Scoring: IMPACT (I) (financial)
1 = Insignificant (<£100)
2 = Minor (price range)
3 = Moderate (>£500k <£2M)
4 = Major (>£2M <£5M)
5 = Catastrophic (>£5M)

LIKELIHOOD (L)
1 = Rare
2 = Unlikely
3 = Possible
4 = Likely
5 = Almost Certain

Risk Assessment

H	High-unacceptable risk; major disruption likely; different approach required; priority management attention required.
M	Moderate risk; some disruption; different approach may be required; additional management attention.
L	Low/minimum risk; minimum oversight needed to ensure risk remains low

Assessment Guide

Likelihood	5	M	M	H	H	H
	4	L	M	M	H	H
	3	L	L	M	M	H
	2	L	L	L	M	M
	1	L	L	L	L	M
		1	2	3	4	5
				impact		

Risk Change

⬇	decreasing
⬌	stable
⬆	increasing
⬤	new

Key: SEL = School Executive Lead
DN = Dean

Etc. – key people.

University of Dundee Risk Register Blank
- department
- actions required

Strategic Risks

No	Relevant Strategy Aims	Risk Description	Risk Cause(s)	Risk Consequence	Risk Owner	Inherent Risk Assessment I	L	I*L	Existing Controls	Residual Risk Assessment I	L	I*L	Actions for further control	Action Owner	Action Review Date	Review Notes
1		University is challenged by a supplier due to an alleged breach of national or EU Procurement legislation	Breach of either Procurement (Scotland) Regulations 2016 or Public Contracts (Scotland) Regulations 2015	Possible financial penalty and reputational damage (from legal challenge)	HoP	2	3	6	- Procurement policy and procedures - Contracts above £50k in value undertaken by Procurement - POs over £50k routed through Procurement for approval - All Pecos users have received both generic Procurement and VAT training.	2	2	4	Implementation of Delegated Procurement Authority (DPA) list – small number of staff based in Schools who have received more in-depth training on procurement procedures.	HoP	Feb 2019	
2		Procurement team do not have the requisite training or skills and cannot provide the relevant advice or service to the University	Procurement team are unable to give proper advice or unable to undertake procurement procedures properly due to lack of skills and/or training	Possible financial penalty and reputational damage (from legal challenge)	HoP	2	2	4	- All team members are working towards or are already CIPS qualified - APUC run regular training courses which team members are encouraged to attend - Two members of the team are employed by APUC and receive additional training as part of the shared service arrangement with the University. This additional training is passed onto the other team members through team meetings - Additional guidance is distributed by the HoP as and when required.	2	1	2	Undertake assessment of team using a Procurement competency framework.	HoP	Feb 2019	This is a significant undertaking and is not high on the priority list of activities to undertake.
3		Procurement involved too late in projects to influence spend and/or undertake a legally compliant tender process	Lack of awareness and/or inadequate planning meaning there is not enough time for Procurement to follow proper tender processes.	Possible financial penalty and reputational damage (from legal challenge). University does not achieve value for money Failure to follow proper procurement procedures impacts on the University's ability to obtain grant funding.	HoP	2	4	8	- The introduction of category management has resulted in Procurement being involved in some projects at an earlier stage.	2	4	8	Form closer links with colleagues in Finance in order to become involved in projects at an earlier stage. Closer links with colleagues in Research Finance regarding grant applications in order to be made aware of equipment and other requirements at grant application stage.	HoP	Feb 2019	The additional activities to mitigate the risk will occur over time as Category Management is fully rolled out across the University's external spend.
4		Category Management not accepted by Schools or Depts	Even though they are aware, Schools and Depts actively ignore the Category Management approach and undertake procurement activity without following agreed policies and procedures	Possible financial penalty and reputational damage (from legal challenge). University does not achieve value for money Failure to follow proper procurement procedures impacts on the University's ability to obtain grant funding.	HoP	2	2	4	- The approach taken by the Procurement Team is one of collaboration as opposed to confrontation. Whilst new policies and procedures are being developed which may be perceived as providing increased governance and control, there are no intentions of moving away from the existing collaborative approach. Therefore it is unlikely Schools and Depts will actively work against Procurement policies and procedures.	2	1	2	N/A	HoP	Feb 2019	
5		Sustainability and Modern Slavery	There is a risk that the University places contracts that have a detrimental effect on our sustainability aims or that tier one supplier or further up the supply chain breach policies on modern slavery.	Reputational damage through negative press articles	HoP	2	3	6	- Contracts above £50k in value are routed through Procurement and therefore will have a strategy. Part of the Strategy is to review any sustainability impact of the requirement. - Many of the purchases below £50k are made through established frameworks. The suppliers on these frameworks have been through some form of evaluation or minimum standard of their environmental policies. - When contracts are let by Procurement, suppliers are asked to sign up to the APUC Supply Chain Code of Conduct. This policy includes both environmental as well as Modern Slavery requirements.	2	2	4	New supplier process is to be amended to include all new suppliers must sign up to the APUC Supplier Code of Conduct prior to being loaded onto Pecos or any replacement system.	HoP	Feb 2019	Whilst new suppliers will have to sign up to the Supply Chain Code of Conduct, little can be done regarding the existing suppliers already on the various systems. However in terms of volume of transactions, most of the high-volume suppliers will be on frameworks, therefore the supplier will have been through some form of sustainability check.
6		Update of University's Standard Terms and Conditions	The University's standard Terms and Conditions require to be updated to reflect new legislation (eg GDPR) and to be more reflective of our requirements (eg having different sets of standard Ts & Cs rather than one all-encompassing set).	As the current standard Ts & Cs do not 'fit' with many purchases, suppliers tend to prefer to use their own. This results in Procurement and Legal having to read through the suppliers Ts & Cs to establish the areas of risk and liability for the University and therefore puts the University at a disadvantage with regard to the level of risk and liability the Ts & Cs pass onto the University.	HoP	1	5	5	- Work is in progress to update the Ts & Cs.	1	5	5	The Ts & Cs are being worked on by Legal and should be ready for use in mid 2018.	HoP	Sep 2018	
7		GDPR and information security	The GDPR comes into force on 25th May 2018. The new Regulation puts specific responsibilities on the University where our suppliers act as data processors. Whenever a controller (buyer) uses a processor (vendor) it needs to have a written contract in place to ensure both parties understand their responsibilities and liabilities. The GDPR sets out what needs to be included in the contract.	Fines for breaching the GDPR can be substantial (up to €10 million, or 2% annual global turnover – whichever is higher). However it is thought the fine will be scaled to match the severity of the breach.	HoP/ University Information Officer	3	3	9	The University's Information Officer has commenced a programme of education for the Schools and Departments across the University. It will therefore be up to the individuals who arranged the agreements and/or have the relationship with the suppliers to ensure the suppliers meet the requirements of the GDPR	3	3	9				Work on educating the Schools and Depts has only just commenced.

			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.										
8												8	
9													
10													

University Strategy to 2017
Extract of Aims

<u>Learning and Teaching Aims (LT)</u>

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.

<u>Research (R)</u>

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.

<u>Wider Impact (WI)</u>

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.

<u>Internationalisation (I)</u>

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

<u>Employability, Enterprise and Entrepreneurship (EEE)</u>

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