Table: Risk Assessment

<table>
<thead>
<tr>
<th>No</th>
<th>Relevant Strategy Area</th>
<th>Risk Description</th>
<th>Risk Causes</th>
<th>Risk Consequences</th>
<th>Risk Owner</th>
<th>Existing Controls</th>
<th>Residual Risk Assessment</th>
<th>Inherent Risk Assessment</th>
<th>Action Owner</th>
<th>Action Review Date</th>
<th>Action Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>University is challenged by a alleged breach of national or EU Procurement legislation</td>
<td>University is challenged by a alleged breach of national or EU Procurement legislation</td>
<td>Procurement team is unable to give adequate planning meeting due to lack of skilled and trained members.</td>
<td>Possible financial penalty and reputational damage (from legal challenge)</td>
<td>HoP</td>
<td>Procurement policy and procedures: Contracts above £50k in value undertaken by APUC.</td>
<td>2 1 6</td>
<td>2 1 6</td>
<td>HoP</td>
<td>Feb 2019</td>
<td>Increasing</td>
</tr>
<tr>
<td>2</td>
<td>Procurement team is unable to give adequate planning meeting due to lack of skilled and trained members.</td>
<td>Procurement team is unable to give adequate planning meeting due to lack of skilled and trained members.</td>
<td>Possible financial penalty and reputational damage (from legal challenge)</td>
<td>HoP</td>
<td>Procurement policy and procedures: Contracts above £50k in value undertaken by APUC.</td>
<td>2 1 6</td>
<td>2 1 6</td>
<td>HoP</td>
<td>Feb 2019</td>
<td>Increasing</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Procurement team is unable to give adequate planning meeting due to lack of skilled and trained members.</td>
<td>Procurement team is unable to give adequate planning meeting due to lack of skilled and trained members.</td>
<td>Possible financial penalty and reputational damage (from legal challenge)</td>
<td>HoP</td>
<td>Procurement policy and procedures: Contracts above £50k in value undertaken by APUC.</td>
<td>2 1 6</td>
<td>2 1 6</td>
<td>HoP</td>
<td>Feb 2019</td>
<td>Increasing</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Category Management not accepted by Schools or Depts</td>
<td>Category Management not accepted by Schools or Depts</td>
<td>Possible financial penalty and reputational damage (from legal challenge)</td>
<td>HoP</td>
<td>Procurement policy and procedures: Contracts above £50k in value undertaken by APUC.</td>
<td>2 1 6</td>
<td>2 1 6</td>
<td>HoP</td>
<td>Feb 2019</td>
<td>Increasing</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>University has a high value of Modern Slavery on our sustainability assets or at least one supplier or partner on the supply chain.</td>
<td>University has a high value of Modern Slavery on our sustainability assets or at least one supplier or partner on the supply chain.</td>
<td>Possible financial penalty and reputational damage (from legal challenge)</td>
<td>HoP</td>
<td>Procurement policy and procedures: Contracts above £50k in value undertaken by APUC.</td>
<td>2 1 6</td>
<td>2 1 6</td>
<td>HoP</td>
<td>Feb 2019</td>
<td>Increasing</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>The University’s standard Terms and Conditions fail to be in line with the Modern Slavery Act.</td>
<td>The University’s standard Terms and Conditions fail to be in line with the Modern Slavery Act.</td>
<td>Possible financial penalty and reputational damage (from legal challenge)</td>
<td>HoP</td>
<td>Procurement policy and procedures: Contracts above £50k in value undertaken by APUC.</td>
<td>2 1 6</td>
<td>2 1 6</td>
<td>HoP</td>
<td>Feb 2019</td>
<td>Increasing</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>University’s Information Security</td>
<td>University’s Information Security</td>
<td>Possible financial penalty and reputational damage (from legal challenge)</td>
<td>HoP</td>
<td>Procurement policy and procedures: Contracts above £50k in value undertaken by APUC.</td>
<td>2 1 6</td>
<td>2 1 6</td>
<td>HoP</td>
<td>Feb 2019</td>
<td>Increasing</td>
<td></td>
</tr>
</tbody>
</table>

Notes:
- **Inherent Risk Assessment**: 1 = Insignificant (<£100), 2 = Minor, 3 = Moderate (<£500k-£2m), 4 = Possible (above £5m), 5 = High (>£10m).
- **Residual Risk Assessment**: 1 = Insignificant (<£100), 2 = Unlikely, 3 = Likely, 4 = Major, 5 = Inevitable.
- **Score**: High, Medium, Low/Minimum Risk.
- **Risk Change**: Lowering, Constant, Increasing.

University of Dundee Risk Register Blank - department - actions required

University and therefore puts the suppliers Ts & Cs to establish the requisite impacts on the University’s ability to obtain grant funding.

The GDPR comes into force on May 2018. The new Regulation puts additional guidance on our sustainability aims or that tier suppliers tend to prefer to use their own. This results in Procurement and Depts actively ignoring the Category Management approach and undertaking procurement activity without following agreed policies and procedures.

The introduction of the Modern Slavery Act has resulted in Procurement being involved in some projects at an earlier stage.

Procurement and therefore will have a strategy. Part of the Strategy is to review any sustainability impact of the requirement.

The Ts & Cs a not ‘fit’ with many purchases, including the APUC Supplier Code of Conduct and therefore, the suppliers must sign up to the APUC Supplier Code of Conduct prior to being loaded onto Pecos or any replacement system.

The Ts & Cs a not ‘fit’ with many purchases, including the APUC Supplier Code of Conduct and therefore, the suppliers must sign up to the APUC Supplier Code of Conduct prior to being loaded onto Pecos or any replacement system.

The Ts & Cs a not ‘fit’ with many purchases, including the APUC Supplier Code of Conduct and therefore, the suppliers must sign up to the APUC Supplier Code of Conduct prior to being loaded onto Pecos or any replacement system.

The Ts & Cs a not ‘fit’ with many purchases, including the APUC Supplier Code of Conduct and therefore, the suppliers must sign up to the APUC Supplier Code of Conduct prior to being loaded onto Pecos or any replacement system.

The Ts & Cs a not ‘fit’ with many purchases, including the APUC Supplier Code of Conduct and therefore, the suppliers must sign up to the APUC Supplier Code of Conduct prior to being loaded onto Pecos or any replacement system.

The Ts & Cs a not ‘fit’ with many purchases, including the APUC Supplier Code of Conduct and therefore, the suppliers must sign up to the APUC Supplier Code of Conduct prior to being loaded onto Pecos or any replacement system.
However, due to the devolved nature of procurement in the University, it is highly likely that systems and agreements exist where suppliers are acting as data processors for which neither Procurement or the University’s Information Officer are aware of.
University Strategy to 2017
Extract of Aims

Learning and Teaching Aims (LT)

LT1: Ensure that our graduates and postgraduates are able to make an impact in their chosen fields, with the skills and knowledge to shape and lead society in the professions, research and the wider world.

LT2: Design curricula for breadth and depth allowing experimentation, change and diversity and the development of critical enquiry and deep thinking skills.

LT3: Recognise and reward staff excellence in learning and teaching publicly and through promotion.

LT4: Identify and support those with the highest potential to benefit from our courses, no matter the route they take.

LT5: Create a sustainable learning environment which exploits all the appropriate approaches and technologies to ensure that all our students, in Dundee and elsewhere, are supported for success.

Research (R)

R1: Engage in world class research with high impact.

R2: Provide the highest quality research environment and facilities with regard to people, materials, buildings and equipment.

R3: Increase research income and overhead recovery

R4: Attract more and better Research Postgraduate Students

R5: Review and improve our current research policies and governance.

Wider Impact (WI)

WI1: Distinguish the University through innovative and effective knowledge exchange to become the partner of choice for a broad range of external collaborators.

WI2: Translate research outputs through knowledge exchange to address societal challenges and through our impact provide reputational and financial benefits to the University.

WI3: Grow our impact with individual recipients of knowledge and ideas.

WI4: Through our civic role, help to create a stronger and more attractive Dundee City Region, and contribute to progress in Scotland and the world.

WI5: Support wider impact activities by the creation of supporting infrastructure.

Internationalisation (I)

I1: Build sustainable, high-level international partnerships.

I2: Bring the world to Dundee, by recruiting overseas students, by providing a safe and supporting environment, and by internationalising the curriculum and wider experience of all our students.

I3: Take Dundee to the world, by promoting the University as a world centre for research, teaching and innovations, often in collaboration with high-quality partners.

I4: Develop and resource the Internationalisation Strategy

Employability, Enterprise and Entrepreneurship (EEE)

EEE1: Enable our student leavers to secure graduate level employment or to further their careers through higher level study, and assist in developing the potential of those students who demonstrate entrepreneurial capability.

EEE2: Ensure that our staff and students regard employability and enterprise as important and, accordingly, support activities designed to promote these.
EEE3: Embed employability and enterprise in mainstream learning and teaching.

EEE4: Students should have access to a comprehensive range of opportunities, within programmes as well as voluntary and extra curricular, to enhance their employability and to nurture enterprising and entrepreneurial attitudes and apply these.

**People (P)**

P1: Attract, recruit, develop, retain and reward the highest calibre people.

P2: Ensure that staff understand their personal responsibilities and objectives and meet them.

P3: Provide staff with a fair and transparent career progression path consistent with the University’s criteria of excellence.

P4: Provide opportunities for professional and leadership development to underpin improved performance, career development and succession planning.

P5: Create a framework for effective two way communication between the University and staff.

P6: Effect change quickly and flexibly whilst managing people sensitively and ensuring consultation and legal compliance.

P7: Promote and support equality of opportunity for all staff and students in a healthy and safe environment.

**Information (IT)**

IT1: Develop and maintain an excellent information environment which is responsive to new technologies and which is supported by a more coherent relationship between support functions.

IT2: Improve the use of and return from core systems, adding to them carefully with integrated reporting facilities and new functions.

IT3: Define for staff groups appropriate levels of information competences and ensure these are acquired, maintained and displayed.

IT4: Maintain a rolling programme of investment in facilities and systems, supported by modernisation of management processes.

**Estate (E)**

E1: Use building space efficiently, vacating sub-standard space and maximising intensity of use.

E2: Maximise energy efficiency.

E3: Improve the overall environmental sustainability of the University.

E4: Improve and maintain the condition of the estate.

**Financial Sustainability (FS)**

FS1: Generate sufficient surplus to fund investment at 6% turnover.

FS2: Carry out robust forecasting.

FS3: Ensure that unregulated income creates a surplus, except in exceptional and justified circumstances.

FS4: Maximise income from non-core commercial activities.

FS5: Require capital investments to meet clear strategic and financial returns.