence in scientific capability this will adversely impact AFBI's reputation and ability to deliver to its customers.	4	4	16	3	3	9		4	←
CR6	If there is a serious failure in HR Connect provision this will negatively impact AFBI's ability to meet its HR responsibilities	4	4	16	4	3	12		5	←
CR7	If there is a serious failure in ICT provision this will negatively impact AFBI's ability to deliver DARD's assigned work programme and fully capitalise on commercial opportunities	5	3	15	4	2	8		1, 2, 3, 4	←

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A	CR1 - If AFBI fails to deliver DARD's assigned work programme this will negatively impact the NI agri-food and rural economy and AFBI's financial and reputational standing.							Risk owner: Seamus Kennedy, Chief Executive			
	Corporate Goal Alignment <u>Goal 1</u> To successfully deliver the assigned work programme to DARD and in doing so support DARD in protecting the integrity and improving the competitiveness of the NI agri-food sector and rural economy.				*Score Key (Likelihood x Impact = Total Score) Impact: 1. Minor 2. Moderate 3. Significant 4. Major 5. Critical Likelihood of Occurrence: 1. Remote (<20%) 2. Unlikely (20-40%) 3. Possible (40-60%) 4. Probable (60-80%) 5. Almost Certain (80%+)						
Management Comments			<u>Inherent Risk Scoring</u>			<u>Residual Risk Scoring</u>			<u>Target Risk Scoring</u>		
			Impact	Likelihood	Total Score	Impact	Likelihood	Total Score	Impact	Likelihood	Total Score
			5	4	20	5	3	15			

B	Controls that are in place to manage the risk	Is it performed?			Who performs It?	How often?	How is it evidenced?
		N/A	Yes	No			
	1. Agreed work programme in place		<input type="checkbox"/>		SMT	Annual	Monthly monitoring reports
	2. Corporate and Business Plans in place		<input type="checkbox"/>		SMT	Annual	Approval by AFBI & DARD Board
	3. MSFM in place		<input type="checkbox"/>		SMT	Revised every few years	Formal MSFM in place
	4. Monthly meeting between AFBI Corporate services and DARD Sponsor Branch and exceptional meetings as required		<input type="checkbox"/>		Head of Corporate Services	Monthly	Minutes and action points formally recorded
	5. Appropriately trained staff to deliver the assigned work programme		<input type="checkbox"/>		Heads of Division and Head of HR	Annually and reviewed 6 monthly	Personnel Development Plans in place. Training needs analysis completed.
	6. Annual budget approved by AFBI and DARD Boards and and monitored monthly		<input type="checkbox"/>		Head of Finance	Monthly budget reporting	Monthly reports
	7. Asbestos registers available on all sites & unscheduled asbestos surveys carried out as required		<input type="checkbox"/>		Head of Emergency Planning, Safety & Estates	Reviewed annually	Asbestos registers and survey reports available.
	8. Key freeze/thaw risk areas being identified and mitigation measures activated. Inspection regime for freeze/thaw leaks put in place over period of severe winter weather.		<input type="checkbox"/>		Head of Emergency Planning, Safety & Estates	Reviewed pending weather forecasts and severe weather episodes	Reports by site Premises Officers and Head of Estate Unit

C	Additional actions that will be taken to manage the risk	Proposed implementation date	Who will perform it?	How often?	How will it be evidenced?	Position at 17 January 2012
	1. Development and implementation of strategic cost model	31 March 2012	Head of Finance	Annual review	Formal cost model in place	DARD Business Manager in post and progressing, on target, however may base 2012/13 budget on existing model.
	2. Agreement with DARD on the work programme and funding requirements for 2012/13	31 March 2012	SMT	Annually	Finalised work programme documented in annual business plan	Negotiations with DARD have commenced.
	3. Assessment of Business Critical Posts	Continuous basis throughout the year	Head of HR and CEO	Continuous basis throughout the year	Filling of posts	52 Business Critical Posts completed to date and prioritisation of the latest batch was completed by SMT on 12 December 2011
	4. Organisational review	31 March 2012	CEO	Annual review	Consideration of report by SMT and AFBI Board	Work on vision for AFBI aspect of the review due to be presented to the AFBI Board in February 2012
	5. Finalisation and implementation of DARD-AFBI MoU	30 June 2011	Head of Corporate Services	Annual review	Formal agreement in place	Negotiations with DARD continuing. Aim to agree by March 2012

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6. Agree and implement a formal lease with DARD including SLA in relation to the maintenance of AFBI estate	30 June 2011	Head of Corporate Services	Annual review	Formal agreement in place	Lease agreed and signed off on 8 December 2011. Negotiations on a new lease have commenced.
7. Revised Management Statement and Financial Memorandum (MSFM) to be put in place	31 August 2011	Head of Corporate Services	Reviewed as required	Formal agreement in place	SMT comments with DARD, revised target end 31 March 2012
8. Implementation of an Estates Strategy in association with DARD	End March 2012	CEO	One off	Outline Business Case to be produced	SOBC has been produced and agreed with DARD. DFP have issued comments to DARD and a meeting with AFBI is to be arranged.
9. Project management Board (DARD, AFBI, CPD membership) to consider options for the VSD main building. Currently on "pause" at the request of DARD.	Ongoing	PMB chaired by Head of VSD	Ongoing	Minutes from meetings, Scoping Report commissioned by PMB	On pause pending obtaining agreement of DFP on a "modular" business case. (See point 8)
10. Produce formal guidance to ensure short to medium term estates projects are managed effectively.	31 March 2012	Head of Emergency Planning, Safety & Estates	Ongoing	Guidance in place and communicated	Modular business case for progressing the AFBI Estate has been agreed with DARD.
11. Development and Implementation of an Asbestos Management Plan	31 March 2012	Head of Emergency Planning, Safety & Estates	Ongoing	Asbestos Management Plan in place including implementation steps.	Properties Division to supply Dutyholders Asbestos Management Plan to DARD.
12. Development of a Winter Management Plan	30 November 2011	Head of Emergency Planning, Safety & Estates	Annual Review	Winter Management Plan in place.	Winter Management plan finalised by 23 December 2011

A	<p>CR 2 - If AFBI fails to manage serious and exceptional incidents this will negatively impact AFBI's reputation, service delivery and ability to generate future business and income.</p>	<p>Risk owner: Dr David Bryson Deputy Chief Executive (Acting)</p>
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<p>Corporate Goal Alignment</p> <p><u>Goal 2</u> Provision of scientific support to DARD and other government departments and agencies in managing the impact of animal and plant health, food and environmental emergencies.</p> <p><u>Goal 5</u> Invest in our people and ensure that the best systems and processes are in place to manage our organisation.</p>	<p>*Score Key (Likelihood x Impact = Total Score)</p> <p>Impact: 1. Minor 2. Moderate 3. Significant 4. Major 5. Critical</p> <p>Likelihood of Occurrence: 1. Remote (<20%) 2. Unlikely (20-40%) 3. Possible (40-60%) 4. Probable (60-80%) 5. Almost Certain (80%+)</p>
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Management Comments	<u>Inherent Risk Scoring</u>			<u>Residual Risk Scoring</u>			<u>Target Risk Scoring</u>		
	Impact	Likelihood	Total Score	Impact	Likelihood	Total Score	Impact	Likelihood	Total Score
	5	4	20	5	3	15			

B	Controls that are in place to manage the risk	Is it performed?			Who performs It?	How often?	How is it evidenced?
		N/A	Yes	No			
	1. A suite of emergency plans is in place and is regularly updated (including Incident Management Plan, BCPs and Contingency Plans)			<input type="checkbox"/>	HOBs and Head of Emergency Planning, Safety & Estates	Annually	Formal sign off and hard copies of updated plans
	2. Testing of AFBI Incident Management Plan		<input type="checkbox"/>		Head of Emergency Planning, Safety & Estates, Core IMT, Core IMAT	Annually	Test documentation, Lessons learned report prepared
	3. Testing of BCPs			<input type="checkbox"/>	Head of Emergency Planning, Safety & Estates, SMT and HOBs	Annually	Test documentation, Lessons learned report prepared
	4. Testing of individual Contingency plans		<input type="checkbox"/>		DCEOs, HOBs and Head of Emergency Planning, Safety & Estates, SMT	Annually	Test documentation, Lessons learned report prepared

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	5. Adequately trained staff in place -identification, training and CPD for staff involved in emergency planning		□		SMT, HOB's, Head of HR and Head of Emergency Planning, Safety & Estates	Continuous	Individual training plans. Documented records of training. CPD attendance
	6. Monitoring, checking and maintenance of key facilities especially high containment facilities		□		Head of Emergency Planning, Safety & Estates, DCEOs and HOBs	Ongoing	Reports to SMT and DARD. Documentation associated with deficiencies corrected
	7. Clarification of DARD's emergency response requirements from AFBI		□		SMT and HOBs and Head of Emergency Planning, Safety & Estates	Annually	Documented report of meetings with DARD
	8. Filling of Business Critical Post in relation to Emergency Planning.		□		SMT, HOB's, Head of HR and Head of Emergency Planning, Safety & Estates	Continuous	Staff in Post

C	Additional actions that will be taken to manage the risk	Proposed implementation date	Who will perform it?	How often?	How will it be evidenced?	Position at 17 January 2012
	1. AFBI's contingency, BCPs and Incident Management Plans to be reviewed and updated	31 March 2012	SMT, HOB's and Head of Emergency Planning, Safety & Estates	Annually	Updated versions of Plans (incl BURPS) available for inspection	On target. FMD CP review completed - Reviews of avian flu and Newcastle Disease and CSF underway. Provision of scientific support to DARD during serious plant health incidents updated. IMP updated. Development of Business Unit Resumption Plans commenced
	2. Development and implementation of an appropriate exercising and testing regime for AFBI Corporate Incident Management Plan.	31 March 2012	Head of Emergency Planning, Safety & Estates, Core IMT, IMAT	Annually	Exercise documentation, record of debriefs lessons learned reports	Exercises for IMT and IMAT completed (Kelvin & Galileo, respectively). Two joint exercises with NIFRS & NIAS completed (Very Scary Disease & Glow in the Dark). Exercise regime being developed.
	3. Development and implementation of an appropriate exercising and testing regime for BCPs	31 March 2012	Head of Emergency Planning, Safety & Estates, SMT and HOBs	Annually	Exercise documentation by commission and occupation of the laboratory	Regime of exercises being developed.
	4. Development and implementation of an appropriate exercising and testing regime for divisional contingency plans	31 March 2012	SMT, Hob's, Head of Emergency Planning, Safety & Estates	Annually	Exercise documentation, record of debriefs lessons learned reports	Exercise of epizootic disease contingency plan complete.
	5. Undertake a training needs analysis (TNA) with Key staff regarding Emergency Response capabilities	31 March 2011	SMT, AFBI HR, HOBs	As required	TNA reports	Awaiting DARD response on the emergency response capabilities required from AFBI

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	6. Identify gaps in facility requirements in support of emergency response capabilities	31 March 2011	Head of Emergency Planning, Safety & Estates, DCEOs, HOBs	Ongoing	Reports to SMT and DARD	Remedial work on VSD Contingency Facility and Lamont Building ongoing. Gaps to be identified.
	7. Regular clarification of DARD's emergency response requirements from AFBI	31 March 2011	SMT and HOB's and Head of Emergency Planning, Safety & Estates	Annually	Documented report of meeting with DARD	This is going to be taken forward by DARD (through a group chaired by CSA). Requirements re animal health will also be addressed by AFBI/DARD Capability forum which is meeting on a regular basis. DARD QAB is also meeting with AFBI to discuss requirements.
	8. Commissioning of Containment Level 3 Contingency Facility at AFBI Stormont (VSD)	30 September 2011	DCEO VSD and Head of Emergency Planning, Safety & Estates	One-off	Formal Handover of Facility	Unable to complete due to circumstances beyond AFBI's control. Completion is dependent on DARD Estate Branch, Properties Division and quality of the work of the outside contractors. An AFBI Group meets regularly to monitor progress and ensure optimal communication of issues from AFBI Revised occupation date is March 2012

A	<p>CR3 - If AFBI fails to fully capitalise on commercial opportunities this will negatively impact AFBI's reputation as a customer-first organisation and reduce the ability to sustain and increase external revenue</p>	<p>Risk owner: Joel Ferguson, Acting Head of Corporate Services</p>
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<p>Corporate Goal Alignment</p> <p>Goal 3 Actively manage AFBI's commercial portfolio and in so doing build our reputation as a customer-first organisation.</p>	<p>*Score Key (Likelihood x Impact = Total Score)</p> <p>Impact: 1. Minor 2. Moderate 3. Significant 4. Major 5. Critical</p> <p>Likelihood of Occurrence: 1. Remote (<20%) 2. Unlikely (20-40%) 3. Possible (40-60%) 4. Probable (60-80%) 5. Almost Certain (80%+)</p>
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Management Comments	Inherent Risk Score			Residual Risk Score			Target Risk Score		
	Impact	Likelihood	Total Score	Impact	Likelihood	Total Score	Impact	Likelihood	Total Score
	4	4	16	3	3	9			

B	Controls that are in place to manage the risk	Is it performed?			Who performs It?	How often?	How is it evidenced?
		N/A	Yes	No			
	1. IP Policy and Guidance notes in place and actively managed		<input type="checkbox"/>		AFBI Innovations	Policy reviewed annually	Formal sign off to evidence annual review
	2. Three year Marketing and Business Development Strategy agreed and in place		<input type="checkbox"/>		AFBI Innovations	Strategy reviewed annually	Quarterly update to SMT against performance measurements
	3. Branch Marketing and Business Development Plans in place		<input type="checkbox"/>		Heads of Division	Plans reviewed annually	Formal sign off of annual Business Plan
	4. Costing and charging guidance notes in place		<input type="checkbox"/>		AFBI Innovations	Included in induction material for new staff. Annual staff reminders	Evidence of reminders issued, training, awareness raising and new staff induction

C	Additional actions that will be taken to manage the risk	Proposed implementation date	Who will perform it?	How often?	How will it be evidenced?	Position at 17 January 2012
	1. Marketing and Business Development Policy to be developed	31 March 2012	Head of AFBI Innovations	One off	Formal Policy in place	Marketing and Business Development Policy requires the support of the non-DARD Business Manager. The AFBI Board agreed to postpone this appointment and review in 2012.
	2. Divisional and Branch performance measures to include Financial Performance Statements	31 March 2012	Head of AFBI Finance	Monthly	Quarterly Financial Performance Statements	Template being developed by AFBI Accountant. To be issued to DCEO's for feedback on workability.
	3. Resources to support the delivery of Marketing and Business Development Strategy i.e. Research Office, Business Development section	30 September 2011	Head of AFBI Innovations	One off	Development of RO and BD sections	Complete except non-DARD business manager post. (See C1)

A	<p>CR4 - If financial sustainability and organisational effectiveness are not embedded and achieved, at all levels this will negatively impact AFBI.</p>	<p>Risk owner: Venkat Deshpande, Head of Finance</p>						
<p>Corporate Goal Alignment Goal 6 - Ensure the long-term financial sustainability of AFBI.</p>		<p>*Score Key (Likelihood x Impact = Total Score) Impact: 1. Minor 2. Moderate 3. Significant 4. Major 5. Critical Likelihood of Occurrence: 1. Remote (<20%) 2. Unlikely (20-40%) 3. Possible (40-60%) 4. Probable (60-80%) 5. Almost Certain (80%+)</p>						
<p>Management Comments</p>	<p>Inherent Risk Scoring</p>		<p>Residual Risk Scoring</p>			<p>Target Risk Scoring</p>		
	Impact 5	Likelihood 4	Total Score 20	Impact 4	Likelihood 3	Total Score 12	Impact	Likelihood

B	List controls that are in place to manage the risk	Is it performed?			Who performs It?	How often?	How is it evidenced?
		N/A	Yes	No			
	1. Savings for 2011/12 to be delivered		<input type="checkbox"/>		SMT	Monthly	Quarterly updates against Efficiency Delivery Plan
	2. Regular meetings of the Rationalisation Group established to look at efficiencies		<input type="checkbox"/>		Head of Corporate Services	Every 3 / 4 weeks	Formal minutes and report presented to SMT
	3. Financial monitoring of income and expenditure		<input type="checkbox"/>		Head of Finance	Monthly	Monthly Budget Monitor to include income and expenditure
	4. Project based budget allocations		<input type="checkbox"/>		CEO/ Head of Finance/ DCEOs	Annually	Formal budgets developed

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C	Additional actions that will be taken to manage the risk.	Proposed implementation date	Who will perform it?	How often?	How will it be evidenced?	Position at 17 January 2012
	1. Development and production of Financial Performance Statements as a Branch Performance Measure.	1 April 2012	Head of Finance	Quarterly	Quarterly Statements	Template being developed by AFBI Accountant. To be issued to DCEO's for feedback on workability.
	2. Roll out new financial accounting procedures	31 March 2012	Head of Finance	Annual	Formally documented procedures	Ongoing
	3. Review of overhead structure	31 March 2012	Head of Finance	Annual	Report to SMT	Discussion paper prepared in December 2011
	4. Review TTRS structure to improve compliance and accuracy	31 March 2012	Head of Finance	Annual	Report to SMT	Reminder system being developed by Biometrics Branch
	5. Enhanced Management information as a basis for negotiating Grant-in-Aid	31 March 2012	Head of Finance	Annual	Performance management reports	Template being developed by AFBI Accountant. To be issued to DCEO's for feedback on workability.

A	<p>CR5 - If AFBI fails to maintain and grow its excellence in scientific capability this will adversely impact AFBI's reputation and ability to deliver to its customers.</p>	<p>Risk owner: DCEO's</p>																											
<p>Corporate Goal Alignment</p> <p><u>Goal 4</u> Sustain and develop AFBI's knowledge base and position AFBI as a leader in the delivery of innovation and scientific support to the agri-food sector.</p>		<p>*Score Key (Likelihood x Impact = Total Score)</p> <p>Impact: 1. Minor 2. Moderate 3. Significant 4. Major 5. Critical</p> <p>Likelihood of Occurrence: 1. Remote (<20%) 2. Unlikely (20-40%) 3. Possible (40-60%) 4. Probable (60-80%) 5. Almost Certain (80%+)</p>																											
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<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="3" style="text-align: center;"><u>Inherent Risk Scoring</u></th> <th colspan="3" style="text-align: center;"><u>Residual Risk Scoring</u></th> <th colspan="3" style="text-align: center;"><u>Target Risk Scoring</u></th> </tr> <tr> <th style="width: 15%;">Impact</th> <th style="width: 15%;">Likelihood</th> <th style="width: 15%;">Total Score</th> <th style="width: 15%;">Impact</th> <th style="width: 15%;">Likelihood</th> <th style="width: 15%;">Total Score</th> <th style="width: 15%;">Impact</th> <th style="width: 15%;">Likelihood</th> <th style="width: 15%;">Total Score</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td style="text-align: center; background-color: red; color: white;">16</td> <td style="text-align: center;">3</td> <td style="text-align: center;">3</td> <td style="text-align: center; background-color: yellow;">9</td> <td></td> <td></td> <td style="background-color: lightgreen;"></td> </tr> </tbody> </table>			<u>Inherent Risk Scoring</u>			<u>Residual Risk Scoring</u>			<u>Target Risk Scoring</u>			Impact	Likelihood	Total Score	Impact	Likelihood	Total Score	Impact	Likelihood	Total Score	4	4	16	3	3	9			
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Impact	Likelihood	Total Score	Impact	Likelihood	Total Score	Impact	Likelihood	Total Score																					
4	4	16	3	3	9																								

B	List controls that are in place to manage the risk	Is it performed?			Who performs It?	How often?	How is it evidenced?
		N/A	Yes	No			
	1. Business Critical Post identification and filling process		<input type="checkbox"/>		SMT	Continuous Reviewed monthly	Filling of vacancies
	2. Performance Management and Training and Learning, Development system in place		<input type="checkbox"/>		Heads of Division	Bi-Annually	Formal PPAs and PDPs
	3. Capital investment (scientific equipment)		<input type="checkbox"/>		DCEOs	Annual	Business Plans/Business Cases
	4. Participation in International Networks re Conferences, Research and Development, Consortia, etc		<input type="checkbox"/>		Heads of Division	Continuous Reviewed annually	Divisional Business Plans and outturns against targets
	5. Maintenance of quality standards to include ISO9001 & ISO17025 accreditation where required by customers		<input type="checkbox"/>		Heads of Division	Annual	Roadmaps, Quality Inspection Reports, Accrediting bodies websites

C	Additional actions that will be taken to manage the risk.	Proposed implementation date	Who will perform it?	How often?	How will it be evidenced?	Position at 17 January 2012
	1. Organisational review to be undertaken	31 March 2012	CEO	One-off	Consideration of report by SMT and AFBI Board	Review ongoing. Work on vision for AFBI aspect of the review due to be closed out in January 2012
	2. Development of a Science Strategy	31 March 2012	SMT & Board Strategy Sub Committee	Annual Review	Formal Strategy in place	Divisional strategies being prepared. Three draft strategies developed.
	3. Development of an HR Strategy	31 January 2012	Head of HR	One off development of Strategy, to be reviewed annually	Formal strategy in place	Will be completed by 31 January 2012
	4. Development of a strategic cost model to be agreed with DARD	31 March 2012	Head of Corporate Services	One off	Cost model in place	On Target for 1 st draft by March 2012
	5. Development of an Estates Strategy in association with DARD	31 March 2012	CEO	One off	Outline Business Case to be produced	SOBC has been produced and agreed with DARD. DFP have issued comments to DARD and a meeting with AFBI is to be arranged.
	6. Accreditation and continued roll out of ISO 17025 in VSD and AFESD	31 March 2012	Heads of Division	Ongoing	Roadmaps, Quality Inspection Reports, Accrediting bodies websites	On Target – except for Virology PCR tests

A	CR6 - If there is a serious failure in HR Connect provision this will negatively impact AFBI's ability to meet its HR responsibilities	Risk owner: Paul Brennan, Head of HR
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Corporate Goal Alignment <u>Goal 5</u> Invest in our people and ensure that the best systems and processes are in place to manage our organisation.	*Score Key (Likelihood x Impact = Total Score) Impact: 1. Minor 2. Moderate 3. Significant 4. Major 5. Critical Likelihood of Occurrence: 1. Remote (<20%) 2. Unlikely (20-40%) 3. Possible (40-60%) 4. Probable (60-80%) 5. Almost Certain (80%+)
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Management Comments	<u>Inherent Risk Scoring</u>			<u>Residual Risk Scoring</u>			<u>Target Risk Scoring</u>		
	Impact 4	Likelihood 4	Total Score 16	Impact 4	Likelihood 3	Total Score 12	Impact	Likelihood	Total Score

B	Controls that are in place to manage the risk	Is it performed?			Who performs It?	How often?	How is it evidenced?
		N/A	Yes	No			
	1. DFP Internal Audit assurances provided, and exception reporting of significant issues		<input type="checkbox"/>		Head of HR	Six monthly	Assurance reports
	2. Morale and motivation survey		<input type="checkbox"/>		Head of HR	Every 2 years	Results presented formally to SMT
	3. Staff training in respect of HR Connect		<input type="checkbox"/>		Head of HR	Continuous	Noted on personal training plans
	4. Monthly HR Reports to SMT and AFBI Board		<input type="checkbox"/>		Head of HR	Monthly	Reports to SMT and Board
	5. Formal meetings with HR Connect		<input type="checkbox"/>		Head of HR	Quarterly	Meetings formally minuted
	6. Payroll checks		<input type="checkbox"/>		Head of HR and Head of Finance	Monthly	Formal sign off to evidence checks undertaken

C	Additional actions that will be taken to manage the risk.	Proposed implementation date	Who will perform it?	How often?	How will it be evidenced?	Position at 17 January 2012
	1. Development and implementation of HR Strategy for AFBI	23 December 2011	Head of HR	One off development of Strategy, to be reviewed annually	Formal strategy in place	Ongoing. Revised implementation date March 2012.
	2. Formal high level review of HR Connect to be undertaken	31 October 2011	Head of HR	One off	Report on findings to be presented to SMT and AFBI Board	Action completed following presentation to SMT and AFBI Board
	3. Assurance of HR Connect resilience for all elements of service	31 January 2012	Head of HR	Annual	Report to SMT	Complete

A	CR7 – If there is a serious failure in ICT provision this will negatively impact AFBI’s ability to deliver DARD’s assigned work programme and fully deliver on commercial obligations	Risk owner: David Kilpatrick Head of BIS							
Corporate Goal Alignment <u>Goal 1</u> To successfully deliver the assigned work programme to DARD and in doing so support DARD in protecting the integrity and improving the competitiveness of the NI agri-food sector and rural economy. <u>Goal 2</u> Provision of scientific support to DARD and other government departments and agencies in managing the impact of animal and plant health, food and environmental emergencies. <u>Goal 3</u> Actively manage AFBI’s commercial portfolio and in so doing build our reputation as a customer-first organisation. <u>Goal 4</u> Sustain and develop AFBI’s knowledge base and position AFBI as a leader in the delivery of innovation and scientific support to the agri-food sector.		*Score Key (L x I = TS) Impact: 1. Minor 2. Moderate 3. Significant 4. Major 5. Critical Likelihood of Occurrence: 1. Remote (<20%) 2. Unlikely (20-40%) 3. Possible (40-60%) 4. Probable (60-80%) 5. Almost Certain (80%+)							
Management Comments	<u>Inherent Risk Scoring</u>			<u>Residual Risk Scoring</u>			<u>Target Risk Scoring</u>		
	Impact 5	Likelihood 3	Total Score 15	Impact 4	Likelihood 2	Total Score 8	Impact	Likelihood	Total Score

B	Controls that are in place to manage the risk	Is it performed?			Who performs It?	How often?	How is it evidenced?
		N/A	Yes	No			
	1. Network accreditation including implementation of data security measures		<input type="checkbox"/>		Head of BIS	Quarterly Review	Formal documentation including updates to NICS Accreditation Panel
	2. IT Assist SLA for common services		<input type="checkbox"/>		Head of BIS	Annual Review	Meetings formally minuted
	3. Data backup and restore capability		<input type="checkbox"/>		Head of BIS	Quarterly Review	Backup facilities provided and published guidance
	4. In-house IT skills to respond to line of business requests		<input type="checkbox"/>		Head of BIS	As required	HR & training records
	5. Formal meetings with IT Assist and regular meetings of the AFBI ICT Committee		<input type="checkbox"/>		Head of BIS	Quarterly	Meetings formally minuted

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C	Additional actions that will be taken to manage the risk.	Proposed implementation date	Who will perform it?	How often?	How will it be evidenced?	Position at 17 January 2012
	1. Implementation of IT resilience measures	31 March 2012	Head of BIS	Ongoing	Quarterly reports to ICT Committee & SMT	IT resilience capital projects business case is complete and procurement ongoing. Three bids now received.
	2. Development of cases for filling IT Business Critical Posts	30 June 2011	Head of BIS	As Required	Submission of cases	Complete
	3. Meetings with AFBI branches to develop common LIMS strategy	31 March 2012	BIS Head of IT	Ongoing	Strategy developed	Continuing - Hillsborough site currently being addressed