



národní  
úložiště  
šedé  
literatury

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

Národní technická knihovna  
2012

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
1	Loss of Staff Members	The team is relatively small, the skills are not shared, it is even complicated to cover all necessary activities. ----- 2010 ----- The team was growing during 2010, so the substitutability of the team members. The team members activities are documented and presented	Management	Organisational Fitness	2012-12-0 5 09:45:04	High	Very High (Service Delivery)	20	Avoidance Strategy: 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. Strategy Owner: Management Target: Check Date: 0000-00-00  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 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 Target: Check Date: 0000-00-00  Avoidance Strategy: Keep documenting the team activities, store and organise related documents to the proper storage, improve the working conditions of the team Strategy Owner: Management Target: Documented processes Check Date: 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								

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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: Bring this theme to the proposed NUSL Council, if it will be established Strategy Owner: Management Target: Check Date: 0000-00-00  Avoidance Strategy: This risk converted to the risk of transferring NUSL to standard NTK services Strategy Owner: Target: To keep NUSL as project Check Date: 2013-03-31	

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#	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 Strategy Owner: Management	



#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		recovery after some data loss is not described. ----- 2010 ----- Together with backup 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  2011 new backup plan							Target: To have at least draft of the disaster recovery plan Check Date: 2013-06-30  Avoidance Strategy: Validate the backup storage outside the NTK building Strategy Owner: Management Target: This was validated in 2012 Check Date: 0000-00-00	

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

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
4	Partner Network Voluntary	4. The planned network of partner organisations, supplying content for the repository, is based on organisations voluntariness, there is no legal regulation in place. ----- 2010 ----- For partners was prepared local CDS Invenio installation pre-configured for creation of	Management 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.). Strategy Owner: Management Target: To define more "sales-like" approach to recruit new partners Check Date: 2013-06-30	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		grey literature 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							Treatment Strategy: Promotion of the project towards the partners and towards the public users Strategy Owner: Management Target: Check Date: 2013-06-30	
		2011 - 38 partner contracts							Treatment Strategy: Try to get NUSL rated for the impact factor - very political ministerial level. Strategy Owner: Management Target: Check Date: 0000-00-00	
									Treatment Strategy:	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		signed so far, but the growth of partnet network is slow and complicated, risk still applies							Continue to promote NUSL among potential partners, create a partner success story Strategy Owner: Management Target: Defined targer groups benefits for users and partners Check Date: 2013-06-30	
		2012: 91 partner contracts signed so far (41 supplying digital documents ), grant agencies refusal, problematic partnering on ministerial 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. ----- 2010 ----- Backup strategy and methodology is being developed including tape handling and disaster recovery plan. The plan has to be validated and finalised.							Treatment Strategy: Maintain and develop the backup procedures and strategy Strategy Owner: Management Target: Written backup plan, draft of recovery plan Check Date: 2013-06-30	
		2011 new backup plan was developed and it is planned to store backups outside the								

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		NTK building - but this is still not finalised - risk still exists								
		2012 - from August 2012 are NUSL backup tapes on a monthly basis stored in a bank safe - CSOB Prague 4.								
6	Financial Shortfall	Finances are sufficient for the status quo, not for the advancement of the repository ----- 2010 -----	Management	Mandate & Commitment to Digital Object Maintenance	2012-12-0 7 09:28:15	Low	Medium (Organisation al Viability)	6	Treatment Strategy: To find another source of financing - additional to the NTP budget Strategy Owner: Management Target: Possible grant for further NUSL 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: 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: Look for another grant to support the financing of NUSL Strategy Owner: Management Target: For the year 2013 is prepared a tender for FAST licences and services for next 3 years. Check Date: 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 Adequate Technical Infrastructure	2012-12-05 13:27:18	Very Low	Medium (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 ----- The servicers contract with FAST system supplier is signed until the end of 2013.  2012 - If there will be no budget in the year 2013 for							on time. Strategy Owner: Management Target: Check Date: 2013-03-31  Treatment Strategy: Include this finances to the 2013 budget Strategy Owner: Management Target: For the year 2013 is prepared a tender for FAST licences and services for next 3 years. 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 Strategy Owner: Management Target: Full version already in place - secured financing for next years Check Date: 2013-03-31	



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

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#	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 Strategy Owner: Management Target: Working NUSL Council 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 - council members will be contacted at the end of the year 2012. First council meeting will be held in the year 2013.								
10	No Ingest Policy	There is no formalized ingest policy in place with described responsibilitie s ----- 2010 ----- Ingest metdodology is being developed. In the NUSL	Management	Efficient & Effective Policies Acquisition & Ingest	2012-12-0 7 10:02:25	Very Low	Low (Service Delivery)	2	Treatment Strategy: Continue to maintain and develop current ingest policy Strategy Owner: Management Target: Check Date: 2012-09-30  Treatment Strategy: Continue to document ingest policy, make the	



#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		team was created the role of the content management. Risk now very weak							documents available to the NUSL team Strategy Owner: Management Target: 2012 - risk eliminated - see Constraint NUSL Methodology - keep up this document up to date Check Date: 2013-09-30	
		2011 - ingest policies were during the year 2011 further developed - risk very low								
		2012 - risk eliminated - see Constraint NUSL Methodology								
11	Document Formats	Nonexistent description of	Management Administrator	Efficient & Effective Policies	2012-12-0 5 14:07:53	Very Low	Low (Service Delivery)	2	Treatment Strategy: 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 Strategy Owner: Management Target: Check Date: 2012-09-30  Avoidance Strategy: Take in account supported document formats in all related NUSL metadata and content activities including the possible document typology and metadata changes Strategy Owner: Management Target: Risk eliminated, keep the above	

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#	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: 2012-09-30	
		2012 - Monthly format statistics are prepared, if non-preferred format occurs, it is solved in the cooperatin 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. ----- 2010 ----- 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 Strategy Owner: Management Target: Check Date: 2012-02-29  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 Strategy Owner: Administrator Target: Continue this strategy plus document	

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



#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		part-time (0.8) job. Some critical tasks are covered by external contractor -100 hours. The risk vulnerability still high - see 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 Dissemination Preservation					Strategy Owner: Management Target: Check Date: 2012-09-30	
		2011 - NUSI 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: Think of the replacement of the cancelled NUSL wiki to store all related documents Strategy Owner: Management Target: Possible solution - documented Check Date: 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 using MS Word, some rarely repeated tasks are undocumente d. No process/workfl ow models - planned for 2013 - budget? NUSL know how well documented - see Constraint NUSL Methodology								
14	Long Term Preservation Strategy not described	Long Term Preservation Strategy and the	Management	Preservation Planning & Action	2012-12-0 7 09:50:16	Very Low	Low (Service Delivery)	2	Treatment Strategy: Maintain and further develop the current Long Term Preservation	



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

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

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

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

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	System Sabotage	released staff member might deliberate damage the repository ----- 2010 ----- The content and system backup is daily performed, the role of content manager was created, the team grows and so grows the substitutability in the team.  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 Strategy Owner: Management Target: Check Date: 2012-09-30  Treatment Strategy: Ensure proper backups of the repository, regular checking of the repository consistency Strategy Owner: Administrator Target: Continue this strategy Check Date: 2013-09-30	

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

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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: Strengthen the position on NUSL in the public users, among partners and on the ministry level by various means of publicity Strategy Owner: Management Target: NUSL is recognised as the primary national digital repository of grey literature 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: Observe development of repositar.cz with the goal to take inspiration Strategy Owner: Management	

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



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		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 Target: The amount of NUSL records with fulltexts increases to the 25% 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 Strategy Owner: Services	

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

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#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		2011 - 38 partner contracts signed so far, the growth of partner network is complicated by factors mentioned above plus legal regulations - see Constraints								
		2012 - 91 partners, some of the supplying metadata only without signed contract. To								

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		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. Strategy Owner: Management Target: Risk kept	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		Legal Cooperation with Masaryk University Brno on every contract, without this collaboration risk much higher							minimized by good cooperation with lawyer Check Date: 2013-11-30	
		2011 - new sample contracts are being continuously created, danger of labor intensive contract handling - risk 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  2011- the new version was successfully installed, the migration was smooth  2012 - successful migration to the version	Administrator	Preservation of Digital Object Integrity, Authenticity & Usability & Dissemination	2012-12-07 14:11:19	Medium	Low (Service Delivery)	6	Avoidance Strategy: Check for the next possible / necessary migration to the new CDS Invenio version 1.1 Strategy Owner: Management Target: Date for the new necessary SW migration Check Date: 2013-03-30	

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		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 Legal Support	Legal & Regulatory 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	



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		of the storage of documents, where the authors rights do not belong to he provider of the document, for example in case of exclusive licences, co-authorship et. See Constrains - legal expertises							the potential risk areas Strategy Owner: Management Target: See risk desc. - keep this document up to date Check Date: 2013-06-30	
		2012 - document describing the legal terms and procedure								

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		for incorporating grey literature documents into NUSL was created - see Constraint NUSL Legal Terms								
24	Termination of legal support	During 2010 NUŠL used legal services of JUDr. Radim Polcak and Mgr. Jaromir Savelka from Faculty of Law MU Brno mainly for partner contracts. There is	Legal Support	Legal & Regulatory Legitimacy	2012-12-0 7 11:27:47	Low	High (Organisation al Viability)	8	Treatment Strategy: Try to find potential new source of legal support - not high priority so far Strategy Owner: Management Target: Potential new source of legal support identified Check Date: 2012-09-30  Avoidance Strategy: Improve the sample	

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		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 Strategy Owner: Management Target: See Constraint (NUSL Legal Terms) 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								



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		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 Legal Support Services	Legal & Regulatory Legitimacy Acquisition & Ingest 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 Strategy Owner: Management Target: Higher level of NTK top management support Check Date: 2013-03-30  Treatment Strategy: Reformulate the benefits of using NUSL for grant agencies Strategy Owner: Management Target: Check Date:	

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		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 Preservation of Digital Object Integrity, Authenticity & Usability 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	

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		have new document types, which are not covered by current typology, for 2012 is planned the revision of the typology.							complexity Strategy Owner: Management Target: Revised NUSL document typology well balanced - see Constraint Document Type - keep this document up to date 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 metadata format with the aim to terminate it's usage and to use MARC21 as official NUSL metadata format  2012 - postponed							experience study with similar changes in similar repositories Strategy Owner: Management Target: Re-evaluate the need for this action Check Date: 2013-06-30	
28	Unknown fulltext documents count	There is no direct method, how to determine the exact count of fulltext documents, accessible through NUSL	Administrator Content Management	Preservation of Digital Object Integrity, Authenticity & Usability Dissemination	2012-12-1 0 10:04:41	Medium	Low (Reputation and Intangibles)	6	Treatment Strategy: To define methodology and software tools for determination of the count of fulltext documents accessible via NUSL Strategy Owner: Management	

#	Name	Description	Owner	Functional Classes	ID Date	Probability	Impact	Severity	Mitigation Strategy	Notes
		- it si 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 Check Date: 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	2012-12-1 0 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) Strategy Owner: Management Target: To streamline - make easier cooperation with government /public	



#	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 Strategy Owner: Management Target: To preserve sufficient and sustainable partner network growth Check Date: 2013-03-31	
31	NUSL reach extension	The planned NUSL extension to other areas	Management	Acquisition & Ingest 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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		outside the original scope of education, research and science to other areas (culture) might endanger the current partner and user network							Strategy Owner: Management Target: NUSL growth without losing current user a partner base 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, Strategy Owner: Management Target: Keep NUSL as a separate project team outside the standard NTK services to preserve further	

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									development	
									Check Date:	
									2013-06-30	