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)

Where probability and impact levels have change since March 2014, the old level is included in brackets, the direction of risk arrow will change position. The traffic lighting system reflects the level of risk Green-Low (Score 1-10); Orange-Medium, be aware (Score 11- 18); and Red-Action Required (Score 19 – 25).

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Director, ADS

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	Direction of risk level
Stakeholders-1	Research Councils will not agree to continue their support of ADS at a sustainable level	2	4	8	Man Comm	Alternative sources of income have been raised	Further policy change or budget cuts	⟷
Stakeholders-2	English Heritage will not continue their support of ADS at a sustainable level	2(3)	4	8 (12)	Man Comm	Monitor progress and maintain dialogue with English Heritage staff	**Budget cuts in Comprehensive Spending review**	⬇
Stakeholders-3	Other funding bodies will not develop a policy of paying for digital archiving	3	3	9	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	⟷
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 Management Committee; promote digital archiving profile within the field profession	Dissatisfaction with progress from funding body representatives	⟷
Stakeholders-5	The archaeological community will not take ownership of ADS	2	4	8	ACM & Man Comm	Promotion of services; engagement of the community; maintain focus on user needs	Reduced level of interest in ADS; reduced emphasis on digital archiving	⟷

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	Direction of risk level
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	Dir	Flexible approach to planning to ensure work plans can be revised in light of such delays. Investigate options for additional support. Effective prioritisation of project goals	Milestones missed	↔
Operational-staffing-2	Staff will not be retained caused by dissatisfaction, lack of progression or support	2	3	6	Dir	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	↔
Operational-staffing-3	That key skills will be lost as a result of redundancies	2	4	8	Dir	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	↔
Operational-staffing-4	Low staff morale as a result of redundancies	2	3	6	Dir	Ensure full and transparent communication; develop plans for the future	Less discretionary effort forthcoming	↔
Operational-technical-1	The technical infrastructure will be superseded by developments in technology	2 (4)	3	6(12)	Syst team	**Reduced dependence on proprietary solutions**	Technical isolation	↓

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	Direction of risk level
Operational-technical-2	There is a risk of major technical failure causing a breakdown in ADS services	2	4(5)	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 Computing Service	Minor technical failures	⬇
Organisational-1	The University of York will decide to terminate support for ADS	1	5	5	Dir	Ensure 'buy-in' from UoY senior management; maintain preservation legacy fund to allow the Service to move elsewhere	Queries about financial contribution	↔
Organisational-2	ADS will become isolated from the broader operational context of digital archiving	2	3	6	Dir, ACM	Prioritise collaboration with cognate services in the UK and diversify to include overseas bodies	Low visibility outside Archaeology or the UK	↔
Organisational-3	ADS will not be able to establish a sustainable organisational structure	1	5	5	Mang Comm	Investigate options for establishing a legal entity	Anxieties about long term future and succession planning	↔

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	Direction of risk level
External-1	Services are superseded by other repositories or other organisations taking on their own archiving	3 (4)	3	9	Dir	Diversification of business model; ensure service offered is attractive and robust, and stands up to trusted digital repository accreditation standards; **institutional repositories happy to use data centres where they exist**	Potential depositors take their data elsewhere	⬇
External-2	Services are superseded by novel means of resource discovery and delivery	3	3	9	Dir, ACM	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	⬌
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	⬌
External-4	There is a change in the organisation of archaeology and that a split between excavation and post-excavation funding may reduce demand for digital archiving and drive down costs	3	2	6	CDM	May require level of curatorial staffing to be reduced	Unwillingness to fund digital archiving costs	⬌

Risk ID	Description	Probability	Impact	Score	Owner	Management	Warning Signs	Direction of risk level
External-5	declining public sector funding will squeeze activity	4(3)	3	12(9)	Dir CDM EPM	Diversify funding streams, including EU programmes; may require level of curatorial staffing to be reduced.	Funding cuts	⬆
External-6	**Declining success in European funding applications and fewer opportunities**	**3(4)**	**3(0)**	**9(12)**	**Dir EPM**	**Seek out new partnerships and influence funding programmes**	**Falling success rate and rewer relevant programme calls**	⬇