

## **RISK REGISTER**

### **Document History**

Version 1.1 (draft; last revised 20 June 2008)

Version 1.2 (revised following Management Committee 1 Oct 2008)

Version 1.3 (revised March 2010)

Version 1.4 (revised Sept 2010)

Version 1.5 (revised March 2011)

Version 1.6 (revised March 2012)

Version 1.7 (revised March 2013)

Version 1.8 (revised March 2014)

Version 1.9 (revised March 2015)

Version 1.10 (revised March 2016)

Version 1.11 (revised Sept 2016)

Version 1.12 (revised Sept 2017)

Version 1.13 (revised Oct 2017)

Version 1.14 (revised Oct 2018)

Version 1.15 (revised Sept 2019)

Version 1.16 (revised Oct 2019 following Management Committee meeting)

Version 1.17 (revised Oct 2020 following Management Committee meeting)

The direction of risk arrow indicates if the risk has changed since Sept 2018. New risks are highlighted in bold. The traffic lighting system reflects the level of risk Green-Low (Score 1-9); Orange-Medium, be aware (Score 10- 18); and Red-Action required (Score 19 – 25).

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**Director, ADS**

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	2018-19 Commentary	Direction of risk
Stakeholders-2	Historic England unable to continue their support of OASIS grey literature	3	4	12	Man Comm	Monitor progress and maintain dialogue with Historic England staff	Government spending cuts on Historic England	Risk increased	↑
Stakeholders-3	Funding bodies will not develop a policy of paying for digital archiving	2	3	6	Man Comm	Monitor progress towards 5-year plan at Management Committee; develop dialogue with a range of stakeholders	Reluctance to introduce a digital archiving policy	Risk reduced; UKRI and European funders putting more emphasis on infrastructure and open data	↓
Stakeholders-4	Those funding development control work will not be prepared to pay for digital archiving	3	3	9	Man Comm	Monitor progress towards 5-year plan at MC; promote digital archiving profile within the field profession	Dissatisfaction with progress from funding body representatives	Risk reduced; CiFA report and HERs mandating deposit in their policy documents	↓
Stakeholders-5	Clients are unwilling to pay deposit charges at a level that will cover ADS costs	3	4	12	Dir, CDM	Explore market issues and costing models in advance of charging increases	Reluctance to pay deposit charges	Risk unchanged; charges raised, but see New Risk: Organisational-4	↔
Stakeholders-6	Failure to negotiate satisfactory agreements with HS2	2	4	8	Dir, CDM	Present strong business case for significant ADS role	Failure of HS2 to engage with ADS	Risk reduced; HS2 scoping study underway; ADS archiving mandated	↓
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 reduced; developed better understanding of task timing, and regular monitoring	↓

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	2018-19 Commentary	Direction of risk
Operational-staffing-2	Staff will not be retained caused by dissatisfaction, lack of progression or 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	↔
Operational-staffing-3	That key skills will be lost as a result of redundancies	2	4	8	Deputy Director	Ensure key skill sets are shared by several individuals, and that all systems are fully documented; encourage all staff to develop their skill set	Projected budget shortfalls	Risk continues to be low level	↔
Operational-staffing-4	Failure to appoint key staff arising from Business Process Review	0	4	0	Director	Ensure appropriate remuneration and maximise field	Low interest in advertised positions	Risk removed; all vacancies filled	↓
Operational-technical-1	The technical infrastructure will be superseded by developments in technology	2	3	6	Sys team	Reduced dependence on proprietary solutions	Technical isolation	Risk continues to be low level	↔
Operational-technical-2	There is a risk of major technical failure causing a breakdown in ADS services	2	4	8	Sys team	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 continues to be low level; good support from UoY IT Services	↔

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	2018-19 Commentary	Direction of risk
Operational-technical-3	Vulnerability of ADS systems to external hacking and consequent risk to reputation	1	5	5	Sys team	Ensure time is set aside for systems maintenance	Current software systems no longer supported	Risk reduced; all systems have been migrated to latest releases	↓
Operational-technical-4	Unable to negotiate satisfactory and affordable external storage solution	0	4	0	Archives Manager	Pursue multiple options; keep under regular review	Existing supplier unable to extend service; shortage of external storage space	Risk removed; implemented AWS	↓
NEW RISK Operational-technical-5	External threats to ADS systems from external hacking	2	5	10	Sys team	Sys team working alongside UoY ITS to monitor level of external hacking attempts	Increase of external on UoY IT systems	Risk split from Operational-technical-3, Oct 2019, as this is unchanged	↔
Organisational-1	The University of York will decide to terminate support for ADS	1	5	5	Director	Ensure 'buy-in' from UoY senior management; maintain preservation legacy fund to allow the Service to move elsewhere	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 etc	↔
Organisational-3	ADS will not be able to establish a sustainable organisational structure	1	5	5	Man Comm	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	↔

NEW RISK Organisational-4	The University York imposes taxation levels that threaten ADS ability to be competitive	2	4	8	Director	Ensure UoY and DoA awareness of ADS operating environment	Concerns raised at faculty level about ADS net income	New risk, currently low level through regular engagement with key faculty staff and HoD support	↑
Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	2018-19 Commentary	Direction of risk
External-1	Services are superseded by other repositories or other organisations taking on their own archiving	3	3	9	Deputy Director	Diversification of business model; ensure service offered is attractive and robust, and is accredited; institutional repositories happy to use data centres where they exist	Potential depositors take their data elsewhere	Risk continues to be relatively low level; a few isolated warning signs e.g. MOLA and British Library but no trend; CoreTrustSeal application prepared	↔
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 reduced; engagement with LoD and other new approaches via ARIADNEplus	↓
External-3	A declining level of commercial activity reduces demand for digital archiving from contract archaeology sector	3	2	6	CDM	May require level of curatorial staffing to be reduced	Decline in approaches from contracting units	Risk reduced; national increase in level of archaeological activity	↓
External-5	Declining public sector funding will squeeze activity	3	3	9	Director CDM	Diversify funding streams	Funding cuts	Risk unchanged	↔

External-6	Reduced access to European funding post Brexit, and damage to influence and reputation at international level	4	4	16	Director EPM	Diversify funding streams; increase European visibility; develop relationships with non-EU countries – China, US, S America, Australia	Brexit negotiations fail to produce resolution of access to funding	Risk reduced, having started 4 new European projects which run for 4 years	↓
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