RISK REGISTER

Document History

Version 1.1 (draft; last revised 20 June 2008)

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Version 1.19 (revised Sept 2022)

Version 1.20 (revised Oct 2022 following Management Committee meeting)

The direction of risk arrow indicates if the risk has changed since Oct 2021. The traffic lighting system reflects the level of risk Green-Low (Score 1-9); Amber-Medium, be aware (Score 10- 18); and Red-Action required (Score 19 – 25). New risks are highlighted in blue; removed risks in yellow.

Julian Richards, Director, ADS

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	2022 Commentary	Direction of risk
Stakeholders-3	Funding bodies unable to support digital infrastructure development	1	5	5	Management Commitee	Monitor progress and maintain dialogue with stakeholders	UKRI budgetary constraints	Risk stable; AHRC 5-year plan prioritises funding for IDAH	⇔
Stakeholders-4	Curators will not be prepared to mandate digital archiving	1	5	5	Management Commitee	Monitor progress; promote mandates at regional and county level	No increase in counties mandating data deposit	Risk weas reduced last year; now stable	⇔
Stakeholders-5	Clients are unwilling to pay deposit charges at a level that will cover ADS costs	1	4	4	Director, CDM	Explore market issues and costing models in advance of charging increases	No increase in contractors depositing data	Risk reduced, given volume of deposits	⇓
Operational-staffing-1	Staff will be unable to complete tasks on time caused by a range of factors such as staff sickness, tasks taking longer, unforeseen additional work resulting in delays	2	4	8	Deputy Director	Flexible approach to planning to ensure work plans can be revised. Investigate options for additional support. Effective prioritisation of project goals; Adopt AGILE approach	Milestones missed	Risk continues at moderate level; developed better understanding of task timing, and regular monitoring	⇔
Operational-staffing-2	Staff will not be retained caused by dissatisfaction, lack of progressionor support	2	3	6	Deputy Director	Regular review and opportunities for training and development; ensure there is a broad spread and duplication of skills	Staff dissatisfaction and reduced work levels; low morale due to funding uncertainty	Risk continues to be low level	⇔

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Operational-staffing-3	That key skills will be lost as a result of staff leaving	2	4	8	Deputy Director	Ensure key skill sets are shared by several individuals, and train up new staff; encourage all staff to develop their skill set	Backlog in creation of more complex archive interfaces (special collections)	Risk reduced with upcoming appointment of a web developer	⇩
Operational-staffing-5	Failure to recruit technical staff	2	4	8	Director/ Deputy Director	Promote vacancies; consider alternative options – agencies and consultancies	Difficulties in recruiting for advertised positions	Risk reduced with appointment of new lead applications developer	⇩
Operational-staffing-6	Delays in recruitment, or university failure to approve vacancies creates staff shortages and inability to complete projects in a timely fashion	2	3	6	Director/ Deputy Director	Ensure University buy-in to the ADS; work on creation of an SLA; explore other options for ADS hosting	Delays in HR approvals; difficulties in getting support for new posts	Risk reduced due to current strong support for ADS	⇩
Operational-technical-1	Technical infrastructure superseded by developments in technology	2	3	6	Systems manager / Deputy Director	Reduced dependence on proprietary solutions	Technical isolation	Risk continues to be low level	⇔

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Operational-technical-2	There is a risk of major technical failure causing a breakdown in ADS services	1	5	5	Systems Manager	Ensure disaster management planning is kept up-to-date and robust systems are in place. Outsource more applications to virtual servers managed by UoY IT Services	Minor technical failures	Risk reduced further; good support from UoY IT Services, and all systems are being migrated on regular basis	⇩
Operational-technical-5	External threats to ADS systems from external hacking	1	5	5	Systems Manager	Systems team working alongside UoY ITS to monitor level of external hacking attempts	Increase of external threats on UoY IT systems	Risk continues at a low level	⇔
Operational-technical-6	University ITS fail to respond to ADS requests for certification of new deployments in a timely fashion	2	5	10	Systems Manager	Escalate to ADS Director and Deputy Director	Delayed or lack of response to requests	New risk introduced October 2022	⇧
Organisational-1	The University of York will decide to terminate support for ADS	1	5	5	Director	Ensure 'buy-in' from UoY senior management	Queries about financial contribution	Risk continues to be low level	⇔
Organisational-2	ADS will become isolated from the broader operational context of digital archiving	2	3	6	Director	Prioritise collaboration with cognate services in the UK and diversify to include overseas bodies	Low visibility outside Archaeology or the UK	Risk continues to be low level; good engagement via SEADDA, DPC etc	⇔
Organisational-3	ADS will not be able to establish a sustainable organisational structure	1	5	5	Management Commitee	Investigate options for establishing a legal entity	Anxieties about long term future and succession planning	Risk continues to be low level; succession plan now in place	⇔

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Organisational-4	University of York taxation levels threaten ADS ability to be competitive	2	4	8	Director	Ensure awareness of ADS operating environment	Concerns raised at faculty level about ADS net income.	Risk continues at a medium level. Regular meetings with Finance; strong support from HoD and Dean	⇔
External-1	Services are superseded by other repositories or other organisations taking on their own archiving	2	3	6	Director; Deputy Director	Ensure service offered is attractive and robust, and is accredited; engage with discussions about the new infrastructure landscape	Potential depositors take their data elsewhere	Risk continues at low level, although there is a risk of confusion as more repositories are established.	⇔
External-2	Services are superseded by novel means of resource discovery and delivery	2	3	6	Director; Deputy Director	Seek R&D funding to ensure that ADS delivery and resource discovery keeps abreast of new developments in ICT	Usage figures decline; users go elsewhere	Risk unchanged and at low level - engagement with LoD and other new approaches via ARIADNEplus	⇔
External-5	Declining public sector funding will squeeze activity	2	3	6	Director CDM	Diversify funding streams	Funding cuts	Risk continues at low level given high levels of transport infrastructure funding	⇔

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External-6	Reduced access to European funding post Brexit, and damage to influence and reputation at international level	4	4	16	Director	Diversify funding streams; increase European visibility; develop relationships with non-EU countries – China, US, S America, Australia; investigate options, including a European presence	Nervousness of traditional partners to work with ADS on European projects	Risk increased given current exclusion from Horizon Europe	⇧