

Risk Register

The meeting is invited to take note of the on-going work to create a “Risk Register” outlined in the tables below, as well as an assessment of possible mitigation measures, as a first step in the development of a risk management strategy.

Annex 3: ICES Risk Assessment

Risk Area	Potential Consequences	Mitigating strategies & Controls (management strategy, to be further elaborated)	Relation to Strategic Plan (Themes and Goals)	Risk Management: Responsibility	Risk Level 1 - 3	Probab ility Factor 1 - 3	Threat Category Risk * Probability = Threat	1-3·Low·riskα 4-6·Medium·Riskα 7-9·High·Riskα
Financial Risks								
1. Annual MoU with European Commission not renewed	Reduction of advice by 100% - EC use alternative sources for advice Bureau substantially reduces Advisory Programme to be endorsed by Council. The consequences would be dramatic due to collapse of the large parts of the advisory system. First of all non-recurrent advice could not be provided to the extent as currently provided. Dramatic internal and external crisis would follow.	Best mitigation measure is to keep ICES products at high credibility, and meeting the clients' demands. Some pre-thinking is required, for a management strategy ready for further discussion in Bureau and Council. (This is initially an administrative task, to be taken care of in the Secretariat; a) matching resources with now existing tasks/requests from clients and b) termination of contracts, and use of the funds to cover for salary/ compensation payments. Secondly it is a strategic issue, based on information from the Secretariat. Bureau and Council shall be informed and called to discuss the strategic implications and the way ahead).	Predominantly Pillar 2 and Goal 3	Secretariat ACOM, SCICOM, All forces	3	2	6 Medium Threat	
2. Annual MoU with European Commission reduced	Reduction of advice by 50% - EC use alternative sources for advice. The consequences are probably a reduction in non-recurrent advice production.	To mitigate Bureau adapt Advisory Programme to meet new demand to be endorsed by Council.	Predominantly Pillar 2 and Goal 3	Secretariat, ACOM, SCICOM	2	3	6 Medium Threat	
3. Significant increase of requests w/o adequate financial increase and/or increase of MoU w/o financial increase	The immediate consequence is further stress on the expert providing bodies. The immediate risk of not being able to provide best professional advice is high. Risk of producing bad advice, risk of overwhelming the EGs, risk of losing more scientists, risk of heading towards collapse	To mitigate 1. Check upon the feasibility and the degree of complexity of the requests and check for scientific resources by making use of EFARO resource allocation table (?) 2. Use a resource allocation tool, which helps the secretariat to allocate the required scientist-days to the task before making commitments.	Pillar 2 and to some extent probably Pillar 3	Secretariat, ACOM, SCICOM	3	3	9 Major threat	
4. MoU with NEAFC, NASCO, OSPAR, HELCOM or Client Commissions cancelled	ICES is not asked for advice. The immediate consequences would not be very high, apart from financial loss. But decreasing reputation and shrinking network and political isolation of ICES would be the case.	To mitigate Bureau adapt Advisory Programme to meet new demand to be endorsed by Council.	Pillar 2, Goal 3	Secretariat, ACOM,	2	1	2 Minor Threat	
5. One or several member countries not	Due to economic climate in member countries annual invoice will not be paid by some	To mitigate Council should evaluate the extent of the problem and take appropriate action on the	Pillar 4, Goal 6	Secretariat	3	3	6 Medium	

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paying contribution	countries (2-4 shares out of 53. Initially, this will have minor to moderate financial consequences, which will become more severe if sustained. However the signal to others is very detrimental and if the problem persists this could lead to exclusion of members from ICES. This could jeopardize ICES in total. ½)	high political level, immediately when this occurs.					Threat	4-6·Medium·Riskα
6. Decision not to increase national contribution with inflation percentage	Consequences initially small but of creeping increasing nature. Due to economic climate in member countries 2/3 vote cannot be achieved at Council to increase National Contribution	To mitigate Council evaluate the financial consequences and its impact on a continued status quo of stable member states contribution of the activity of ICES.	Pillar 4, Goal 6. Potentially other also	Secretariat	2	3	Medium Threat	7-9·High·Riskα
7. DK cancels HQ-agreement	The consequence is a substantial increase of running costs.	To mitigate 1. Negotiate with DKK for a continuation on the basis of a cost/benefit analysis showing how much DKK gains by hoisting ICES (hotels, restaurants etc.), and/or 2. Increase member state shares by Council decision to what is possible. Or 3. Seek for another country which is willing to host ICES and to cover the costs of the facilities	Pillar 4, Goal 6. Potentially other also	Secretariat	1	1	1 Minor threat	
Structural Risks								
8. Partial loss of contributing scientists to the advisory and science system, i.e. not enough scientists made available from the Member States and lack of engagement with national labs	The consequences are: Increasing difficulty to attain the critical mass of competent scientists. Significant weakening of the advice, increased likelihood of errors, reduced quality and quantity of scientific analyses and products, and diminished scientific reputation of ICES	To mitigate 1. Develop a scientist provision scheme together with EFARO 2. Increase the incentives of ICES for scientists by giving clear scientific tasks. End product of these tasks are scientific peer reviewed papers. 3. Expand the training programme to qualify scientists to be able to contribute appropriately to the groups.	Pillar 1, Goals 1 and 2	All Forces	3	3	9 Major and very serious threat	
9. Progressively decreasing project participation due to conflicts of interest (blocking by decision	In consequence partial decoupling of ICES from science progress and innovation, partial reduction of ICES to be a data provider for science projects	To mitigate find a better solution in Council. Reopen the discussion on the decision tree	Pillar 1 and 2, Goals 1-3	Council	2	2	4 Threat	

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tree)								1-3·Low·risk⌘ 4-6·Medium·Risk⌘ 7-9·High·Risk⌘
10. ICES is overwhelmed at the data department to provide the necessary data for integrated and multispecies assessment	Consequence: Increasing discontent of the clients due to insufficient advice	To mitigate 1. Cutting the expectation to size of what can realistically be expected. ICES should not make commitments to deliver results which it can not produce with appropriate accuracy and reliability. ICES needs to examine thoroughly what it can and what it cannot. This needs to be an integral part of the data, science and advice plans. 2. ICES needs to develop a data acquisition strategy how to fill the data gaps.	Pillar 3, Goal 4	DIG, Council	1	3	3 Minor threat	
11. ICES uses inappropriate models	As a consequence results may be “right” and consistent horizontally (between groups) and vertically (between years) but clients will become increasingly discontent. An “expectation gap” will rapidly develop and seriously damage ICES image	To mitigate develop a group “pushing the frontiers” ICES should develop a parallel “science-advice” body were new methods and models are developed and tested for use in advice. These are then used in the daily business when they are “certified” by the group.	Pillars 1 and 2, Goals 1-3	ACOM, Head of Advice	2	3	6 Threat	
12. ICES is not advancing the scientific frontiers of knowledge	As a consequence ICES will become less and less attractive for scientists. Threats 8, 9 and 10 will be amplified. ICES fails to keep pace with the internal development in science. If models and methods are developed in other parts of the world where fishery advice, environmental services and socio-economics are merged with completely new and/or methodologically different, then ICES must AT LEAST keep pace, better: influence and stir the process.	To mitigate 1. Change core structure of ICES and establish “science & advice” groups. 2. Increase the incentives of ICES for scientists by giving clear scientific tasks. End product of these tasks are scientific peer reviewed papers 3. Expand the training programme to qualify scientists to be able to contribute appropriately to the groups 4. ICES should develop a parallel “science-advice” body were new methods and models are developed and tested for use in advice. These are then used in the daily business when they are “certified” by the group. 5. To do this reform ICES core structure: abandon the dichotomy of the science and advice programme and define work only task specific. Abandon the dichotomy of the financing structure.	Pillar 1, Goal 1 and 2	Head of Science, Head of Advice, in conjunction with SCICOM/ACOM chairs	2	3	Threat	
13. ICES is overcharged with too far-reaching requests	Consequently ICES might very quickly come into a “defending role” for not doing what is needed or wished from clients. Thus losing reputation rapidly.	To mitigate 1. Check whether ICES has done its homework properly: has ICES the most up to date and implemented the most effective work processes and tools? Are the processes sufficiently error	Pillars 1 and 2, Goals 1-3	Head of Science, Bureau	3	3	3 Major and very serious	

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	Clients will look for alternatives or will build them up	save and ensure the required quality? Are all processes adequately fast? and/or 2. Mobilize new experts from other sources (e.g. socio-economic), and 3. Develop incentives for these scientists to come to ICES. 4. If ICES has done its homework properly (1) and the problem persists then negotiate hard for appropriate financial increase of the MoUs.					threat	4-6·Medium·Riskα
14. ICES expands its scope into socio-economics too quickly or ICES reacts on the request to expand into the socioeconomics too slowly and too little ambitiously	Expecting and promising too much in a too short time. Consequently provoking thus disappointment on the side of the clients, or Clients loose interest in ICES and build up parallel structures.	To mitigate 1. Careful and stepwise expansion. MoUs be only signed after it has been thoroughly evaluated within ICES. Decision on MoUs be agreed upon by Bureau. 2. Clear commitments by ICES and presentation of a detailed roadmap into the expansion of the advice of ICES into socio-economics.	Pillar 1, Goal 2; Pillar 2, Goal 3	Bureau	2	3	6 Threat	7-9·High·Riskα
Administrative / Organizational Risks								
15. ICES is made liable for errors in the advice	The consequence would be an earthquake effect on the working structure of ICES	To mitigate insert a clause into the MoUs and the advice that legal liability is not taken by ICES nor by the individual scientists. ICES be advised by a legal firm for an appropriate legal phrase.	Pillar 2, Goal 3	All Forces	2	2	4 Threat	
16. Scientists avoid taking up leadership because they are afraid of making errors and being made responsible for it	Consequently ICES would be losing competent chairs and overwhelming the remaining ones.	To mitigate see 15	Pillars 1 and 2, Goals 1-3	All Forces	2	2	4 Threat	
17. ICES EGs become increasingly influenced by NGOs and environmental organizations	As a consequence ICES gradually shifts from a strict fact-and-science-based-advice production organization into an increasingly politically influenced advice providing body. As a result there would be an immediate loss of credibility and immense inner-ICES frictions can be foreseen. Chairs are often unprepared for situations as such.	To mitigate examine continuously if the present rules of procedure are appropriate and functioning. Start conscience building at ICES and develop clear instructions for chairs on how to behave in emerging situations. Initiate possible training workshops for chairs for learning how to chair a meeting professionally and how to react upon emerging situations.	Pillars 1 and 2, Goals 1-3	All Forces	2	1	2 Minor threat	

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Technical Risks								1-3·Low·risk⌘
								4-6·Medium·Risk⌘
								7-9·High·Risk⌘
18. ICES headquarter burns down	Consequences unforeseen	To mitigate make daily backup on external device. Develop and maintain high fire prevention and security-measures.	Pillar 3 and 4, Goals 4 - 6	Secretariat	3	1	3 Minor Threat	
19. Data Centre is hacked, viruses destroy data-banks	As a consequence loss of data, serious delay of data support for EGs	To mitigate the newest and best professional firewalls are installed and detached backups created continuously. A very high data-security conscience is developed and maintained. The Councils allows for adequate funding.	Pillar 3, Goal 4	Secretariat	3	1	3 Minor threat	