

| # | 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.<br>----- 2010 -----<br>The team was growing during 2010, so the substitutability of the team members.<br>The team members activities are documented and presented | Management | Organisational<br>Fitness | 2012-01-0<br>9 10:34:55 | Medium      | High (Service Delivery) | 12       | Avoidance Strategy:<br>Ideal would be to add more staff members to the team and make them share the knowledge. Not in the budget. For 2012 is the budget even lower.<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-06-30<br><br>Avoidance Strategy: To document all processes and activities to make it easier and quicker for new staff members to acquire all necessary skills - for 2012 even more important<br>Strategy Owner: |       |

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|   |      | 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 |       |                    |         |             |        |          | Management<br>Target:<br>Check Date:<br>2010-06-30<br><br>Avoidance Strategy:<br>Keep documenting the team activities, store and organise related documents to the proper storagei, improve the working conditions of the team<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-09-30 |       |
|   |      | 2011 - NTK staff was reduced by 15% including NUSL team, where some   |       |                    |         |             |        |          |   |       |

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|   |                   | jobs contracts were shortened.<br>The risk vulnerability is now and for 2012 higher.   |            |   |                     |             |                           |          |  |       |
| 2 | Pilot Project End | After the pilot project end - see constraint Project Duration - might the repository have problems with financing and mandate ----- 2010 -----<br>The main NUSL activities (long term grey | Management | Mandate & Commitment to Digital Object Maintenance Organisational Fitness | 2012-01-04 13:27:22 | Low         | Medium (Service Delivery) | 6        | Treatment Strategy: To try to get involved in another successive project and/or to find another financing source for the NUSL repository - now integral part of the NTK budget<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-09-30<br><br>Avoidance Strategy: Bring this theme to the |       |

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|   |      | literature collection, preservation and accessibility) are covered in the NTK budget for the years following 2011. Further development should be covered by another grant program. The risk is minimised and its character slightly changed, but still exists |       |                    |         |             |        |          | proposed NUSL Council, if it will be established<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-06-30 |       |

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|   |                   | 2011 - pilot project ended, NUSL is part of the NTK services, the time shows which impact this will have on NUSL   |                          |  |                     |             |                           |          |  |       |
| 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 & Usability | 2012-01-04 13:29:53 | Very Low    | Medium (Service Delivery) | 3        | Treatment Strategy: To maintain and further develop the written disaster recovery plan - maybe even test it<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-09-30<br><br>Avoidance Strategy: Validate the backup storage outside te NTK |       |



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|---|------|--|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | 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 |       |                    |         |             |        |          | building<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-06-30 |       |
|   |      | 2011 new backup plan was developed and it is planned to store backups outside the NTK building   |       |                    |         |             |        |          |   |       |

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|---|---------------------------|--|-----------------------------|--|---------------------|-------------|-------------------------|----------|--|-------|
| 4 | Partner Network Voluntary | The planned network of partner organisations, supplying content for the repository, is based on organisations voluntariness, there is no legal regulation in place.<br>----- 2010 -----<br>For partners was prepared local CDS Invenio installation pre-configured for creation of grey literature | Management<br>Legal Support | Legal & Regulatory Legitimacy Acquisition & Ingest | 2012-01-10 09:21:08 | 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, international aspect of the project, possibly influencing the financing of the partners etc.).<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-09-30<br><br>Treatment Strategy: Promotion of the project towards the partners |       |

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|---|------|---|-------|--------------------|---------|-------------|--------|----------|--|-------|
|   |      | digital collection followed by methodical documents and training for partners plus targeted NUSL propagation in the press, conferences etc. Signed contracts with 16 partners, but the risk still applies |       |                    |         |             |        |          | and towards the public users<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-06-30<br><br>Treatment Strategy: Try to get NUSL rated for the impact factor - very political ministerial level.<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-09-30<br><br>Treatment Strategy: Continue to promote NUSL among potential partners, create a partner success story |       |
|   |      | 2011 - 38 partner contracts signed so far,  |       |                    |         |             |        |          |  |       |



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|---|----------------------|--|--------------------------|--|---------------------|-------------|---------------------------|----------|--|-------|
|   |                      | but the growth of partnet network is slow and complicated, risk still applies  |                          |  |                     |             |                           |          | Strategy Owner: Management<br>Target:<br>Check Date: 2012-06-30  |       |
| 5 | Backup Tapes Storage | Tapes with backup copies of the repository are stored in the same room, where the physical repository itself is located.<br>----- 2010 -----<br>Backup strategy and methodology is being | Management Administrator | Preservation of Digital Object Integrity, Authenticity & Usability Adequate Technical Infrastructure | 2012-01-04 13:30:43 | Very Low    | Medium (Service Delivery) | 3        | Treatment Strategy: Validate the backup storage outside the NTK building<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-06-30<br><br>Treatment Strategy: Maintain and develop the backup procedures and strategy<br>Strategy Owner: Management |       |

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|---|------------------------|---|------------|----------------------------|-------------------------|-------------|-------------------------|----------|--|-------|
|   |                        | developed<br>including tape<br>handling and<br>disaster<br>recovery plan.<br>The plan has<br>to be validated<br>and finalised.  |            |                            |                         |             |                         |          | Target:<br>Check Date:<br>2012-06-30             |       |
|   |                        | 2011 new<br>backup plan<br>was<br>developed<br>and it is<br>planned to<br>store backups<br>outside the<br>NTK building -<br>but this is still<br>not finalised -<br>risk still exists |            |                            |                         |             |                         |          |  |       |
| 6 | Financial<br>Shortfall | Finances are<br>sufficient for  | Management | Mandate &<br>Commitment to | 2012-01-0<br>4 13:32:41 | Low         | Medium<br>(Organisation | 6        | Treatment Strategy: To<br>find another source of |       |

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|---|------|--|-------|-------------------------------|---------|-------------|---------------|----------|---|-------|
|   |      | the status<br>quo, not for<br>the<br>advancement<br>of the<br>repository<br>----- 2010 -----<br>Financing of<br>the project is<br>continuously<br>ensured, for<br>example for<br>software<br>licences,<br>hardware<br>renewal etc.<br><br>2011 - For<br>2012 will be<br>NUSL<br>financed from<br>the NTK<br>budget without |       | Digital Object<br>Maintenance |         |             | al Viability) |          | financing - additional to<br>the NTP budget<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-09-30<br><br>Treatment Strategy:<br>Look for another grant<br>to support the financing<br>of NUSL<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2021-06-30 |       |

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|---|---------------------|---|------------|---|---------------------|-------------|------------------------|----------|---|-------|
|   |                     | financial support from any project, the time shows the impact of this change.   |            |   |                     |             |                        |          |   |       |
| 7 | Budget for Services | Services of the supplier of the software for user interface FAST, company INCAD, are covered in the budget and contract until the end of the year 2010. ----- 2010 -----<br>The servicers contract with | Management | Dissemination Adequate Technical Infrastructure | 2010-12-13 14:29:44 | Very Low    | Low (Service Delivery) | 2        | Treatment Strategy: To find/cover the finances within the NTK budget on time.<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-09-30<br><br>Treatment Strategy: Include this finances to the 2014 budget<br>Strategy Owner: Management<br>Target: |       |

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|---|--------------------|---|------------|---|----------------------|-------------|-----------------------------|----------|---|-------|
|   |                    | FAST system supplier is signed until the end of 2013.   |            |   |                      |             |                             |          | Check Date:<br>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. ----- 2010 ----- Full FAST version already in place - this risk was eliminated | Management | Dissemination Adequate Technical Infrastructure | 2010-12-1 9 11:03:37 | Very Low    | Very Low (Service Delivery) | 1        | Treatment Strategy:<br>Include payment for the FAST full version to the NTK budget on time<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-09-30 |       |
| 9 | Weak               | There is only   | Management | Mandate &                                       | 2012-01-0            | Very Low    | Low                         | 2        | Treatment Strategy:   |       |

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|---|---------|--|-------|--|------------|-------------|------------------------------|----------|---|-------|
|   | Mandate | 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 addendum to the NTK status from 2010/05/12 adds in the sections 3f and 3h new mandates, |       | Commitment to Digital Object Maintenance | 4 13:40:29 |             | (Reputation and Intangibles) |          | The proposed NUSL Council should be established and start working ASAP<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-02-29 |       |

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|----|---------------------|--|------------|--|-------------------------|-------------|---------------------------|----------|---|-------|
|    |                     | see section<br>Mandate of<br>the audit. This<br>risk is now<br>very minimal.<br><br>2011 - the<br>mandate will<br>be further<br>strengthened,<br>if the<br>proposed<br>NUSL Council<br>will be created<br>- see<br>Constraints |            |  |                         |             |                           |          |   |       |
| 10 | No Ingest<br>Policy | There is no<br>formalized<br>ingest policy<br>in place with<br>described<br>responsibilitie<br>s   | Management | Efficient &<br>Effective Policies<br>Acquisition &<br>Ingest | 2012-01-1<br>1 10:15:55 | Very Low    | Low (Service<br>Delivery) | 2        | Treatment Strategy:<br>Continue to maintain<br>and develop current<br>ingest policy<br>Strategy Owner:<br>Management<br>Target: |       |

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|----|---------------------|---|-----------------------------|-----------------------------------|-------------------------|-------------|---------------------------|----------|---|-------|
|    |                     | ----- 2010 -----<br>Ingest<br>metdodology<br>is being<br>developed. In<br>the NUSL<br>team was<br>created the<br>role of the<br>content<br>management.<br>Risk now very<br>weak |                             |                                   |                         |             |                           |          | Check Date:<br>2012-09-30<br><br>Treatment Strategy:<br>Continue to document<br>ingest policy, make the<br>documents available to<br>the NUSL team<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-06-30 |       |
|    |                     | 2011 - ingest<br>policies were<br>during the<br>year 2011<br>further<br>developed -<br>risk very low  |                             |                                   |                         |             |                           |          |   |       |
| 11 | Document<br>Formats | Nonexistent<br>description of   | Management<br>Administrator | Efficient &<br>Effective Policies | 2012-01-0<br>9 09:27:07 | Very Low    | Low (Service<br>Delivery) | 2        | Treatment Strategy:<br>Maintain and develop   |       |



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|---|------|--|-------|--|---------|-------------|--------|----------|--|-------|
|   |      | supported document formats Nonexistent formalized procedure for migration of formats to newer versions ----- 2010 ----- External analysis of this questions was ordered together with Long Term Preservation Strategy Risk. The format handling is now described, risk |       | Preservation of Digital Object Integrity, Authenticity & Usability |         |             |        |          | the methodology, which data formats will NUSL support including the migration policy<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-09-30<br><br>Avoidance Strategy:<br>Take in account supported document formats in all related NUSL metadata and content activities including the possible document typology and metadata changes<br>Strategy Owner: Management<br>Target:<br>Check Date: |       |

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|----|-------------------------|---|--------------------------|-----------------------------------|---------------------|-------------|-------------------------|----------|---|-------|
|    |                         | very weak.  |                          |                                   |                     |             |                         |          | 2012-09-30  |       |
|    |                         | 2011 - new version of the analysis/document/policies was created - see Constraints, risk very low   |                          |                                   |                     |             |                         |          |   |       |
| 12 | Software Administration | There is only one administrator with skills for CDS Invenio administration, located in the IT department, non-substitutable. ----- 2010 -----<br>The software | Management Administrator | Adequate Technical Infrastructure | 2012-01-09 09:28:35 | Medium      | High (Service Delivery) | 12       | Treatment Strategy: To look for the additional SW administrator to the current part-time one<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-02-29<br><br>Treatment Strategy: Keep the administrator documentation up to |       |

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|---|------|---|-------|--------------------|---------|-------------|--------|----------|--|-------|
|   |      | administrator<br>was<br>transferred<br>under the<br>management<br>of the NUSL<br>manager,<br>another team<br>member was<br>trained in this<br>area and the<br>documentatio<br>n for the<br>administrator<br>is being<br>created. Weak<br>risk.<br><br>2011 - the<br>full-time SW<br>administrator<br>left the<br>company, |       |                    |         |             |        |          | date with all relevant<br>changes, for example<br>with new CDS Invenio<br>version and make it<br>available to the NUSL<br>team<br><br>Strategy Owner:<br>Administrator<br><br>Target:<br>Check Date:<br>2012-09-30 |       |



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|----|-----------------------|---|--|---|---------------------|-------------|-----------------------------------|----------|---|-------|
|    |                       | replaced by<br>part-time<br>worker, the<br>risk is again<br>higher  |  |   |                     |             |                                   |          |   |       |
| 13 | Undocumented Policies | There is generally low degree of policies documentation ----- 2010 ----- Undocumented processes are continuously documented, NUSL wiki has been created<br><br>2011 - NUSI wiki was cancelled | Management Administrator Metadata management Legal Support | Organisational Fitness Efficient & Effective Policies Acquisition & Ingest Preservation of Digital Object Integrity, Authenticity & Usability Metadata Management & Audit Trails Dissemination Preservation Planning & Action | 2012-01-09 09:32:32 | Medium      | Medium (Organisational Viability) | 9        | Treatment Strategy:<br>After completing the DRAMBORA Assessment to map all discovered policy shortcomings and check the list for omissions. For the newly discovered undocumented policies to start the process of documenting them.<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-09-30 |       |

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|----|---|---|------------|--------------------------------|---------------------|-------------|------------------------|----------|--|-------|
|    |   | because of weak security of the solution, partially replaced by Invenio bug tracking at google code (see Activities)              |            |                                |                     |             |                        |          | Treatment Strategy:<br>Think of the replacement of the cancelled NUSL wiki to store all related documents<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-09-30 |       |
| 14 | Long Term Preservation Strategy not described | Long Term Preservation Strategy and the preservation plan are not sufficiently described ----- 2010 -----<br>External analysis of | Management | Preservation Planning & Action | 2012-01-09 10:07:18 | Very Low    | Low (Service Delivery) | 2        | Treatment Strategy:<br>Maintain and further develop the current Long Term Preservation Strategy<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-12-15           |       |

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|    |                              | <p>this questions<br/>was ordered<br/>together with<br/>Document<br/>Format Risk -<br/>see section<br/>Constraints.<br/>This analysis<br/>has to be<br/>verified.</p> <p>2011 - new<br/>version of the<br/>analysis/docu-<br/>ment/policies<br/>was created -<br/>see<br/>Constraints,<br/>risk very low</p> |            |                           |                         |             |                                 |          | <p>Treatment Strategy:<br/>Verify and apply the<br/>related analysis<br/>Strategy Owner:<br/>Management<br/>Target:<br/>Check Date:<br/>2012-06-30</p> |       |
| 15 | Staff Skills<br>insufficient | With the time<br>and<br>development<br>of  | Management | Organisational<br>Fitness | 2012-01-1<br>2 13:31:10 | Medium      | Medium<br>(Service<br>Delivery) | 9        | <p>Treatment Strategy:<br/>Ensure proper training<br/>for the staff members -<br/>specially good</p>   |       |

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|   |      | technologies and policies might staff skills become insufficient ----- 2010 -----<br>The growing team continuously acquires required skills by self-improvement, related conferences and trainings. The team members feels, that they are acquiring unique skills.<br><br>2011 - with |       |                    |         |             |        |          | adaptation plans for new team members<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-06-30<br><br>Treatment Strategy: Keep staff training and knowledge sharing among top management priorities<br>Strategy Owner: Management<br>Target:<br>Check Date: 2012-12-15 |       |

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|----|----------------------------|---|--------------------------|--|---------------------|-------------|-------------------------|----------|--|-------|
|    |                            | the connection to the Risk 1 it is important to keep eye on this risk and motivate staff members by education   |                          |  |                     |             |                         |          |  |       |
| 16 | Deliberate System Sabotage | Dissatisfied or released staff member might deliberate damage the repository ----- 2010 -----<br>The content and system backup is daily performed, the role of content manager was created, the | Management Administrator | Preservation of Digital Object Integrity, Authenticity & Usability | 2012-01-12 13:34:08 | Medium      | High (Service Delivery) | 12       | Avoidance Strategy:<br>Ensure the satisfaction of the team members by establishing good working conditions, training and personal development<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-09-30<br><br>Treatment Strategy:<br>Ensure proper backups |       |



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|    |                   | <p>team grows<br/>and so grows<br/>the<br/>substitutability<br/>in the team.</p> <p>2011 -<br/>connected to<br/>risks 1 and 15<br/>is this risk for<br/>the next<br/>period a bit<br/>higher</p> |            |   |                                 |             |  |          | <p>of the repository,<br/>regular checking of the<br/>repository consistency<br/>Strategy Owner:<br/>Administrator<br/>Target:<br/>Check Date:<br/>2012-09-30</p> <p>Avoidance Strategy:<br/>Include this topic to the<br/>disaster recovery plan<br/>Strategy Owner:<br/>Management<br/>Target:<br/>Check Date:<br/>2012-12-15</p> |       |
| 17 | Duplicate project | <p>There is<br/>ongoing<br/>activity of the<br/>Masaryk<br/>University in</p>  | Management | <p>Mandate &amp; Commitment to<br/>Digital Object<br/>Maintenance<br/>Legal &amp;</p> | <p>2012-01-1<br/>3 12:38:56</p> | Medium      | <p>High<br/>(Reputation<br/>and<br/>Intangibles)</p> | 12       | <p>Treatment Strategy:<br/>Strengthen the position<br/>on NUSL in the public<br/>users, among partners<br/>and on the ministry</p>  |       |

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|    |                                  | Brno to establish project similar to NUSL  |   | Regulatory<br>Legitimacy  |                     |             |                         |          | level by various means of publicity<br>Strategy Owner: Management<br>Target: NUSL is recognised as the primary national digital repository of grey literature<br>Check Date: 2012-12-15 |       |
|    |                                  | 2011 - the duplicate project continues at <a href="https://repositar.cz/">https://repositar.cz/</a> with universities participation, it is planned to add other organisation types - risk still high |   |   |                     |             |                         |          |   |       |
| 18 | Partners do not supply fulltexts | NUSL partners often do not supply full texts of the documents,   | Management<br>Content<br>Management<br>Services | Efficient & Effective Policies<br>Acquisition & Ingest<br>Dissemination | 2012-01-12 09:03:12 | High        | High (Service Delivery) | 16       | Treatment Strategy: Educate the partner network by various means of publicity, presentations, articles,   |       |

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|    |                                | rather metadata only.<br><br>2011 - over 100 000 recordss are stored in NUSL, only ca 300 of them have attached full-text digital documents, risk relatively high |                     |                                    |                     |             |                         |          | personal visits etc.<br>about the importance of supplying fulltexts to NUSL in order to support dissemination of national grey literature on the national level and abroad.<br>Strategy Owner: Management<br>Target: The amount of NUSL records with fulltexts increases to the 25%<br>Check Date: 2012-12-15 |       |
| 19 | Slow growth of partner network | To establish and activate new partner is very complicated for various   | Management Services | Acquisition & Ingest Dissemination | 2012-01-13 12:42:26 | High        | High (Service Delivery) | 16       | Treatment Strategy: Continue to propagate NUSL, create success story with one excellent partner, always try to find one enthusiastic  |       |

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|   |      | reasons:<br>- lack of<br>management<br>support<br>- low amount<br>of grey<br>literature<br>- insufficient<br>skills and<br>capacity<br><br>2011 - 38<br>partner<br>contracts<br>signed so far,<br>the growth of<br>partner<br>network is<br>complicated<br>by factors<br>mentioned<br>above plus<br>legal |       |                    |         |             |        |          | supporter on the<br>potential partner side.<br>Strategy Owner:<br>Management<br>Target: 25 new partners<br>in the year 2012<br>Check Date:<br>0201-12-15 |       |

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|----|---|--|---------------------|---------------------------------------|---------------------|-------------|---------------------------|----------|--|-------|
|    |   | regulations -<br>see<br>Constraints  |                     |                                       |                     |             |                           |          |  |       |
| 20 | Sample partner contract has limited usability | The prepared sample contract has limited usability, because potential partners demand lot of changes<br><br>Legal Cooperation with Masaryk University Brno on every contract, without this collaboration risk much | Management Services | Acquisition & Ingest<br>Dissemination | 2012-01-09 09:41:21 | Medium      | Medium (Service Delivery) | 9        | Treatment Strategy:<br>Together with the legal support analyse the main areas of changes in the sample contract and create new sample contract variants.<br>Strategy Owner:<br>Management<br>Target: New sample contract variants<br>Check Date:<br>0201-06-30 |       |

| #  | Name                         | Description   | Owner         | Functional Classes                | ID Date             | Probability | Impact   | Severity | Mitigation Strategy  | Notes |
|----|------------------------------|---|---------------|-----------------------------------|---------------------|-------------|----------|----------|--|-------|
|    |                              | higher  |               |                                   |                     |             |          |          |  |       |
|    |                              | 2011 - new sample contracts are being continuously created, danger of labor intensive contract handling - risk high |               |                                   |                     |             |          |          |  |       |
| 21 | Migration to new HW platform | Migration to new HW platform is planned soon  | Administrator | Adequate Technical Infrastructure | 2012-01-09 09:54:32 | Very Low    | Very Low | 1        | Avoidance Strategy:<br>Check for the next necessary HW migration                         |       |
|    |                              | 2011 - successfully migrated  |               |                                   |                     |             |          |          | Strategy Owner:<br>Management<br>Target: Estimated next HW migration date<br>Check Date: |       |

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| #  | Name                     | Description  | Owner                    | Functional Classes  | ID Date             | Probability | Impact                            | Severity | Mitigation Strategy   | Notes |
|----|--------------------------|--|--------------------------|---|---------------------|-------------|-----------------------------------|----------|---|-------|
|    |                          |  |                          |   |                     |             |                                   |          | 2012-06-30  |       |
| 22 | New CDS Invenio version  | New version of CDS Invenio is planned soon<br><br>2011- the new version was successfully installed, the migration was smooth | Administrator            | Preservation of Digital Object Integrity, Authenticity & Usability<br>& Dissemination | 2012-01-09 09:55:19 | Very Low    | Very Low (Service Delivery)       | 1        | Avoidance Strategy:<br>Check for the next necessary migration to new CDS Invenio version<br>Strategy Owner: Management<br>Target: Date for the new necessary SW migratio<br>Check Date:<br>2012-06-30 |       |
| 23 | Legal Risk - Authors Act | Because of the complicated Authors Act regulations in CZ there is potential Risk of the storage                              | Management Legal Support | Legal & Regulatory Legitimacy   | 2010-12-16 10:03:02 | Medium      | High (Reputation and Intangibles) | 12       | Avoidance Strategy:<br>Educate partners in the area of possible Authors Act migration by preparing presentation and document describing the potential risk areas                                      |       |

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| #  | Name                            | Description   | Owner         | Functional Classes                  | ID Date                 | Probability | Impact                                 | Severity | Mitigation Strategy  | Notes |
|----|---------------------------------|---|---------------|-------------------------------------|-------------------------|-------------|--|----------|--|-------|
|    |                                 | of documents,<br>where the<br>authors rights<br>do not belong<br>to he provider<br>of the<br>document, for<br>example in<br>case of<br>exclusive<br>licences,<br>co-authorship<br>et. See<br>Constraints -<br>legal<br>expertises |               |                                     |                         |             |  |          | Strategy Owner:<br>Management<br>Target: Document and<br>presentation (ev.<br>training) for partners on<br>risk areas<br>Check Date:<br>2012-06-30               |       |
| 24 | Termination of<br>legal support | During 2010<br>NUŠL used<br>legal services<br>of JUDr.<br>Radim Polcak<br>and Mgr.<br>Jaromir   | Legal Support | Legal &<br>Regulatory<br>Legitimacy | 2012-01-1<br>3 13:31:42 | Low         | High<br>(Organisation<br>al Viability) | 8        | Treatment Strategy: Try<br>to find potential new<br>source of legal support<br>Strategy Owner:<br>Management<br>Target: Potential new<br>source of legal support |       |



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| # | Name | Description  | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|--|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | Savelka from<br>Faculty of Law<br>MU Brno<br>mainly for<br>partner<br>contracts.<br>There is<br>possible risk<br>of termination<br>of this<br>cooperation,<br>because the<br>cooperation is<br>based on<br>personal<br>interest of the<br>two lawyers.<br><br>2011 - the<br>collaboration<br>secured for<br>the year 2012,<br>but the risk |       |                    |         |             |        |          | identified<br>Check Date:<br>2012-09-30<br><br>Avoidance Strategy:<br>Improve the sample<br>contracts in the way<br>described in the related<br>risk, make all related<br>legal documents,<br>expertise etc. available<br>to the NUSL team<br>(store to the NUSL wiki<br>replacement?)<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-09-30 |       |

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| #  | Name                    | Description   | Owner                                   | Functional Classes  | ID Date                 | Probability | Impact                     | Severity | Mitigation Strategy   | Notes |
|----|-------------------------|---|---|---|-------------------------|-------------|----------------------------|----------|---|-------|
|    |                         | exist for years<br>coming after<br>2012   |   |   |                         |             |                            |          |   |       |
| 25 | Law No.<br>130/2002 Sb. | Law No.<br>130/2002 Sb.<br>has the<br>consequence,<br>that it is not<br>possible to<br>have partner<br>contract from<br>the bodies<br>issuing grants<br>and have the<br>results of the<br>grant projects<br>from them, but<br>that it is<br>necessary to<br>have contracts<br>with the grant<br>recipients,<br>because they | Management<br>Legal Support<br>Services | Legal &<br>Regulatory<br>Legitimacy<br>Acquisition &<br>Ingest<br>Dissemination | 2012-01-1<br>3 13:51:13 | High        | High (Service<br>Delivery) | 16       | Treatment Strategy:<br>Consult this problem<br>with the legal support<br>and try to find<br>workaround<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-02-29<br><br>Treatment Strategy: For<br>the case of<br>unsuccessful search for<br>workaround try to<br>prepare strategy how to<br>minimize workload<br>connected to this risk -<br>sample contracts etc-<br>Strategy Owner: |       |

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| #  | Name                        | Description  | Owner              | Functional Classes  | ID Date             | Probability | Impact                    | Severity | Mitigation Strategy   | Notes |
|----|-----------------------------|--|--------------------|---|---------------------|-------------|---------------------------|----------|---|-------|
|    |                             | are owners of the project results.   |                    |   |                     |             |                           |          | Management<br>Target:<br>Check Date:<br>2012-06-30  |       |
| 26 | Document Typology Revisited | NUSL document typology is connected to the document collections, new partner organisations have new document types, which are not covered by current typology, for 2012 is planned the revision of the | Content Management | Acquisition & Ingest<br>Preservation of Digital Object Integrity, Authenticity & Usability<br>Dissemination | 2012-01-09 09:51:46 | High        | Medium (Service Delivery) | 12       | Avoidance Strategy:<br>Good preparation for the revision of the document typology including the study of similar typologies with the aim to balance the descriptiveness and complexity<br>Strategy Owner: Management<br>Target: Revised NUSL document typology well balanced<br>Check Date:<br>2012-02-29 |       |

| #  | Name                    | Description  | Owner                                | Functional Classes  | ID Date                 | Probability | Impact                          | Severity | Mitigation Strategy   | Notes |
|----|-------------------------|--|--------------------------------------|---|-------------------------|-------------|---------------------------------|----------|---|-------|
| 27 | Metadata<br>format NUSL | In the year<br>2012 NUSL<br>plans to<br>review the<br>usage of the<br>NUSL<br>metadata<br>format with<br>the aim to<br>terminate it's<br>usage and to<br>use MARC21<br>as official<br>NUSL<br>metadata<br>format | Management<br>Metadata<br>management | Metadata<br>Management &<br>Audit Trails<br>Dissemination | 2012-01-1<br>3 13:52:14 | High        | Medium<br>(Service<br>Delivery) | 12       | Avoidance Strategy:<br>Good preparation for<br>the change of the<br>metadata format<br>including the study of<br>experience study with<br>similar changes in<br>similar repositories<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-02-29 |       |