

Appendix A

Risk Number	RM13959			Date of update			01 October 2018			
Risk Name	Loss of or reduction in funding									
Risk Owner	Gary Tuson			Date entered on risk register			31 March 2009			
Risk Description										
Loss of or reduction in levels of external funding, including NCC, could lead to a reduced capacity to deliver the service, threaten business viability and infringe Heritage Lottery Fund conditions of grant.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	4	16	2	4	8	2	3	6	Mar-19	Amber
Tasks to mitigate the risk										
Continued development of efficient and prioritised working practices Ensure staff are in place to maintain income generating activities Continue to explore opportunities for income generation										
Progress update										
Income generation targets on course Additional material for licencing being issued. Additional digitization work being undertaken for future releases										

Risk Number	RM13963		Date of update		01 October 2018					
Risk Name	Inability to continue collecting archives									
Risk Owner	Gary Tuson		Date entered on risk register		27 February 2014					
Risk Description										
An increased level of accessions has reduced available space in strongrooms more quickly than planned and there may be further, unexpected increased levels.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	3	6	2	3	6	2	2	4	Mar-19	Green
Tasks to mitigate the risk										
Actions to mitigate risk to be included in forthcoming service plans										
Progress update										
Target reached in 2015/16, 2016/17, 2017/18. Included in service plan for current year but likely to be reduced target in subsequent years.										
Additional space identified in King's Lynn										
Long term Service Strategy (approved by Records Committee in December 2017) includes provision for review of accommodation in 2020.										

Risk Number	RM14164		Date of update		01 October 2018					
Risk Name	Failure to meet growing public expectations on access									
Risk Owner	Gary Tuson		Date entered on risk register		27 February 2014					
Risk Description										
Public are not able to access collections as easily as they expect through modern technologies										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	2	3	6	Mar-20	Green
Tasks to mitigate the risk										
• Use of commercial partnerships to improve access										
• Planning for access to digital images in searchroom										
• Project to enhance metadata										
Progress update										
Planning for access to digital images in searchroom under way										
Project to enhance metadata planned										

Risk Number	RM14165		Date of update		01 October 2018					
Risk Name	Failure to collect, preserve and make accessible new formats of archive									
Risk Owner	Gary Tuson		Date entered on risk register		27 February 2014					
Risk Description										
Increasingly records are born digital and must be preserved in a digital format. The NRO is not in a position to fully managed digital records in line with the OAIS model.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	2	5	10	Mar-19	Amber
Tasks to mitigate the risk										
• Collaborative project for delivery of digital preservation										
• Develop staff skills										
• Continue to develop in-house procedure for handling digital objects										
Progress update										
Tools for digital preservation have been evaluated										
Environment for local hosting of tools being prepared										

Risk Number	RM14167		Date of update		01 October 2018					
Risk Name	Collection at risk through unexpected events									
Risk Owner	Gary Tuson		Date entered on risk register		27 February 2014					
Risk Description										
Provision beyond the council continuity planning needs to be made due to special nature and extent of the NRO collection										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	5	5	1	5	5	1	5	5	Mar-19	Met
Tasks to mitigate the risk										
• Disaster / emergency plan training to be rolled out										
Progress update										
New starters at Record Office all trained in Emergency Plan procedures										
This risk needs to be constantly managed. Further review and training will be required in 2018/19										

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Risk Number	RM14291	Date of update				01 October 2018				
Risk Name	Long Term Sustainability of Metadata									
Risk Owner	Gary Tuson				Date entered on risk register			13 June 2017		
Risk Description										
NRO is not able to maintain long-term accessibility and functionality of its own metadata. Evidential value of archives would be damaged. Recreation of metadata would cost millions of pounds.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	1	5	5	Mar-19	Amber
Tasks to mitigate the risk										
Metadata project launched in 2017										
Progress update										
New catalogue system being tested and strategy for migration of metadata being prepared.										