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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
1	Loss of Staff Members	The team is relatively small, the skills are not shared, it is even complicated to cover all necessary activities. ----- 2010 ----- The team was growing during 2010, so the substitutability of the team members. The team members activities are documented and presented	Management	Organisational Fitness	2010-12-16 16:18:48	Low	Medium (Service Delivery)	6	Avoidance Strategy: Ideal would be to add more staff members to the team and make them share the knowledge. Not in the budget. Strategy Owner: Management Target: Check Date: 2010-10-31 Avoidance Strategy: To document all processes and activities to make it easier and quicker for new staff members to acquire all necessary skills Strategy Owner: Management Target:	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		on the regular team meetings, the documents are stored in the newly established NUSI wiki. The team is compact and located in one place. The risk vulnerability is lower, but the risk still exists							Check Date: 2010-09-30 Avoidance Strategy: Keep documenting the team activities, store and organise related documents to the NUSL wiki, improve the working conditions of the teqam Strategy Owner: Management Target: Check Date: 2011-12-15	
2	Pilot Project End	After the pilot project end - see constraint Project Duration - might the	Management	Mandate & Commitment to Digital Object Maintenance Organisational Fitness	2010-12-1 6 16:21:28	Low	Low (Service Delivery)	4	Treatment Strategy: To try to get involved in another successive project and/or to find another financing source for the	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		repository have problems with financing and mandate ----- 2010 ----- The main NUSL activities (long term grey literature collection, preservation and accessibility) are covered in the NTK budget for the years following 2011. Further development should be							continuing NUSL project Strategy Owner: Management Target: Check Date: 2010-09-30 Avoidance Strategy: Look for another grant to support the development of NUSL Strategy Owner: Management Target: Check Date: 2011-06-30	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		covered by another grant program. The risk is minimised and its character slightly changed, but still exists								
3	Disaster Recovery	Disaster recovery plan is missing. There is in place simple backup plan, but the recovery after some data loss is not described. ----- 2010 ----- Together with backup	Management Administrator	Preservation of Digital Object Integrity, Authenticity &amp Usability	2010-12-16 16:28:10	Very Low	Medium (Service Delivery)	3	Treatment Strategy: To create written disaster recovery plan Strategy Owner: Management Target: Check Date: 2010-09-30 Avoidance Strategy: To finalise and validate the disaster reovery plan and store it to thše NUSL wiki	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		strategy and methodology is being developed disaster recovery plan. The plan has to be finalised and validated. The risk is slightly minimalised, but still exists							Strategy Owner: Management Target: Check Date: 2011-06-30	
4	Partner Network Voluntary	The planned network of partner organisations, supplying content for the repository, is based on organisations voluntariness,	Management Legal Support	Legal &amp Regulatory Legitimacy Acquisition & Ingest	2010-12-18 09:27:13	Medium	High (Service Delivery)	12	Treatment Strategy: To try to find more motivations for the partners, to try to simplify the process for them, to explain better the benefits of the partnership (for example the benefit of one central archive,	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		there is no legal regulation in place. ----- 2010 ----- For partners was prepared local CDS Invenio installation pre-configured for creation of grey literature digital collection followed by methodical documents and training for partners plus targeted NUSL propagation in							international aspect of the project, possibly influencing the financing of the partners etc.). Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy: Promotion of the project towards the partners Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy: Try to get NUSL rated for the impact factor - very political ministerial level.	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		the press, conferences etc. Signed contracts with 16 partners, but the risk still applies							Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy: Continue to promote NUSL among potential partners, create a partner success story Strategy Owner: Management Target: Check Date: 2011-06-30	
5	Backup Tapes Storage	Tapes with backup copies of the repository are stored in the same room,	Management Administrator	Preservation of Digital Object Integrity, Authenticity &amp Usability Adequate Technical Infrastructure	2010-12-14 09:59:35	Very Low	Medium (Service Delivery)	3	Treatment Strategy: Within the backup and disaster recovery strategy to try to find alternative safe storage at least for some	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		where the physical repository itself is located. ----- 2010 ----- Backup strategy and methodology is being developed uncluding tape handling and disaster recovery plan. The plan has to be validated and finalised.							selected backup tapes. Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy: Finalize and validate written backup strategy, stopre the document to NUSL wiki Strategy Owner: Management Target: Check Date: 2011-06-30	
6	Financial Shortfall	Finances are sufficient for the status quo, not for the	Management	Mandate & Commitment to Digital Object Maintenance	2010-12-13 14:27:02	Low	Low (Organisational Viability)	4	Treatment Strategy: To find another source of financing, another project Strategy Owner:	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		advancement of the repository ----- 2010 ----- Financing of the project is continuously ensured, for example for software licences, hardware renewal etc.							Management Target: Check Date: 2010-09-30 Treatment Strategy: Look for another grant to support the financing of NUSL Strategy Owner: Management Target: Check Date: 2011-06-30	
7	Budget for Services	Services of the supplier of the software for user interface FAST, company INCAD, are	Management	Dissemination Adequate Technical Infrastructure	2010-12-13 14:29:44	Low	Low (Service Delivery)	4	Treatment Strategy: To find/cover the finances within the NTK budget on time. Strategy Owner: Management Target: Check Date:	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		covered in the budget and contract until the end of the year 2010. ----- 2010 ---- The servicers contract with FAST system supplier is signed until the end of 2013.							2010-09-30 Treatment Strategy: Include this finances to the 2014 budget Strategy Owner: Management Target: Check Date: 2013-06-30	
8	FAST Trial Version	NTK uses for the repository trial version of the software FAST, covered by contract with INCAD until the end of the year 2011.	Management	Dissemination Adequate Technical Infrastructure	2010-12-19 11:03:37	Very Low	Very Low (Service Delivery)	1	Treatment Strategy: To start the process of contract negotiation and finding the financial resources for the software licence during the year 2010. Strategy Owner: Management Target:	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		----- 2010 ----- Full FAST version already in place - this risk was eliminated							Check Date: 2010-09-30	
9	Weak Mandate	There is only one relatively brief paragraph in the NTK status ----- 2010 ----- Grey literature topic is included in the conception of library development in CZ until 2014. The new	Management	Mandate & Commitment to Digital Object Maintenance	2010-12-18 09:55:31	Very Low	Very Low (Reputation and Intangibles)	1	Treatment Strategy: Political issue influencing the NUSL reputation among others within the partner network - for example to try to get formal support from the National Library of Czech Republic and Academy of Sciences. Strategy Owner: Management Target: Check Date: 2010-09-30	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		addendum to the NTK status from 2010/05/12 adds in the sections 3f and 3h new mandates, see section Mandate of the audit. This risk is now very minimal.								
10	No Ingest Policy	There is no formalized ingest policy in place with described responsibilitie s ----- 2010 ----- Ingest metdodology	Management	Efficient & Effective Policies Acquisition & Ingest	2010-12-1 8 10:01:03	Very Low	Low (Service Delivery)	2	Treatment Strategy: To create formalised written ingest policy Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy:	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		is being developed. In the NUSL team was created the role of the content management. Risk now very weak							Continue to document ingest policy, store the related documents to the NUSL wiki Strategy Owner: Management Target: Check Date: 2011-12-15	
11	Document Formats	Nonexistent description of supported document formats Nonexistent formalized procedure for migration of formats to newer versions ----- 2010 -----	Management Administrator	Efficient & Effective Policies Preservation of Digital Object Integrity, Authenticity &amp Usability	2010-12-18 10:03:29	Very Low	Low (Service Delivery)	2	Treatment Strategy: To create the plan, which data formats will NUSL support including the migration policy Strategy Owner: Management Target: Check Date: 2010-09-30 Avoidance Strategy: Take in account	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		External analysis of this questions was ordered together with Long Term Preservation Strategy Risk. The format handling is now described, risk very weak.							supported document formats in all related NUSL metadata and content activities Strategy Owner: Management Target: Check Date: 2011-12-15	
12	Software Administration	There is only one administrator with skills for CDS Invenio administration, located in the IT department, non-substituta	Management Administrator	Adequate Technical Infrastructure	2010-12-18 10:06:12	Very Low	Medium (Service Delivery)	3	Treatment Strategy: To look for the replacement - new administrator or better possible outsourcing of the CDS Invenio administration. Strategy Owner: Management Target: Check Date:	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		ble. ----- 2010 ----- The software administrator was transferred under the management of the NUSL manager, another team member was trained in this area and the documentation for the administrator is being created. Weak risk.							2010-09-30 Treatment Strategy: Keep the administrator documentation up to date with all relevant changes, for example with new CDS Invenio version Strategy Owner: Administrator Target: Check Date: 2011-12-15	
13	Undocumented Policies	There is generally low degree of	Management Administrator Metadata	Organisational Fitness Efficient &	2010-12-13 15:20:21	Low	Medium (Organisational Viability)	6	Treatment Strategy: After completing the DRAMBORA	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		policies documentation ----- 2010 ----- Undocumented processes are continuously documented, NUSL wiki has been created	management Legal Support	Effective Policies Acquisition & Ingest Preservation of Digital Object Integrity, Authenticity &amp Usability Metadata Management & Audit Trails Dissemination Preservation Planning & Action					Assessment to map all discovered policy shortcomings and check the list for omisions. For the newly discovered undocumented policies to start the process of documenting them. Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy: Use consequently NUSL wiki to store all related documents Strategy Owner: Management Target: Check Date:	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy 2011-12-15	Notes
14	Long Term Preservation Strategy not described	Long Term Preservation Strategy and the preservation plan are not sufficiently described ----- 2010 ----- External analysis of this questions was ordered together with Document Format Risk - see section Constraints. This analysis hat to be verified.	Management	Preservation Planning & Action	2010-12-1 7 06:45:30	Low	Medium (Service Delivery)	6	Treatment Strategy: With the development of the repository to describe the long term preservation plan and strategy Strategy Owner: Management Target: Check Date: 0000-00-00 Treatment Strategy: Verify and apply the related analysis Strategy Owner: Management Target: Check Date: 2011-06-30	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
15	Staff Skills insufficient	With the time and development of technologies and policies might staff skills become insufficient ----- 2010 ----- The groving team continuously acquires required skills by self-improvem ent, related conferences and trainings. The team members feels, that they	Management	Organisational Fitness	2010-12-1 9 11:27:17	Low	Medium (Service Delivery)	6	Treatment Strategy: Ensure proper training for the staff members Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy: Keep staff training among top management priorotes Strategy Owner: Management Target: Check Date: 2011-12-15	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		are acquiring unique skills.								
16	Deliberate System Sabotage	Dissatisfied or released staff member might deliberate damage the repository ----- 2010 ----- The content and system backup is daily performed, the role of content manager was created, the team grows and so grows the substitutability in the team.	Management Administrator	Preservation of Digital Object Integrity, Authenticity &amp Usability	2010-12-13 15:27:13	Very Low	High (Service Delivery)	4	Avoidance Strategy: Ensure the satisfaction of the team members by establishing good working conditions Strategy Owner: Management Target: Check Date: 2010-09-30 Treatment Strategy: Ensure proper backups of the repository, regular checking of the repository consistency Strategy Owner: Administrator Target: Check Date: 2010-09-30	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
									Avoidance Strategy: Include this topic to the disaster recovery plan Strategy Owner: Management Target: Check Date: 2011-12-15	
17	Duplicate project	There is ongoing activity of the Masaryk University in Brno to establish project similar to NUSL	Management	Mandate & Commitment to Digital Object Maintenance Legal &amp Regulatory Legitimacy	2010-12-1 5 10:41:34	Medium	High (Reputation and Intangibles)	12	Treatment Strategy: Strenghten the position on NUSL in the public, among partners and on the ministery level by variou means of publicity Strategy Owner: Management Target: NUSL is recognised as the primary national digital repository of grey	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
									literature Check Date: 2010-06-30	
18	Partners do not supply fulltexts	NUSL partners often do not supply full texts of the documents, rather metadata only.	Management Content Management Services	Efficient & Effective Policies Acquisition & Ingest Dissemination	2010-12-1 5 10:46:12	High	High (Service Delivery)	16	Treatment Strategy: Educate the partner network by various means of publicity, presentations, articles, personal visits etc. about the importance of supplying fulltexts to NUSL in order to support dissemination of national grey literature on the national level and abroad. Strategy Owner: Management Target: 50% of partners are supplying fulltexts Check Date: 2011-12-15	

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
19	Slow growth of partner network	To establish and activate new partner is very complicated for various reasons: - lack of management support - low amount of grey literature - insufficient skills and capacity	Management Services	Acquisition & Ingest Dissemination	2010-12-15 10:51:57	High	High (Service Delivery)	16	Treatment Strategy: Continue to propagate NUSL, create success story with one excellent partner, always try to find one enthusiastic supporter on the potential partner side. Strategy Owner: Management Target: 20 new partners in the year 2011 Check Date: 2011-12-15	
20	Sample partner contract has limited usability	The prepared sample contract has limited usability, because	Management Services	Acquisition & Ingest Dissemination	2010-12-15 15:20:52	Medium	Medium (Service Delivery)	9	Treatment Strategy: Together with the legal support analyse the main areas of changes in the sample contract and add this areas to	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		potential partners demand lot of changes							the sample contract as variants. Strategy Owner: Management Target: Renewed variable sample contract Check Date: 2011-06-30	
		Legal Cooperation with Masaryk University Brno on every contract, without this collaboration risk much higher								
21	Migration to new HW platform	Migration to new HW platform is planned soon	Administrator	Adequate Technical Infrastructure	2010-12-15 11:07:00	High	Medium	12	Avoidance Strategy: Study the new HW/SW platform in areas related to NUSL, anticipate risk areas, prepare migration plan including backup and recovery strategy for	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
									the case of difficulties Strategy Owner: Management Target: Succerssfull migration with minimal impact to NUSL public services Check Date: 2011-06-30	
22	New CDS Invenio version	New version of CDS Invenio is planned soon	Administrator	Preservation of Digital Object Integrity, Authenticity &amp Usability Dissemination	2010-12-18 09:42:37	High	Low (Service Delivery)	8	Avoidance Strategy: Study the new CDS Invenio version in areas related to NUSL, anticipate risk areas, prepare migration plan including backup and recovery strategy for the case of difficulties Strategy Owner: Management	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
									Target: Succerssfull migration with minimal impact to NUSL public services Check Date: 2011-06-30	
23	Legal Risk - Authors Act	Because of the complicated Authors Act regulations in CZ there is potential Risk of the storage of documents, where the authors rights do not belong to he provider of the document, for example in	Management Legal Support	Legal &amp Regulatory Legitimacy	2010-12-16 10:03:02	Medium	High (Reputation and Intangibles)	12	Avoidance Strategy: Educate partners in the area of possible Authors Act migration by preparing presentation and document describing the potential risk areas Strategy Owner: Management Target: Document and presentation for partners on risk areas Check Date: 2011-06-30	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		case of exclusive licences, co-authorship et. See Constraits - legal expertises								
24	Termination of legal support	During 2010 NUŠL used legal services of JUDr. Radim Polcak and Mgr. Jaromir Savelka from Faculty of Law MU Brno mainly for partner contracts. There is possible risk	Legal Support	Legal &amp Regulatory Legitimacy	2010-12-1 8 09:40:44	Low	High (Organisation al Viability)	8	Treatment Strategy: Try to find potential new source of legal support Strategy Owner: Management Target: Potential new source of legal support identified Check Date: 2011-06-30 Avoidance Strategy: Improve the sample contract in the way described in the related	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		of termination of this cooperation, because the cooperation is based on personal interest of the two lawyers.							risk, store all related legal documents, expertise etc. to the NUSL wiki Strategy Owner: Management Target: Check Date: 2011-06-30	