



národní  
úložiště  
šedé  
literatury

## **Audit Národního úložiště šedé literatury (NUŠL) v NTK s použitím nástroje DRAMBORA**

Národní technická knihovna  
2012

Dostupný z <http://www.nusl.cz/ntk/nusl-202349>

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Datum stažení: 27.05.2018

Další dokumenty můžete najít prostřednictvím vyhledávacího rozhraní [nusl.cz](http://nusl.cz) .

| # | 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 | 2012-12-0<br>5 09:45:04 | High        | Very High<br>(Service Delivery) | 20       | 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: 0000-00-00<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: |       |

| # | 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 |       |                    |         |             |        |          | Management<br>Target:<br>Check Date:<br>0000-00-00<br><br>Avoidance Strategy:<br>Keep documenting the team activities, store and organise related documents to the proper storage, improve the working conditions of the team<br>Strategy Owner:<br>Management<br>Target: Documented processes<br>Check Date:<br>2013-06-30 |       |
|   |      | 2011 - NTK staff was reduced by 15% including NUSL team, where some   |       |                    |         |             |        |          |   |       |



| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---------------------|-------|
|   |      | jobs contracts were shortened.  |       |                    |         |             |        |          |                     |       |
|   |      | The risk vulnerability is now and for 2012 higher.  |       |                    |         |             |        |          |                     |       |
|   |      | 2012 - from March 2012 some shortened jobs contracts restored. New partner network manager, new Invenio administrator - part-time job 0.5, then 0.8 - some critical tasks covered |       |                    |         |             |        |          |                     |       |

User Generated Risk Register  
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| # | Name              | Description  | Owner      | Functional Classes  | ID Date             | Probability | Impact                      | Severity | Mitigation Strategy  | Notes |
|---|-------------------|--|------------|---|---------------------|-------------|-----------------------------|----------|--|-------|
|   |                   | by external contractor. Probability of workforce reduction remains - the risk vulnerability still high.  |            |   |                     |             |                             |          |  |       |
| 2 | Pilot Project End | After the pilot project end - see constraint Project Duration - might the repository have problems with financing and mandate ----- 2010 ----- The main NUSL | Management | Mandate & Commitment to Digital Object Maintenance Organisational Fitness | 2012-12-08 09:53:42 | Very Low    | Very Low (Service Delivery) | 1        | 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 Strategy Owner: Management Target: Check Date: 0000-00-00 |       |



| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | activities (long term grey 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 |       |                    |         |             |        |          | Avoidance Strategy:<br>Bring this theme to the proposed NUSL Council, if it will be established<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>0000-00-00<br><br>Avoidance Strategy:<br>This risk converted to the risk of transferring NUSL to standard NTK services<br>Strategy Owner:<br>Target: To keep NUSL as project<br>Check Date:<br>2013-03-31 |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---------------------|-------|
|   |      | still exists  |       |                    |         |             |        |          |                     |       |
|   |      | 2011 - pilot project ended, NUSL is part of the NTK services, the time shows which impact this will have on NUSL                        |       |                    |         |             |        |          |                     |       |
|   |      | 2012 - NUSL project evaluated as excellent. From 5. 10. 2012 is NTK classified as research organisation - this opens the possibility of |       |                    |         |             |        |          |                     |       |

| # | Name              | Description   | Owner                    | Functional Classes   | ID Date             | Probability | Impact                    | Severity | Mitigation Strategy   | Notes |
|---|-------------------|---|--------------------------|--|---------------------|-------------|---------------------------|----------|---|-------|
|   |                   | access to grants for futher development of existing projects or for new projects - see Constraints . This risk converted to the risk of transferring NUSL to standard NTK services. |                          |  |                     |             |                           |          |   |       |
| 3 | Disaster Recovery | Disaster recovery plan is missing. There is in place simple backup plan, but the  | Management Administrator | Preservation of Digital Object Integrity, Authenticity & Usability | 2012-12-07 09:14:23 | 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 |       |



| # | Name | Description  | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|--|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | recovery after<br>some data<br>loss is not<br>described.<br>----- 2010 -----<br>Together with<br>backup<br>strategy and<br>methodology<br>is being<br>developed<br>disaster<br>recovery plan.<br>The plan has<br>to be finalised<br>and validated.<br>The risk is<br>slightly<br>minimalised,<br>but still exists<br><br>2011 new<br>backup plan |       |                    |         |             |        |          | Target: To have at least<br>draft of the disaster<br>recovery plan<br>Check Date:<br>2013-06-30<br><br>Avoidance Strategy:<br>Validate the backup<br>storage outside the<br>NTK building<br>Strategy Owner:<br>Management<br>Target: This was<br>validated in 2012<br>Check Date:<br>0000-00-00 |       |

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| # | Name | Description  | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy | Notes |
|---|------|--|-------|--------------------|---------|-------------|--------|----------|---------------------|-------|
|   |      | was<br>developed<br>and it is<br>planned to<br>store backups<br>outside the<br>NTK building  |       |                    |         |             |        |          |                     |       |
|   |      | 2012 -<br>formalised<br>disaster<br>recovery plan<br>still does not<br>exist (no<br>budget), but<br>from August<br>2012 are<br>NUSL backup<br>tapes on a<br>monthly basis<br>stored in a<br>bank safe -<br>CSOB Prague |       |                    |         |             |        |          |                     |       |

| # | Name                      | Description  | Owner                       | Functional Classes                                 | ID Date             | Probability | Impact                       | Severity | Mitigation Strategy  | Notes |
|---|---------------------------|--|-----------------------------|--|---------------------|-------------|------------------------------|----------|--|-------|
| 4 | Partner Network Voluntary | 4.<br>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 | Management<br>Legal Support | Legal & Regulatory Legitimacy Acquisition & Ingest | 2012-12-09 14:35:22 | High        | Very High (Service Delivery) | 20       | 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: To define more "sales-like" approach to recruit new partners<br>Check Date: 2013-06-30 |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | grey literature<br>digital<br>collection<br>followed by<br>methodical<br>documents<br>and training<br>for partners<br>plus targeted<br>NUSL<br>propagation in<br>the press,<br>conferences<br>etc.<br>Signed<br>contracts with<br>16 partners,<br>but the risk<br>still applies |       |                    |         |             |        |          | Treatment Strategy:<br>Promotion of the project<br>towards the partners<br>and towards the public<br>users<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2013-06-30   |       |
|   |      | 2011 - 38<br>partner<br>contracts   |       |                    |         |             |        |          | Treatment Strategy: Try<br>to get NUSL rated for<br>the impact factor - very<br>political ministerial level.<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>0000-00-00 |       |
|   |      |   |       |                    |         |             |        |          | Treatment Strategy:   |       |



| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | signed so far,<br>but the growth<br>of partnet<br>network is<br>slow and<br>complicated,<br>risk still<br>applies   |       |                    |         |             |        |          | Continue to promote<br>NUSL among potential<br>partners, create a<br>partner success story<br>Strategy Owner:<br>Management<br>Target: Defined targer<br>groups benefits for<br>users and partners<br>Check Date:<br>2013-06-30 |       |
|   |      | 2012: 91<br>partner<br>contracts<br>signed so far<br>(41 supplying<br>digital<br>documents ),<br>grant<br>agencies<br>refusal,<br>problematic<br>partnering on<br>ministerial<br>level - no |       |                    |         |             |        |          |   |       |

| # | Name                 | Description  | Owner                    | Functional Classes   | ID Date             | Probability | Impact                  | Severity | Mitigation Strategy   | Notes |
|---|----------------------|--|--------------------------|--|---------------------|-------------|-------------------------|----------|---|-------|
|   |                      | direct external management or government support. Contracts signed mainly with organisations contacten in 2011, positive response from private universities. |                          |  |                     |             |                         |          |   |       |
| 5 | Backup Tapes Storage | Tapes with backup copies of the repository are stored in the same room, where the physical repository itself is  | Management Administrator | Preservation of Digital Object Integrity, Authenticity & Usability Adequate Technical Infrastructure | 2012-12-05 10:56:41 | Very Low    | High (Service Delivery) | 4        | Treatment Strategy: Validate the backup storage outside the NTK building Strategy Owner: Management Target: 2012 validated Check Date: 0000-00-00 |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | located.<br>----- 2010 -----<br>Backup<br>strategy and<br>methodology<br>is being<br>developed<br>including tape<br>handling and<br>disaster<br>recovery plan.<br>The plan has<br>to be validated<br>and finalised.<br><br>2011 new<br>backup plan<br>was<br>developed<br>and it is<br>planned to<br>store backups<br>outside the |       |                    |         |             |        |          | Treatment Strategy:<br>Maintain and develop<br>the backup procedures<br>and strategy<br>Strategy Owner:<br>Management<br>Target: Written backup<br>plan, draft of recovery<br>plan<br>Check Date:<br>2013-06-30 |       |

| # | Name                   | Description   | Owner      | Functional Classes  | ID Date                 | Probability | Impact                                   | Severity | Mitigation Strategy  | Notes |
|---|------------------------|---|------------|---|-------------------------|-------------|--|----------|--|-------|
|   |                        | NTK building -<br>but this is still<br>not finalised -<br>risk still exists   |            |   |                         |             |  |          |  |       |
|   |                        | 2012 - from<br>August 2012<br>are NUSL<br>backup tapes<br>on a monthly<br>basis stored in<br>a bank safe -<br>CSOB Prague<br>4. |            |   |                         |             |  |          |  |       |
| 6 | Financial<br>Shortfall | Finances are<br>sufficient for<br>the status<br>quo, not for<br>the<br>advancement<br>of the<br>repository<br>----- 2010 -----  | Management | Mandate &<br>Commitment to<br>Digital Object<br>Maintenance | 2012-12-0<br>7 09:28:15 | Low         | Medium<br>(Organisation<br>al Viability) | 6        | Treatment Strategy: To<br>find another source of<br>financing - additional to<br>the NTP budget<br>Strategy Owner:<br>Management<br>Target: Possible grant<br>for further NUSL<br>development? |       |



| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | Financing of the project is continuously ensured, for example for software licences, hardware renewal etc.                                      |       |                    |         |             |        |          | Check Date:<br>2013-06-30   |       |
|   |      | 2011 - For 2012 will be NUSL financed from the NTK budget without financial support from any project, the time shows the impact of this change. |       |                    |         |             |        |          | Treatment Strategy:<br>Look for another grant to support the financing of NUSL<br>Strategy Owner:<br>Management<br>Target: For the year 2013 is prepared a tender for FAST licences and services for next 3 years.<br>Check Date:<br>2013-03-31 |       |

| # | Name                | Description  | Owner      | Functional Classes                                    | ID Date             | Probability | Impact                       | Severity | Mitigation Strategy  | Notes |
|---|---------------------|--|------------|---|---------------------|-------------|------------------------------|----------|--|-------|
|   |                     | 2012 - no impact of this risk - the operation covered by NTK and by pre-paid maintenance contract. Licences and this contract end 2013 - for this year is prepared a tender for FAST licences and services for next 3 years. |            |   |                     |             |                              |          |  |       |
| 7 | Budget for Services | Services of the supplier of the software   | Management | Dissemination<br>Adequate Technical<br>Infrastructure | 2012-12-05 13:27:18 | Very Low    | Medium<br>(Service Delivery) | 3        | Treatment Strategy: To find/cover the finances within the NTK budget |       |

| # | Name | Description  | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|--|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | 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 FAST system supplier is signed until the end of 2013.<br><br>2012 - If there will be no budget in the year 2013 for |       |                    |         |             |        |          | on time.<br>Strategy Owner: Management<br>Target:<br>Check Date: 2013-03-31<br><br>Treatment Strategy:<br>Include this finances to the 2013 budget<br>Strategy Owner: Management<br>Target: For the year 2013 is prepared a tender for FAST licences and services for next 3 years.<br>Check Date: 2013-03-31 |       |

| # | Name               | Description   | Owner      | Functional Classes                              | ID Date             | Probability | Impact                      | Severity | Mitigation Strategy   | Notes |
|---|--------------------|---|------------|---|---------------------|-------------|-----------------------------|----------|---|-------|
|   |                    | the contract renewal, the operation might be endangered. Possible partial solution by adopting new Invenio functionality.   |            |   |                     |             |                             |          |   |       |
| 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 | Management | Dissemination Adequate Technical Infrastructure | 2012-12-08 11:29:23 | Very Low    | Very Low (Service Delivery) | 1        | Treatment Strategy: Include payment for the FAST full version to the NTK budget on time<br>Strategy Owner: Management<br>Target: Full version already in place - secured financing for next years<br>Check Date: 2013-03-31 |       |



| # | Name            | Description  | Owner      | Functional Classes         | ID Date                 | Probability | Impact             | Severity | Mitigation Strategy   | Notes |
|---|-----------------|--|------------|----------------------------|-------------------------|-------------|--------------------|----------|---|-------|
|   |                 | already in<br>place - this<br>risk was<br>eliminated<br><br>But: 2012 - If<br>there will be<br>no budget in<br>the year 2013<br>for the<br>contract<br>renewal, the<br>operation<br>might be<br>endangered.<br>Possible<br>partial solution<br>by adopting<br>new Invenio<br>functionality in<br>cca 3 years |            |                            |                         |             |                    |          | Treatment Strategy:<br>Explore the possibility<br>to adopt new Invenio<br>functionality in cca 3<br>years instead of FAST<br>Strategy Owner:<br>Management<br>Target: Draft of the<br>strategy for FAST<br>replacement with new<br>Invenio functionality in<br>cca 3 years<br><br>Check Date:<br>2012-09-30 |       |
| 9 | Weak<br>Mandate | There is only<br>one relatively  | Management | Mandate &<br>Commitment to | 2012-12-0<br>7 09:31:03 | Very Low    | Low<br>(Reputation | 2        | Treatment Strategy:<br>The proposed NUSL  |       |

| # | Name | Description   | Owner | Functional Classes         | ID Date | Probability | Impact           | Severity | Mitigation Strategy  | Notes |
|---|------|---|-------|----------------------------|---------|-------------|------------------|----------|--|-------|
|   |      | 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, see section |       | Digital Object Maintenance |         |             | and Intangibles) |          | Council should be established and start working ASAP<br>Strategy Owner: Management<br>Target: Working NUSL Council<br>Check Date: 2013-02-28 |       |

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| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---------------------|-------|
|   |      | Mandate of the audit. This risk is now very minimal.  |       |                    |         |             |        |          |                     |       |
|   |      | 2011 - the mandate will be further strengthened, if the proposed NUSL Council will be created - see Constraints |       |                    |         |             |        |          |                     |       |
|   |      | 2012 - the proposal to create NUSL Council was submitted for approval to the NTK                                |       |                    |         |             |        |          |                     |       |

| #  | Name                | Description  | Owner      | Functional Classes   | ID Date                 | Probability | Impact                    | Severity | Mitigation Strategy  | Notes |
|----|---------------------|--|------------|--|-------------------------|-------------|---------------------------|----------|--|-------|
|    |                     | director -<br>council<br>members will<br>be contacted<br>at the end of<br>the year 2012.<br>First council<br>meeting will<br>be held in the<br>year 2013.                              |            |  |                         |             |                           |          |  |       |
| 10 | No Ingest<br>Policy | There is no<br>formalized<br>ingest policy<br>in place with<br>described<br>responsibilitie<br>s<br>----- 2010 -----<br>Ingest<br>metdodology<br>is being<br>developed. In<br>the NUSL | Management | Efficient &<br>Effective Policies<br>Acquisition &<br>Ingest | 2012-12-0<br>7 10:02:25 | 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:<br>Check Date:<br>2012-09-30<br><br>Treatment Strategy:<br>Continue to document<br>ingest policy, make the |       |





| #  | Name                | Description   | Owner                       | Functional Classes                | ID Date                 | Probability | Impact                    | Severity | Mitigation Strategy   | Notes |
|----|---------------------|---|-----------------------------|-----------------------------------|-------------------------|-------------|---------------------------|----------|---|-------|
|    |                     | team was<br>created the<br>role of the<br>content<br>management.<br>Risk now very<br>weak<br><br>2011 - ingest<br>policies were<br>during the<br>year 2011<br>further<br>developed -<br>risk very low<br><br>2012 - risk<br>eliminated -<br>see Constraint<br>NUSL<br>Methodology |                             |                                   |                         |             |                           |          | documents available to<br>the NUSL team<br>Strategy Owner:<br>Management<br>Target: 2012 - risk<br>eliminated - see<br>Constraint NUSL<br>Methodology - keep up<br>this document up to<br>date<br>Check Date:<br>2013-09-30 |       |
| 11 | Document<br>Formats | Nonexistent<br>description of   | Management<br>Administrator | Efficient &<br>Effective Policies | 2012-12-0<br>5 14:07:53 | Very Low    | Low (Service<br>Delivery) | 2        | Treatment Strategy:<br>Maintain and develop   |       |

| # | Name | Description  | Owner | Functional Classes   | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|--|-------|--|---------|-------------|--------|----------|---|-------|
|   |      | 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: Risk eliminated, keep the above |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy       | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---------------------------|-------|
|   |      | very weak.  |       |                    |         |             |        |          | mentioned strategy        |       |
|   |      | 2011 - new version of the analysis/document/policies was created - see Constraints, risk very low                                 |       |                    |         |             |        |          | Check Date:<br>2012-09-30 |       |
|   |      | 2012 - Monthly format statistics are prepared, if non-preferred format occurs, it is solved in the cooperation with the supplier. |       |                    |         |             |        |          |                           |       |

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|----|-------------------------|--|--------------------------|-----------------------------------|---------------------|-------------|-------------------------|----------|--|-------|
| 12 | Software Administration | There is only one administrator with skills for CDS Invenio administration, located in the IT department, non-substitutable.<br>----- 2010 -----<br>The software administrator was transferred under the management of the NUSL manager, another team member was trained in this | Management Administrator | Adequate Technical Infrastructure | 2012-12-07 09:34:20 | 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 date with all relevant changes, for example with new CDS Invenio version and make it available to the NUSL team<br>Strategy Owner: Administrator<br>Target: Continue this strategy plus document |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy  | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|--|-------|
|   |      | area and the<br>documentatio<br>n for the<br>administrator<br>is being<br>created. Weak<br>risk.  |       |                    |         |             |        |          | Invenio administrative<br>processes and<br>installation changes<br>Check Date:<br>2013-09-30 |       |
|   |      | 2011 - the<br>full-time SW<br>administrator<br>left the<br>company,<br>replaced by<br>part-time<br>worker, the<br>risk is again<br>higher |       |                    |         |             |        |          |  |       |
|   |      | 2012 - new<br>Invenio<br>administrator<br>was hired -   |       |                    |         |             |        |          |  |       |



| #  | Name                  | Description   | Owner  | Functional Classes  | ID Date             | Probability | Impact                            | Severity | Mitigation Strategy   | Notes |
|----|-----------------------|---|--|---|---------------------|-------------|-----------------------------------|----------|---|-------|
|    |                       | part-time (0.8)<br>job. Some<br>critical tasks<br>are covered<br>by external<br>contractor<br>-100 hours.<br>The risk<br>vulnerability<br>still high - see<br>Risk No. 1. |  |   |                     |             |                                   |          |   |       |
| 13 | Undocumented Policies | There is generally low degree of policies documentation ----- 2010 ----- Undocumented processes are continuously documented,  | Management Administrator Metadata management Legal Support | Organisational Fitness Efficient & Effective Policies Acquisition & Ingest Preservation of Digital Object Integrity, Authenticity & Usability Metadata Management & | 2012-12-07 10:03:54 | Low         | Medium (Organisational Viability) | 6        | Treatment Strategy: 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. |       |

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| # | Name | Description   | Owner | Functional Classes                            | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|---|---------|-------------|--------|----------|---|-------|
|   |      | NUSL wiki has been created  |       | Audit Trails<br>Dissemination<br>Preservation |         |             |        |          | Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2012-09-30   |       |
|   |      | 2011 - NUSL wiki was cancelled because of weak security of the solution, partially replaced by Invenio bug tracking at google code (see Activities) |       | Planning & Action                             |         |             |        |          | Treatment Strategy:<br>Think of the replacement of the cancelled NUSL wiki to store all related documents<br>Strategy Owner:<br>Management<br>Target: Possible solution - documented<br>Check Date:<br>2013-09-30 |       |
|   |      | 2012 - After wiki cancellation the policies and work procedures are partially   |       |   |         |             |        |          |   |       |



| #  | Name   | Description  | Owner      | Functional Classes                   | ID Date                 | Probability | Impact                    | Severity | Mitigation Strategy  | Notes |
|----|--|--|------------|--------------------------------------|-------------------------|-------------|---------------------------|----------|--|-------|
|    |  | documented<br>using MS<br>Word, some<br>rarely<br>repeated<br>tasks are<br>undocumente<br>d. No<br>process/workfl<br>ow models -<br>planned for<br>2013 -<br>budget?<br>NUSL know<br>how well<br>documented -<br>see Constraint<br>NUSL<br>Methodology |            |                                      |                         |             |                           |          |  |       |
| 14 | Long Term<br>Preservation<br>Strategy not<br>described | Long Term<br>Preservation<br>Strategy and<br>the   | Management | Preservation<br>Planning &<br>Action | 2012-12-0<br>7 09:50:16 | Very Low    | Low (Service<br>Delivery) | 2        | Treatment Strategy:<br>Maintain and further<br>develop the current<br>Long Term Preservation |       |



| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy  | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|--|-------|
|   |      | preservation<br>plan are not<br>sufficiently<br>described<br>----- 2010 -----<br>External<br>analysis of<br>this questions<br>was ordered<br>together with<br>Document<br>Format Risk -<br>see section<br>Constraints.<br>This analysis<br>hat to be<br>verified.<br><br>2011 - new<br>version of the<br>analysis/docu<br>ment/poolicies<br>was created - |       |                    |         |             |        |          | Strategy<br>Strategy Owner:<br>Management<br>Target: Continue this<br>strategy<br>Check Date:<br>2013-11-30<br><br>Treatment Strategy:<br>Verify and apply the<br>related analysis<br>Strategy Owner:<br>Management<br>Target: Done<br>Check Date:<br>0000-00-00 |       |

| #  | Name                         | Description  | Owner      | Functional Classes        | ID Date                 | Probability | Impact                          | Severity | Mitigation Strategy   | Notes |
|----|------------------------------|--|------------|---------------------------|-------------------------|-------------|---------------------------------|----------|---|-------|
|    |                              | see<br>Constraints,<br>risk very low   |            |                           |                         |             |                                 |          |   |       |
|    |                              | 2012 - the<br>2011 version<br>still in place,<br>time to time<br>verified - no<br>need for<br>change - risk<br>eliminated -<br>see Risk 11 -<br>Document<br>Formats. |            |                           |                         |             |                                 |          |   |       |
| 15 | Staff Skills<br>insufficient | With the time<br>and<br>development<br>of<br>technologies<br>and policies<br>might staff<br>skills become  | Management | Organisational<br>Fitness | 2012-12-0<br>7 10:07:03 | Low         | Medium<br>(Service<br>Delivery) | 6        | Treatment Strategy:<br>Ensure proper training<br>for the staff members -<br>specially good<br>adaptation plans for<br>new team members<br>Strategy Owner:<br>Management |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | insufficient<br>----- 2010 -----<br>The growing<br>team<br>continuously<br>acquires<br>required skills<br>by<br>self-improvement, related<br>conferences<br>and trainings.<br>The team<br>members<br>feels, that they<br>are acquiring<br>unique skills.<br><br>2011 - with<br>the connection<br>to the Risk 1 it<br>is important to<br>keep eye on |       |                    |         |             |        |          | Target: Documented<br>processes for<br>knowledge sharing and<br>smooth adoption of new<br>team members<br>Check Date:<br>2013-06-30<br><br>Treatment Strategy:<br>Keep staff training and<br>knowledge sharing<br>among top<br>management priorities<br>Strategy Owner:<br>Management<br>Target:<br>Check Date:<br>2013-11-30 |       |

| #  | Name       | Description  | Owner      | Functional Classes | ID Date   | Probability | Impact        | Severity | Mitigation Strategy | Notes |
|----|------------|--|------------|--------------------|-----------|-------------|---------------|----------|---------------------|-------|
|    |            | this risk and<br>motivate staff<br>members by<br>education<br><br>2012 -<br>working<br>procedures<br>partially<br>documented,<br>NUSL team<br>know-how well<br>described -<br>see Constraint<br>NUSL<br>Methodology -<br>team<br>education is<br>still one of<br>priorities to<br>eliminate Risk<br>1. |            |                    |           |             |               |          |                     |       |
| 16 | Deliberate | Dissatisfied or  | Management | Preservation of    | 2012-12-0 | Low         | High (Service | 8        | Avoidance Strategy: |       |

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| # | Name            | Description   | Owner         | Functional Classes                                 | ID Date    | Probability | Impact    | Severity | Mitigation Strategy  | Notes |
|---|-----------------|---|---------------|--|------------|-------------|-----------|----------|--|-------|
|   | System Sabotage | 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 team grows and so grows the substitutability in the team.<br><br>2011 - connected to risks 1 and 15 | Administrator | Digital Object Integrity, Authenticity & Usability | 7 10:22:17 |             | Delivery) |          | Ensure the satisfaction of the team members by establishing good working conditions, training and personal development<br><br>Strategy Owner: Management<br>Target: Check Date: 2012-09-30<br><br>Treatment Strategy: Ensure proper backups of the repository, regular checking of the repository consistency<br>Strategy Owner: Administrator<br>Target: Continue this strategy<br>Check Date: 2013-09-30 |       |

| # | Name | Description  | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|--|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | is this risk for<br>the next<br>period a bit<br>higher   |       |                    |         |             |        |          | Avoidance Strategy:<br>Include this topic to the<br>disaster recovery plan<br>Strategy Owner:<br>Management<br>Target: Disaster<br>recovery plan draft<br>Check Date:<br>2012-11-30 |       |
|   |      | 2012 - NTK IT<br>hit by mass<br>employee<br>notices, but<br>the leaving<br>workforce<br>behaved<br>responsibly.<br>For 2013 is<br>expected<br>outsourcing of<br>hardware<br>administration<br>to minimise<br>this risk.<br>NUSL team is<br>well motivated<br>- minimal risk. |       |                    |         |             |        |          |   |       |

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| #  | Name              | Description  | Owner      | Functional Classes   | ID Date             | Probability | Impact                              | Severity | Mitigation Strategy  | Notes |
|----|-------------------|--|------------|--|---------------------|-------------|-------------------------------------|----------|--|-------|
| 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 & Regulatory Legitimacy | 2012-12-07 10:28:21 | Medium      | Medium (Reputation and Intangibles) | 9        | Treatment Strategy:<br>Strengthen the position on NUSL in the public users, among partners and on the ministry 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: 2013-11-30 |       |
|    |                   | 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 |            |  |                     |             |                                     |          | Treatment Strategy:<br>Observe development of repositar.cz with the goal to take inspiration<br>Strategy Owner: Management   |       |

| #  | Name                                   | Description  | Owner   | Functional Classes   | ID Date                 | Probability | Impact                     | Severity | Mitigation Strategy  | Notes |
|----|--|--|---|--|-------------------------|-------------|----------------------------|----------|--|-------|
|    |  | 2012 -<br>https://reposit<br>ar.cz/ is now<br>working with<br>participation of<br>15 universities<br>- divided<br>searching in<br>records with<br>fulltexts only<br>or in all. Risk<br>still exists, but<br>on the other<br>hand<br>repozitar.cz<br>might be seen<br>as inspiration,<br>too. |   |  |                         |             |                            |          | Target: Brief analysis of<br>strenghts and<br>weaknesses of<br>repozitar.cz<br>Check Date:<br>2013-09-30 |       |
| 18 | Partners do<br>not supply<br>fulltexts | NUSL<br>partners often<br>do not supply<br>full texts of the   | Management<br>Content<br>Management<br>Services | Efficient &<br>Effective Policies<br>Acquisition &<br>Ingest | 2012-12-0<br>7 10:31:35 | High        | High (Service<br>Delivery) | 16       | Treatment Strategy:<br>Educate the partner<br>network by various<br>means of publicity,                  |       |



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| # | Name | Description  | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|--|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | documents, rather metadata only.   |       | Dissemination      |         |             |        |          | 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. |       |
|   |      | 2011 - over 100 000 recordss are stored in NUSL, only ca 300 of them have attached full-text digital documents, risk relatively high |       |                    |         |             |        |          | Strategy Owner: Management<br>Target: The amount of NUSL records with fulltexts increases to the 25%<br>Check Date: 2013-12-15  |       |
|   |      | 2012 - NUSL contains ca 1000 full documents. Year 2013 will be the year of   |       |                    |         |             |        |          | Treatment Strategy: Make year 2013 THE year of fulltexts<br>Strategy Owner: Services  |       |

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| #  | Name                           | Description   | Owner               | Functional Classes                    | ID Date             | Probability | Impact                  | Severity | Mitigation Strategy  | Notes |
|----|--------------------------------|---|---------------------|---------------------------------------|---------------------|-------------|-------------------------|----------|--|-------|
|    |                                | fulltexts - risk still high.  |                     |                                       |                     |             |                         |          | Target: Education, marketing, measurement<br>Check Date: 2013-11-30  |       |
| 19 | Slow growth of partner network | To establish and activate new partner is very complicated for various reasons:<br>- lack of management support<br>- low amount of grey literature<br>- insufficient skills and capacity | Management Services | Acquisition & Ingest<br>Dissemination | 2012-12-07 10:36:43 | High        | High (Service Delivery) | 16       | Treatment Strategy:<br>Continue to propagate NUSL, create success story with one excellent partner, always try to find one enthusiastic supporter on the potential partner side.<br>Strategy Owner: Management<br>Target: 15 new partners supplying fulltexts to NUSL in the year 2013<br>Check Date: 2013-11-30 |       |

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| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---------------------|-------|
|   |      | 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<br>regulations -<br>see<br>Constraints |       |                    |         |             |        |          |                     |       |
|   |      | 2012 - 91<br>partners,<br>some of the<br>supplying<br>metadata only<br>without signed<br>contract. To   |       |                    |         |             |        |          |                     |       |

| #  | Name  | Description   | Owner               | Functional Classes                 | ID Date             | Probability | Impact                    | Severity | Mitigation Strategy  | Notes |
|----|---|---|---------------------|------------------------------------|---------------------|-------------|---------------------------|----------|--|-------|
|    |   | start a new partner takes one year or more. Next year NUSL plans to contact partners more selective. See also Risk Partner Network Voluntary. |                     |                                    |                     |             |                           |          |  |       |
| 20 | Sample partner contract has limited usability | The prepared sample contract has limited usability, because potential partners demand lot of changes  | Management Services | Acquisition & Ingest Dissemination | 2012-12-07 10:38:26 | Low         | Medium (Service Delivery) | 6        | Treatment Strategy: Together with the legal support analyse the main areas of changes in the sample contract and create new sample contract variants.<br>Strategy Owner: Management<br>Target: Risk kept |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | Legal<br>Cooperation<br>with Masaryk<br>University<br>Brno on every<br>contract,<br>without this<br>collaboration<br>risk much<br>higher          |       |                    |         |             |        |          | minimized by good<br>cooperation with lawyer<br>Check Date:<br>2013-11-30 |       |
|   |      | 2011 - new<br>sample<br>contracts are<br>being<br>continuously<br>created,<br>danger of<br>labor intensive<br>contract<br>handling - risk<br>high |       |                    |         |             |        |          |   |       |

| #  | Name                         | Description   | Owner         | Functional Classes                | ID Date             | Probability | Impact                 | Severity | Mitigation Strategy  | Notes |
|----|------------------------------|---|---------------|-----------------------------------|---------------------|-------------|------------------------|----------|--|-------|
|    |                              | 2012 - risk minimized by good cooperation with lawyer - this will continue in the year 2013 |               |                                   |                     |             |                        |          |  |       |
| 21 | Migration to new HW platform | Migration to new HW platform is planned soon  | Administrator | Adequate Technical Infrastructure | 2012-12-07 10:41:32 | Very Low    | Low (Service Delivery) | 2        | Avoidance Strategy: Monitoring of the HW maintenance to be prepared for possible Invenio reinstalation |       |
|    |                              | 2011 - successfully migrated  |               |                                   |                     |             |                        |          | Strategy Owner: Management   |       |
|    |                              | 2012 - HW maintenance is out of NUSL team reach, but needs to                               |               |                                   |                     |             |                        |          | Target: Estimated next HW migration date   |       |
|    |                              |   |               |                                   |                     |             |                        |          | Check Date: 2013-06-30   |       |

| #  | Name                    | Description  | Owner         | Functional Classes  | ID Date             | Probability | Impact                 | Severity | Mitigation Strategy  | Notes |
|----|-------------------------|--|---------------|---|---------------------|-------------|------------------------|----------|--|-------|
|    |                         | be monitored - possible outsourcing of HW maintenance in the year 2013   |               |   |                     |             |                        |          |  |       |
| 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<br><br>2012 - successful migration to the version | Administrator | Preservation of Digital Object Integrity, Authenticity & Usability<br>& Dissemination | 2012-12-07 14:11:19 | Medium      | Low (Service Delivery) | 6        | Avoidance Strategy:<br>Check for the next possible / necessary migration to the new CDS Invenio version 1.1<br>Strategy Owner: Management<br>Target: Date for the new necessary SW migration<br>Check Date: 2013-03-30 |       |

| #  | Name                     | Description   | Owner                       | Functional Classes                 | ID Date             | Probability | Impact                              | Severity | Mitigation Strategy  | Notes |
|----|--------------------------|---|-----------------------------|------------------------------------|---------------------|-------------|-------------------------------------|----------|--|-------|
|    |                          | 1.0.1 including local partner installation setup (installed in VSE and VUGTK). Next version is planned for the beginning of the year 2013. See Constraint Invenio-NUSL Container. |                             |                                    |                     |             |                                     |          |  |       |
| 23 | Legal Risk - Authors Act | Because of the complicated Authors Act regulations in CZ there is potential Risk  | Management<br>Legal Support | Legal & Regulatory<br>& Legitimacy | 2012-12-07 11:26:14 | Low         | Medium (Reputation and Intangibles) | 6        | Avoidance Strategy: Educate partners in the area of possible Authors Act migration by preparing presentation and document describing |       |



| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy  | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|--|-------|
|   |      | of the storage<br>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<br><br>2012 -<br>document<br>describing the<br>legal terms<br>and procedure |       |                    |         |             |        |          | the potential risk areas<br>Strategy Owner:<br>Management<br>Target: See risk desc. -<br>keep this document up<br>to date<br>Check Date:<br>2013-06-30 |       |

| #  | Name                            | Description   | Owner         | Functional Classes                 | ID Date             | Probability | Impact                             | Severity | Mitigation Strategy  | Notes |
|----|---------------------------------|---|---------------|------------------------------------|---------------------|-------------|------------------------------------|----------|--|-------|
|    |                                 | for<br>incorporating<br>grey literature<br>documents<br>into NUSL<br>was created -<br>see Constraint<br>NUSL Legal<br>Terms   |               |                                    |                     |             |                                    |          |  |       |
| 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<br>Savelka from<br>Faculty of Law<br>MU Brno<br>mainly for<br>partner<br>contracts.<br>There is | Legal Support | Legal & Regulatory<br>& Legitimacy | 2012-12-07 11:27:47 | Low         | High<br>(Organisational Viability) | 8        | Treatment Strategy: Try<br>to find potential new<br>source of legal support -<br>not high priority so far<br>Strategy Owner:<br>Management<br>Target: Potential new<br>source of legal support<br>identified<br>Check Date:<br>2012-09-30<br><br>Avoidance Strategy:<br>Improve the sample |       |

| # | Name | Description   | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy   | Notes |
|---|------|---|-------|--------------------|---------|-------------|--------|----------|---|-------|
|   |      | possible risk of termination of this cooperation, because the cooperation is based on personal interest of the two lawyers. |       |                    |         |             |        |          | contracts in the way described in the related risk, make all related legal documents, expertise etc. available to the NUSL team and partners<br>Strategy Owner: Management<br>Target: See Constraint (NUSL Legal Terms)<br>Check Date: 2013-09-30 |       |
|   |      | 2011 - the collaboration secured for the year 2012, but the risk exist for years coming after 2012                          |       |                    |         |             |        |          |   |       |
|   |      | 2012 - the cooperation continued and  |       |                    |         |             |        |          |   |       |



| #  | Name                 | Description  | Owner                                   | Functional Classes  | ID Date             | Probability | Impact                  | Severity | Mitigation Strategy   | Notes |
|----|----------------------|--|---|---|---------------------|-------------|-------------------------|----------|---|-------|
|    |                      | is secured for the year 2013.  |   |   |                     |             |                         |          |   |       |
| 25 | Law No. 130/2002 Sb. | Law No. 130/2002 Sb. has the consequence, that it is not possible to have partner contract from the bodies issuing grants and have the results of the grant projects from them, but that it is necessary to have contracts with the grant recipients, because they are owners of | Management<br>Legal Support<br>Services | Legal & Regulatory<br>Legitimacy<br>Acquisition & Ingest<br>Dissemination | 2012-12-07 11:30:38 | Very High   | High (Service Delivery) | 20       | Treatment Strategy: Try to find more support from NTK top management to overcome this risk<br>Strategy Owner: Management<br>Target: Higher level of NTK top management support<br>Check Date: 2013-03-30<br><br>Treatment Strategy: Reformulate the benefits of using NUSL for grant agencies<br>Strategy Owner: Management<br>Target:<br>Check Date: |       |

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| #  | Name                        | Description   | Owner              | Functional Classes  | ID Date             | Probability | Impact                    | Severity | Mitigation Strategy  | Notes |
|----|-----------------------------|---|--------------------|---|---------------------|-------------|---------------------------|----------|--|-------|
|    |                             | the project results.  |                    |   |                     |             |                           |          | 2013-06-30   |       |
|    |                             | 2012 - grant agencies refused to cooperate despite the NUSL team effort - see for example <a href="http://nusl.techlib.cz/index.php/5_rocnik_seminare">http://nusl.techlib.cz/index.php/5_rocnik_seminare</a> |                    |   |                     |             |                           |          |  |       |
| 26 | Document Typology Revisited | NUSL document typology is connected to the document collections, new partner organisations  | Content Management | Acquisition & Ingest<br>Preservation of Digital Object Integrity, Authenticity & Usability<br>Dissemination | 2012-12-07 11:32:21 | Very Low    | Medium (Service Delivery) | 3        | Avoidance Strategy: Good preparation for the revision of the document typology including the study of similar typologies with the aim to balance the descriptiveness and |       |

| #  | Name                 | Description   | Owner                          | Functional Classes                               | ID Date             | Probability | Impact                 | Severity | Mitigation Strategy   | Notes |
|----|----------------------|---|--------------------------------|--|---------------------|-------------|------------------------|----------|---|-------|
|    |                      | have new document types, which are not covered by current typology, for 2012 is planned the revision of the typology. |                                |  |                     |             |                        |          | complexity<br>Strategy Owner: Management<br>Target: Revised NUSL document typology well balanced - see Constraint Document Type - keep this document up to date<br>Check Date: 2013-06-30 |       |
|    |                      | 2012 - typology was revised, see Constraint Document Type   |                                |  |                     |             |                        |          |   |       |
| 27 | Metadata format NUSL | In the year 2012 NUSL plans to review the usage of the  | Management Metadata management | Metadata Management & Audit Trails Dissemination | 2012-12-07 11:33:00 | Low         | Low (Service Delivery) | 4        | Avoidance Strategy: Good preparation for the change of the metadata format including the study of   |       |

| #  | Name                                      | Description  | Owner                                  | Functional Classes   | ID Date                 | Probability | Impact                                    | Severity | Mitigation Strategy  | Notes |
|----|---|--|--|--|-------------------------|-------------|---|----------|--|-------|
|    |   | 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 |  |  |                         |             |   |          | experience study with<br>similar changes in<br>similar repositories<br>Strategy Owner:<br>Management<br>Target: Re-evaluate the<br>need for this action<br>Check Date:<br>2013-06-30     |       |
|    |   | 2012 -<br>postponed  |  |  |                         |             |   |          |  |       |
| 28 | Unknown<br>fulltext<br>documents<br>count | There is no<br>direct method,<br>how to<br>determine the<br>exact count of<br>fulltext<br>documents,<br>accessible<br>through NUSL         | Administrator<br>Content<br>Management | Preservation of<br>Digital Object<br>Integrity, Authenticity<br>& Usability<br>Dissemination | 2012-12-1<br>0 10:04:41 | Medium      | Low<br>(Reputation<br>and<br>Intangibles) | 6        | Treatment Strategy: To<br>define methodology and<br>software tools for<br>determination of the<br>count of fulltext<br>documents accessible<br>via NUSL<br>Strategy Owner:<br>Management |       |

| #  | Name                               | Description  | Owner      | Functional Classes   | ID Date             | Probability | Impact                    | Severity | Mitigation Strategy   | Notes |
|----|------------------------------------|--|------------|--|---------------------|-------------|---------------------------|----------|---|-------|
|    |                                    | - it is known only the count of documents, directly stored in NUSL.  |            |  |                     |             |                           |          | Target: To know as exactly as possible the count of fulltext documents accessible via NUSL<br>Check Date:<br>2013-03-31   |       |
| 29 | Management and legislative support | Lack of direct external lobbyist's NTK top management and legislative support for extending partner network in public sector (ministries, grant agencies etc.) | Management | Legal & Regulatory Legitimacy Acquisition & Ingest Dissemination | 2012-12-10 12:33:03 | Medium      | Medium (Service Delivery) | 9        | Treatment Strategy: To define in cooperation with NTK top management functional approach to secure healthy cooperation with government /public sector (ministries, grant agencies)<br>Strategy Owner: Management<br>Target: To streamline - make easier cooperation with government /public |       |



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| #  | Name                                  | Description   | Owner               | Functional Classes                    | ID Date             | Probability | Impact                    | Severity | Mitigation Strategy   | Notes |
|----|---------------------------------------|---|---------------------|---------------------------------------|---------------------|-------------|---------------------------|----------|---|-------|
| 30 | Partner recruitment sources exhausted | Partner recruitment sources exhausted - all relevant potential partners contacted | Management Services | Acquisition & Ingest                  | 2012-12-08 09:24:50 | High        | High (Service Delivery)   | 16       | Treatment Strategy: To define new strategy and to find new sources and methods for partner recruitment<br>Strategy Owner: Management<br>Target: To preserve sufficient and sustainable partner network growth<br>Check Date: 2013-03-31 |       |
| 31 | NUSL reach extension                  | The planned NUSL extension to other areas   | Management          | Acquisition & Ingest<br>Dissemination | 2012-12-08 09:32:28 | Low         | Medium (Service Delivery) | 6        | Avoidance Strategy: To define healthy NUSL reach extension strategy   |       |

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| #  | Name                                   | Description  | Owner      | Functional Classes             | ID Date             | Probability | Impact                          | Severity | Mitigation Strategy  | Notes |
|----|--|--|------------|--------------------------------|---------------------|-------------|---------------------------------|----------|--|-------|
|    |  | outside the original scope of education, research and science to other areas (culture) might endanger the current partner and user network |            |                                |                     |             |                                 |          | Strategy Owner: Management<br>Target: NUSL growth without losing current user a partner base<br>Check Date: 2013-06-30   |       |
| 32 | NUSL transfer to standard NTK services | After successful pilot project end is there a possibility to transfer NUSL to standard NTK services  | Management | Efficient & Effective Policies | 2012-12-08 10:01:57 | Medium      | High (Organisational Viability) | 12       | Avoidance Strategy: To define further project development, possibly to find specific grant for this,<br>Strategy Owner: Management<br>Target: Keep NUSL as a separate project team outside the standard NTK services to preserve further |       |

| # | Name | Description | Owner | Functional Classes | ID Date | Probability | Impact | Severity | Mitigation Strategy | Notes |
|---|------|-------------|-------|--------------------|---------|-------------|--------|----------|---------------------|-------|
|   |      |             |       |                    |         |             |        |          | development         |       |
|   |      |             |       |                    |         |             |        |          | Check Date:         |       |
|   |      |             |       |                    |         |             |        |          | 2013-06-30          |       |