Risk Checklist

	DECLARATIONS			**Please select 'YES/ NO' below**
Q1	**Spend threshold**	**Is the total value of your contract (including extension) within the delegated threshold of your Partner organisation?**		YES
Q2	**Spend approvals**	**You have obtained the necessary spend approvals for your organisation.**		YES

	Subject	**Consider the questions below and then answer YES/NO**	**Supporting notes**	**Please select 'YES/ NO' below**
Q3	**Specification**	**Is it difficult to specify the requirement for the goods or services you are looking to buy?**	Have you purchased this or something similar before? If so, consider repurposing and modifying the previous requirement description to ensure its suitable for your current requirement. Or, review similar examples to give you an indication of the level of detail required and what aspects to include, e.g. all required licences / permit are detailed to carry out the activity. Discuss with colleagues to try and clarify your view about the goods or service you want to buy, and what you want them to deliver.	NO
Q4	**Reputation / Stakeholder Interest**	**Are there potential public relations risks in failing to adequately buy / or deliver this good/service?**	Consider if the subject matter of the requirement is sensitive in nature and may give rise to the apperance of bias or lead to reputational risk, e.g. requirements that involve animal welfare. Consider if poor performance of / failure to deliver the contract could lead to stakeholder / public criticism. Is there a conflict of interest? Defra group must not conduct business with individuals that are subject to UK Government sanctions. If a supplier ithat s Russian / Belarusian, or likely to be owned or controlled by a parent company in those countries, expresses an interest then contact DgC for advice.	NO

Q5	**Risk of failure**	**Is there a significant risk of contract / supplier failure?**	Example considerations: If a known and incumbent supplier, speak to the contracnt manager to see if there are any performance or financial concerns. If a known supplier previosuly used speak to colleagues who were involved in the selection/management of the supplier to understand if there were any concerns. If the contract / supplier failed, there could be a significant affect on a key service or programme. For unknown suppliers a general google serach may provide some useful infromation to inform this risk.	NO
Q6	**Sustainability - Environmental**	**Are there likely to be adverse environmental impacts associated with the delivery of this requirement?**	Example considerations: - Carbon intensive product (including transport) or service - reduce carbon impacts - (avoid, reduce as far as possible, offset residual). - Inefficient and/or unsustainable resource use e.g. materials, water use - consider avoidance, re-use and sustainable choices, policy requirements e.g. timber. - Large amounts of non-recyclable waste - opportunities to avoid, reduce, maximise reuse/recycling. - Potential for environmental incidents e.g. spillage of hazardous waste - consider measures to minimise risk. - Negative impacts on trees, plants and/or animals. Animal welfare and biosecurity to be addressed e.g. control of invasive non-native species	NO
Q7	**Sustainability - Social** **Modern Slavery**	**Is there a risk of exploitation in the form of Modern Slavery within the supply chain that will be used to meet the requirements?**	Modern slavery covers situations where people are exploited this includes e.g. bonded / forced labour, sex trafficking, people trafficking, withholding passports, charging fees for employment. Modern Slavery does take place anywhere in the world including in the UK. Examples of high risk sectors include but are not limited to agriculture, construction and construction materials, electronics, facilities management services, fleet, clothing and personal protective equipment, landscaping and materials, solar panels & heat pumps. Other indicators of vulnerability to exploitation can include labour intensive, low paid and/or low skilled roles, temporary/seasonal work, workforce where people are not able to understand their rights due to language or other barriers. Where there is the risk of Modern Slavery ensure that your supplier can demonstrate how they are preventing or mitigating these risks.	NO
Q8	**Sustainability - Social**	**Are there Equality, Diversity and Inclusion issues associated with the**	Consider whether this product or service and how it is delivered is accessible and inclusive. Are there any specific considerations for users that need to be taken into account e.g. Such as access or requirements for users with mobility issues, dyslexia, sight or hearing problems, language barriers, religious, cultural or LGBT+ requirements etc. Ensure any research or engagement activities are inclusive.	YES

	Equality, Diversity & Inclusion	**delivery of this contract**	Encourage approaches that remove barriers and promote inclusvity e.g. ensure venues and facilities are accessible for wheelchairs and take into account cultural/religious needs, use of gender neutral language, following accessibility standards and guidance for documents.	
Q9	**H&S**	**Are there any Health & Safety aspects or issues associated with the delivery of this contract?**	Consider where relevant to your requirement: Size of workplace. Location of sites. Types of service or work done / or how goods are to be used. Degree and nature of inherent dangers when work done / or goods being used . For example works on a site that is visited by the public, difficult site terrain, overhead electricity cabling on site, use of chemicals. CDM regs apply for construction/ alteration/ repair/ removal of a structure and can include work such as site preparation, walling, fencing and **any** work relating to flood management.	NO

Q10	**IPR Intellectual Property Rights.**	**Will the resulting contract create, use or manage data?**
		
		Are additional steps required to cover the purchase, use or creation of IPR ie reports, images, map layers, films, audio recordings, software, code, and datasets or databases
			Standard contracts in Defra usually provide that each Party keeps ownership of its own existing IP Rights (IPR), the Supplier licences the Authority to use their IPR, appropriate licences for third-party IPR must be in place, and any New IPR created under the Contract is owned by the Authority.
			
			If:
			   1. You're not certain your requirements are dealt with by your standard contract terms; or
			   2. the Supplier may need to use a third party's IPR; or
			   3.the objective of this contract is purely to procure use of existing IP
			
			then say YES
				NO

Q11	**Data and Information handling**	**Are there significant risks with the contractor handling information of a sensitive or confidential nature / or information that is subject to any relevant security measures, that cannot be dealt with under the terms and conditions you are planning to use?**	The Contracting Authority is the 'Controller' and the Supplier is the 'Processor' of data for the purposes of the Data Protection Legislation, and the contract terms that you use should include details of each parties responsibilities. Your organisation is a controller of personal data if it holds it and makes decisions on how it wants to use the data. Your organisation may also use processors, who will act only under instruction from a controller and do not make decisions on what data processing happens.	NO

			Is your planned data relationship with the supplier at risk of being different to the above (for example, DDTS engaging a supplier on behalf of an ALB as a processor) then click YES."	
Q12	**Artificial Intelligence (AI)**	**Does your supplier intend to use Artificial Intelligence to provide a bid, prepare research, or analyze some of your data using AI? Then certain actions need to be completed**	AI can be used by suppliers for: **Bidding:** Analyzing trends and automating bid creation for efficiency. **Research**: Identifying patterns and visualizing data for clarity. **Data Analysis:** Processing large datasets to uncover insights for strategy.	No
Q13	**Data Ethics**	**Does your procurement or delivery involve the collection of (or use of existing) data from human participants for research purposes?**	You need to ensure your partner/contractor is aligned with organisations expectations around Research Ethics	No

If you answered YES to any questions above indicate below the action taken and outcome.

Question no.	Action		Outcome
8	Are there Equality, Diversity and Inclusion issues associated with the delivery of this	Ensure materials created and formating meets the standard WCAG 2.1 standards	

	Completed by
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Team	Oxford to Cambridge team
Date	6/5/2025

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Next steps	Useful links
Continue to next declaration	MyBuy page - How to Request a Service
Continue to questions	

Next steps	Useful links	Comments to take account of risk
Continue to next question	Writing a specification guidance	
Continue to next question	Conflict of Interest Guidance	

Continue to next question		
Continue to next question	[Defra intranet - Sustainability](#)	
	[Defra central Sustainability Hub and Team](#)	
	[EA Sustanable Business](#)	
	[EA eMission2030](#)	
Continue to next question	[Defra intranet - Modern Slavery](#)	
Consider how to mitigate risks or barriers by using your organisations intranet guidance or contacting your local HR representative. .

Information about barriers for different groups and things to | [Defra intranet - EDI](#) | |
| | [Defra - Equality Diversity and Inclusion EDI Defra Group](#) | |
| | [Easinet - EDI](#) | |

think about to address them is also available on the EDI Sharepoint pages: Equality Diversity and Inclusion EDI Defra Group - Home (sharepoint.com). You can contact Diversity.Team@defra.gov.uk if you have further queries.	NE intranet - EDI	
	APHA intranet- EDI	
	RPA intranet - EDI	
Continue to next question	Defra intranet - Health and Safety guidance	
	NE Health and Safety Team	
	MMO Health and Safety guidance	
	EA Health, Safety and wellbeing guidance	
	RPA Health and Safety guidance	
	APHA Safety, Health and wellbeing guidance	
Continue to next question	NE Data Related Procurement	
	NE Licensing Process	
	MyBuy page showing all ALB Terms and Conditions	
You have finished the risk assessment.	Defra Data Protection guidance	
	MMO Data Protection guidance	
	NE Data Protection guidance	

	EA Data Protection guidance	
If you intend to purchase a product that utilizes Artificial Intelligence (AI), please refer to procurement policy note 2/24, 'Improving Transparency of AI Use in Procurement.' to understand about Generative AI and the Large Language Models (LLMS) such as Chat GPT, Co Pilot, All requirements for purchasing AI must be submitted to DgC and should not be procured under self-service. If you suspect that a supplier may be using AI to provide services, then supplier is required to complete a declaration, which will not be socred but is to be returned with the request for quote. This will declaration will help you in mitigating risks related to use of AI. You can also get more help from Defra Security team.	Procurement Policy Note 2 /24 Improving Transparency of AI use	
For NE staff: see 'useful links' for further guidance. NE staff can also email the Committee to discuss your requirement and find support.	https://defra.sharepoint.com/teams/Team2546/SitePages/Home.aspx	
	NEResearchEthicsCommittee@naturalengland.org.uk	