

## RISK ASSESSMENT MATRIX FOR NORTHUMBERLAND INSHORE FISHERIES AND CONSERVATION AUTHORITY FORMING A PART OF THE NIFCA ANNUAL PLAN

**L = Likelihood | I = Impact | S = Score**

Year	Review 1	Review 2
2010	18/02/10	03/08/10
2011	22/02/11	28/09/11
2012	05/07/12	---
2013	27/03/13	8/11/13
2014	16/12/14	---
2015	01/07/15	---
2016	23/02/16	19/09/16
2017	24/03/17	18/09/17
2018	19/03/18	18/09/18
2019	15/03/19	TBC
<b>Date of Next Review</b>	<b>September 2019</b>	

**Objectives:**

To manage and regulate inshore sea fisheries in Northumberland and other duties particularly as laid down in the Marine & Coastal Access Act 2009 including:

- Enforcement of byelaws and other legislation.
- Supply fishing permits to approximately 125 commercial fishers (plus pot tags to 90 of these who target shellfish) and pot tags to presently 180 recreational fishers.
- Provision of advice to permit holders and wider community
- And as referred to in the national IFCA Vision, Success Criteria and other objectives in NIFCA Strategic documents and reports including the NIFCA Annual Plan and Report

Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
1  MS	Inadequate management of health and safety of operational and office staff leading to an incident.	<p>Health and Safety Officer, Health and Safety Policy, risk assessments of all work, continually reviewed. Lone working policy in place for IFCOs and office staff, which is carefully managed to keep any necessary lone working to a minimum.</p> <p>Incidents of lone working significantly reduced and are minimal due to Health &amp; Safety Policy and rota and levels of office staffing. Officers have been issued with Personal Trackers. The Health and Safety Policy is kept up to date. Training is given to new recruits and a training manual is kept. A visitors book is also kept in office reception recording all site visitors and staff attendance at and departure from the office. A fire alarm test has been carried out during a members meeting.</p> <p>The Health &amp; Safety Officer has carried out an Annual Fire Risk Assessment of 8 Ennerdale Road since the move here in 2013 – camera system operational, as is door keypad system.</p> <p>Premises security will continue to be kept under review including front gate, the padlock for which has been changed to a combination lock and office equipment will continue to be monitored and replaced where necessary. A risk assessment has been completed for the vessel and its activities. A health and safety manual has been produced and is now kept on the vessel. All Officers have received training re. familiarisation of work on vessels. Most Officers have been given 4x4 vehicle drivers training.</p> <p>2 Officers now have Institution of Occupational Safety and Health (“IOSH”) Certificate and one with NEBOSH (National Examination Board in Occupational Safety &amp; Health).</p>	1	3	7	<p>Monthly-checks including fire safety and a fire drill has taken place for all officers and staff.</p> <p>Records of regular testing and inspection also take place. There is a quarterly Health &amp; Safety Report to the Authority and the position is minuted. Quarterly report to Authority and meeting minutes. H&amp;S Officer and CEO meeting quarterly.</p> <p>All IFCOs and Office staff have completed and passed occupational health tests. IFCOs to complete Annual Occupational Health Test, office staff every other year. There is now one member of staff trained in Mental Health First Aid.</p>	M. Southerton	<p>Fire drill to take place regularly plus regular reviews of individual training needs for staff in the office and IFCOs on the vessel. The Authority now has a training policy.</p> <p>Regular Safety, Fire and Man overboard Training on-board NIFCA Vessels</p> <p>Arranging training re. manual handling and first aid for staff and IFCOs is ongoing.</p> <p>Health &amp; Safety policy to be kept up to date.</p> <p>Undertake the replacement of old office chairs.</p>	Mar 2019	Sept 2019

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2a AB	An aggrieved member of the public becomes abusive leading to an incident in the field.	As above plus: building up relationships, using negotiating and influencing skills. A complaints book is also in place for anyone wishing to make a complaint about incidents in the field. Enforcement officers equipped with personal protective clothing and equipment. Vast majority of time work in pairs. Lone working risk assessed and policy and procedures in place. SOS Panic Button on Personal Trackers to call for assistance. Light Weight Body Cameras have been purchased and are being used by all Officers carrying out enforcement whilst at sea and shore and may be used to gather evidence of incidents. On the rare occasion that lone working is required, officer will text or ring in at the beginning and end of the day to notify the Chief Officer or designated duty officers or member of staff that they have started or finished. Conflict resolution training has also been given to IFCOs and all key office staff. A tracker has been added to the Ford Ranger.	1	2	3	Reporting to Chief Executive and meeting of the Authority.	Chief Executive/Chief IFCO	Keep lone working tracking under review to ensure satisfactory functioning.	Mar 2019	Sept 2019
2b ES	An aggrieved member of the public becomes abusive leading to an incident – with an office based member of staff and general office security.	As risk 1 and 2a above plus: building up relationships, using negotiating and influencing skills. The Authority's premises at 8 Ennerdale Road also have CCTV and electronic access providing extra security and the above mentioned visitors' book also keeps a record of who has been at the office in case of any difficulty. There is also an authority policy to ensure a minimum of 2 members of staff to be in the office at any time where practicably required.	1	2	3	Reporting to Chief Executive and the Committee.	Chief Executive.	Keep under review the front door self closing function (MS).	Mar 2019	Sept 2019
2c ES	Unauthorised access to the building via unlocked door/ finding lost keys resulting in unattended visitors or theft of assets.	Self closing door with entry code on the front entrance of the building. Doors are kept locked in the garage unless an Officer(s) is using the room.				Reporting to Chief Executive and the Committee.	Chief Executive and Chief IFCO	Check front door self closing function. Consider policy re. loss of keys and change of staff (including updating key code).	Mar 2019	Sept 2019

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3 MH	Accusation of an officer or staff member of dishonesty or fraud leading to loss of reputation of the Authority.	Authority governance including Codes of Conduct in place and all employees have had to complete a declaration of interests form. Financial Regulations and Procedures handbook, including system requiring Officer and Chief Executive approval before any payments are made and an order approval process requiring quotes. Receipts issued for all donations; register kept for transparency. Disciplinary process. Installation of on line banking has increased security. A fireproof office safe has also now been securely installed, access to which is controlled and limited. The Chief Executive, Chief IFCO and Authority Chair also both have Authority Barclaycards all usage is checked by CEO and all expenditure is memo'd and all expenditure is reported as soon as possible to the Authority Finance Officer. Card reader now installed which also increases financial security. Sage 50 has been installed and that will continue to improve accuracy and reduce risk of errors in financial management. A policy for the card reader has been written, read and signed by those who use it.	1	3	7	Public Audit. Quarterly reporting to the Authority by Admin and Finance Officer and to Chief Executive more frequently if necessary. The Finance Officer also meets with the Chief Executive at least once a week and every day when both are in the office and also gives monthly budget reports to the CEO. The Authority is no longer required to undertake an external Audit but will continue with internal audits by NCC. Admin Officer has become a joint bank signatory to enable a banking function to be delivered whenever the Finance Officer is absent.	Chief Executive.	None.	Mar 2019	Sept 2019
4 JS	Inadequate funding leading to overspending or reduced level of service	The Authority precepts upon Northumberland County Council (83.37%) and North Tyneside Metropolitan Borough Council (16.63%). The Authority membership includes councillors with these authorities. Should funding be reduced, the Authority would seek to cut back in certain areas and renegotiate upon the level of service provided. Contingency planning between CEO, Finance Officer and Chair has been undertaken in that regard and reported to the Authority. Tight financial controls. Financial Regulations are implemented. Budget report by Finance Officer to Chief Executive as well as meeting at least once a week between Finance Officer and Chief Executive. Under the Marine and Coastal Access Act, additional funding has been awarded by DEFRA for New Burdens which is confirmed to continue until the end of 2019-20.  Base costs and overheads have increased but rigorous planning of the budget continues and there is compliance with Audit recommendations. In addition the Authority's new patrol vessel St. Aidan (replacing St. Oswald) brings increased efficiency and savings in terms of running costs and maintenance as well as increasing chartering opportunities and thereby income because of increased capability.  Periodic budget increases, as have occurred over the last few years, mitigate the risk of overspend or reduced level of service.	1	3	7	Finance Officers reporting to Chief Executive, and to the quarterly meeting of the Authority.	Finance Officer reporting to CEO	Continuing to work with NCC to strengthen procedures under the Audit Action Plan. Keep level of budget spend and possibility of budget increases or further incremental increases under ongoing review	Mar 2019	Sept 2019

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5 MH	Loss of staff (e.g. through long term sickness or turnover) leading to a loss of skills, knowledge and experience and reduced capacity to deliver the service. Impact assessed based upon losing 2 staff.	Workload would be distributed between remaining staff. Recruitment of additional resource e.g. part-time/temporary staff. Notice period required is between 6 weeks and 3 months for IFCOs and office staff. Training of existing staff to do tasks of others. Training of new recruits. Financial Regulations developed for finance. There would be liaison with other Authorities to get staff from them on a temporary or permanent basis. Reconfiguration of Authority operation would take place if funding reduced. The Authority has its complement of IFCOs and Admin support at a good level.	1	2	3	CIFCO leads rota meetings with other IFCOs. Close working with Finance Officer and Admin staff. Regarding monitoring process a "Certificate of Fitness" and return to work interview upon an IFCO or staff member returning to work after a period of absence will be sought if necessary and appropriate to ensure fitness to return to work. Annual Occupational Health checks put in place for all Officers and checks every 2 years for office staff.	Chief Executive.	Keep under review business continuity planning for significant loss of staff during such as a pandemic flu outbreak. Regular meetings of the whole staff to be increased if possible to at least twice a year. Possibility of Key Man insurance or similar kept under review.	Mar 2019	Sept 2019
6a AB	Loss of boat, RIBs, vehicles, plant and equipment leading to inability to enforce byelaws and deliver service.	Employment of engineer; if engineer absent for any length of time the Deputy Chief IFCO (Operations) plus relief skipper could cover the situation for a reasonable period. PV and RIB insurance in place - replacement policy in the event of fire or sinking, duplicate documents are held on land or replacements can be obtained. PC back-up procedures in place and backup for data on pv at office. Mutual assistance could be sought through eg North Eastern IFCA and other organisations. Lead-in time for replacement new RIB is 2-3 months, but perhaps leasing during interim period. The Authority's existing RIB capability also means there is a supplementary vessel if the patrol boat is out of action.  NIFCA 4 x 4 vehicle policy is now active.	1	2	3	Reporting to Patrol Vessel Subcommittee, Watch Committee, RIB Procurement Subcommittee and main committee meetings of the Authority.	Chief IFCO.	To keep under review the need for additional engineer cover. To complete the build and purchase of the new RIB, forecast completion of April/May 2019.	Mar 2019	Sept 2019
6b MH	Loss of building e.g. through fire leading to inability to deliver service.	IT back-up provided by One IT and website back-up by Urban River. Temporary accommodation would be sought initially from NCC. Current files are held in steel cabinets. Have a fire proof safe for the most important documents and a small safe for any cash which has to be held on the premises plus keys and other small but important items. Deeds held in strong cupboard. Blue Book (electronic copy) and other records held on the boat or electronically. Insurance. Keep under review NCC ability to provide accommodation if required or possible accommodation share with the MMO.  Fire awareness for staff is built into the Authority Health & Safety Policy and planning.  Ensure the continued safe and secure disposal of surplus files and paper held by the Authority.	1	2	3	Reporting to Chief Executive.	Admin Officer	One IT Support replaced NCC in Jan 2018 - keep this arrangement under review.	Mar 2019	Sept 2019

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7 MH	Failure to regulate in accordance with legislation.	Professional update will be maintained through membership of the Association of IFCA's and networking through other IFCA's and the likes of the "blue book" updates, "they work for you" from Parliament and DEFRA communications. CEO analysis with advice particularly from CIFCO and Environmental IFCO's. Admin staff scanning the internet on a regular basis. Internal communication framework. The Authority implemented its Byelaw Package from December 2015. The Authority has made a revision of byelaw 7 (to open areas) which was implemented in 2018. The Authority will also continue to regulate as may be required under the European Marine Site Revised Approach to Fisheries Management and MPAs generally. Full consultation including with the MMO is undertaken and also with Natural England, particularly re Habitats Regulations and other stakeholders. IFCA's can also make emergency byelaws and has done so re. berried lobsters in Sept. 2017 (which has now received a 6-month extension and we await approval of amendment to byelaw 3). Close/ joint working with the MMO.	2	3	10	Rota meetings. Close working with Admin staff. Staff meetings. Quarterly reporting to Committee of the Authority. Senior IFCO's of the Authority now attends the MMO's TCG meetings and an Environmental IFCO is Secretary of TAG.	Chief Executive	Byelaws continue to be kept under review. The Authority continues to act under EMS revised approach regarding Amber requirements and any regulation which may be required for MCZs although a monitoring and control approach is now being followed.  Keep potential and actual consequences of Brexit under review.	Mar 2019	Sept 2019
8 AB	DEFRA or MMO objects to proposed new byelaw leading to management difficulties experienced by the Authority.	In developing byelaw proposals, legal expertise is sought where necessary (in addition CEO who is a solicitor (now non-practicing) with many years' experience) and reference is also made to the Defra Guidance to IFCA's on making byelaws. There is also on-going liaison with the MMO and a good relationship is maintained. IFCA's can also make emergency byelaws. The enhanced IFCA byelaw-making process including specific provision for consultation and Impact Assessments should reduce the risk of Defra or MMO objection to a proposed new byelaw.	1	3	7	All relevant staff and the Authority. NIFCA also responded to MMO consultation in early 2018 on the byelaw making process and will monitor the outcome.	Chief Officer and Deputy Chief Officers and Chief Executive.	All byelaws are kept under ongoing review.	Mar 2019	Sept 2019
9 MH	Failure to adequately manage the continuation of the Northumberland IFCA and all duties under the implementation of the Marine and Coastal Access Act 2009.	IFCA duties and remit are now fulfilled by the Authority. NIFCA was consulted upon preparation of the Parliamentary Report by Defra on IFCA's first 4 years and the report was received in which NIFCA was very well reported on. We responded to the latest quadrennial review in August 2018 and result published last Autumn. Also now evaluation of IFCA's for Defra by RBA/ABPmer.  Throughout NIFCA's first 7 years, MOUs with partner agencies have been followed and in particular the Authority has implemented and worked with partner agencies locally upon a Joint Working Arrangement. This has ensured compliance with the provisions of the Marine & Coastal Access Act 2009 as these affect IFCA's. The IFCA followed the original High Level Objectives, Outcomes and Performance Indicators (and continue to do so for revised Success Criteria) and that has been done as much as possible bearing in mind resource limitations and extra responsibilities which have been given to IFCA's. As well as guidance to IFCA's from Defra, the IFCA has also established its Annual Plan and Annual Report which are followed in managing its role. Following review of Employment Contracts, Performance Review and Reward (ECPR&R) the Authority has fully implemented a staff Grading Structure.	1	3	7	This is built into the High Level Objectives for the IFCA in the Annual Plan and as confirmed in the revised Success Criteria. Progress and attainment of objectives should be monitored continuously and reported upon quarterly to the meeting of the Authority and in the Authority Annual Report.	Chief Executive	Adhere to monitoring process as detailed for this risk and maintain all necessary training for Officers and Staff and act upon guidance from the membership and Defra and Association of IFCA's.	Mar 2019	Sept 2019

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10 ES	Inadequate or inappropriate governance leading to inappropriate decision-making and loss of reputation.	Members are appointed by NCC, NTC and MMO. Also reference to Authority Constitution, Standing Orders and Members' Code of Conduct. Guidance is also given to IFCOs who have a code of conduct and other staff as appropriate as to what should be done to avoid inappropriate decisions and loss of reputation. Declarations of Interest are also completed by all Members and Staff. Control is also maintained by transparency of operation and an appropriate chain of command to ensure the correct approval for actions is obtained where required. Introduced and distributed a Staff handbook and Member handbook, both of which are living documents.  All new Members appointed to NIFCA receive the New Members Information Pack and the provision of training.  CEO and Chair have now undertaken review of Standing Orders and general governance, which has been approved by the Authority membership and resultant changes implemented.	1	3	7	Annual Audit. Quarterly Authority meetings and Extraordinary General meetings if required. IFCOs report to Chief IFCO and Chief Executive. All emails and other written communication by IFCOs and other staff are also checked where necessary by senior officers. A secure system of emailing and data storage is also maintained by the Authority with all personnel having personal NIFCA email addresses. Officers and staff now have KPIs which contribute to enhanced working which feeds into governance decisions.	Authority Chair and Chief Executive.	Policies, staff and Member handbooks to be kept under review, including development of staff change policy.	Mar 2019	Sept 2019
11 JS	Inadequate budgetary control leading to overspending.	Financial skills and experience of finance officers and use of financial regulations. Members' scrutiny of financial reports provide a quarterly challenge. Monthly (or more frequently if required) budget meetings between Finance Officer and Chief Executive. Contingency within annual budget. The Authority budget is prepared in detail with member input, with quarterly forecasts and detailed breakdowns of all heads of expenditure within the quarterly and annual accounts which are prepared by the Finance Officer working with the Chief Executive to keep spending within budget. Preparation for annual audit begins in the autumn with the Audit Section at Northumberland County Council before the Audit itself the following spring/early summer. The Authority also has reserves to cover any major contingencies which may arise. Sage 50 has also been successfully introduced and as referred to in 3 above.	1	2	7	Annual audit and quarterly meetings plus regular liaison between Finance Officer and Chief Executive plus regular liaison with internal audit and members where necessary and Chief Officer where appropriate.	Finance Officer	Finance Officer will continue to meet the Chief Executive and other colleagues as applicable to plan for audit and budget controls and consult the Northumberland County Council Internal Audit Team. Finance Officer will also meet again if necessary with the NCC Finance team to discuss how to manage a reduced budget (particularly in case of possible future reductions).	Mar 2019	Sept 2019
12 ES	Failure to keep policies up to date.	Regularly reviewed primarily by Admin Officer in liaison with the Chief IFCO and CEO.	1	2	3	Regular liaison with the CEO and Chief IFCO. Keep under review the need for implementation of new policies.	Admin Officer/ CEO	Ongoing as stated under controls and monitoring process.	Mar 2019	Sept 2019

Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
13 AB/ Env. IFCO	Fisheries in the District impacted by the activities of developers/non-fishing industry. Insufficient time to fully consider environmental impact assessments for inshore development.	Consultations responded to by the Authority after due consideration particularly by Deputy Chief IFCO (Environmental). Liaison with consulting agencies. Developer meetings attended by Authority representatives. Database holding information on current and historical fishing activities within the district has been modernised and updated and is being further improved, particularly to aid fishers completing permit returns and NIFCA monitoring these. Development proposals will also be scrutinised by other agencies. Developments will require consent. The Authority has an Environmental Risk Register for the District which is kept under review. IFCOs sit on the Local Standing Environmental Group. Monitoring and control plans are being implemented to assess changes in fishing activities and respond to potential threats to sustainability in the district. Weekly bulletin created by environmental team and circulated to the Chief IFCO and CEO.	1	3	7	Review takes place of notices received of proposed developments and there is a set process for response to consultation, Chief Executive liaising with Environmental Officers and with Authority members where applicable. Also obtaining further information where applicable from the developer and other agencies such as MMO.	Chief Executive and Deputy Chief Officer (Environmental)	To finalise database improvement as referred to under "controls".  To continue the full implementation of Monitoring and control Plans.	Mar 2019	Sept 2019
14 AB	Failure to fully engage with stakeholders	The officers meet regularly with fishermen in the district particularly when on patrol. Meetings will also continue with fishermen, recreational sea anglers and other stakeholders in the district. Information is received through the membership and from stakeholders on any areas of concern which there may be and will be acted on as appropriate. The website continues to be improved to increase outreach. Subcommittees will consider specific issues. Regular liaison with MMO, EA and NE including through the local Joint Working Arrangement (JWA) which is now in place. There is also regular liaison with Newcastle University School of Marine Science and the Tweed Commission. Regular press releases and other appropriate liaison with the media. The Authority also uses Social Media platforms such as Facebook and Twitter which increases the ability to have regular contact with stakeholders, members and the public as well as maintaining a very proactive website. A fully comprehensive stakeholder list is also in place together with the Authority Promotion and Communications Plan upon which there is assistance from Richard Simpson Associates. The Authority also now produces a periodic newsletter and has posted on the North East Sea Angler Forum website where necessary, plus information sheets where required e.g. for the EMS Revised Approach and has also put up notices in the district and produced minimum size cards.	1	3	7	By meetings and other means of communication and reporting to members and assistance of PR Adviser.  Continually updating and distributing NIFCA information and publicity.	Chief Executive	Continue to keep stakeholder engagement under continuous review and update where necessary including posters in the district and information leaflets to stakeholders. Increased patrols particularly in the North of the District are also envisaged with new Cabin Rib	Mar 2019	Sept 2019

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15 MS/ Env. IFCO	Degradation of environmentally sensitive areas due to fishing activity.	Authority byelaws and particularly permit issue and pot limitation. Also projects in conjunction particularly with Newcastle University and Natural England to enhance knowledge of the fishery and also continuous checks by officers of fishing activity leading to effective enforcement and adaptive co-management approach to fishing. The Authority also has the power to make emergency byelaws and is also engaging fully with the Defra Revised Approach to Management of fisheries in European Marine Sites (Ambers and Greens following Red Risks). The Authority also has an Environmental Risk Register in place for the district which is kept under review by the Environmental team. Monitor and Control Surveillance System (MCSS), the Automatic Information System (AIS) and the Vessel Monitoring System (VMS) including geo-fencing of specific areas are also used as monitoring tools in respect of this Risk. There are increased joint operations with the MMO and other agencies. Also monthly environmental meetings are held for the Authority officers with regular meetings between the officers, Natural England and other agencies, regarding environmental risks, taking place. Officers recording bait digging and other activities. IFCOs completing Survey Forms on an ongoing basis regarding activity within MPAs.	1	3	7	Rota meetings with IFCOs and reports to the Chief Executive. Quarterly reports by IFCOs to Authority meetings. Ground truthing and seabed mapping is also ongoing, increasing both knowledge and data. A monthly Environmental Team meeting and weekly Environmental bulletin has been introduced as well as TCG meetings both at the MMO and internally.	Chief Executive & Environmental team	To continue to consider possible MCZ management measures.  New cabin RIB will increase the capability for patrols to monitor activity throughout the district.	Mar 2019	Sept 2019
16 AB/ Env. IFCO	Stocks collapse	Permit holders have been issued with equipment such as gauges and pliers. Projects to ascertain greater details of stocks and in particular the Authority is now preparing the report on its Lobster Stock Assessment Project 2014-16 (which project is ongoing and resumed in the Autumn of 2017). The Authority also continues to monitor the MSC "Project Inshore" (now Project UK) and has continued with its Strategic Environmental Assessment. Account is also being taken of the CEFAS assessment of crab and lobster stocks programme and the Authority is also a member of the IFCA Technical Advisory Group (TAG) (Environmental IFCO is now Secretary of TAG). Crab stock assessment now underway with funding from FLAG/EMFF. Monitoring of landings. Byelaws also take account of all of this and provide controls. Effective enforcement. Consultation with the industry and all stakeholders plus partner agencies. Permit returns and data thus gathered also reduces this risk (the Authority database is being updated). Also Environmental Risk Register for the district.  Introduction of new berried lobster/crawfish SI from 1 October 2017 and emergency berried lobster byelaw from 29 September 2017 (now extended for 6 months, with a new revised byelaw 3 to include the berried lobster provision now being considered with the MMO and their legal section). Revision to byelaw 4 recreational fisher permit conditions to include mandatory use of escape gaps in pots and limit of 2 lobsters per day implemented in January 2019.	1	3	7	Rota meetings with officers and reports to the Chief Executive. Quarterly reports by officers to Authority meetings. Environmental meetings between Authority officers and regular meetings with Natural England and other agencies.	Chief Executive, Chief IFCO and Deputy Chief IFCOs	Strategic Environmental Assessment to continue to be used in the district and other actions under Controls. Keep under review level of enforcement and overview following introduction of berried lobster prohibition. Keep under review the system of permit returns and data collection.	Mar 2019	Sept 2019



Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
17 ES	Breakdown in relations with stakeholders and other agencies including Marine Management Organisation, Environment Agency, Natural England and other IFCAs.	MoUs and regular liaison with all partner organisations and stakeholders including surveys of views and properly responding to any queries or complaints and reporting as appropriate to membership. In addition Joint Working arrangements locally with MMO, EA and NE. In addition the Authority has MoUs with the Tweed Commission, and Newcastle University. Also the Authority's compliments, comments and complaints system is kept under review. Complaints are felt to be at the lowest possible level. Chief & Deputy IFCOs attend MMOs TCG Meetings and MMO attend NIFCA TCG Meetings. The Authority also works with AIFCA on a national level. The Authority also interacts with partner organisations and stakeholders appropriately on social media and responds in a timely fashion to queries/comments raised online and in the public arena.	1	2	7	Stakeholders and other agencies can contact the Authority office and also attend NIFCA public meetings. A record is kept of any complaints or other comments requiring action and the Authority office in particular will remain proactive to foresee as much as possible likely areas which need to be dealt with to prevent any breakdown in relations. The Authority continues to engage with all stakeholders.	Chief Executive	Consider further stakeholder surveys as may be appropriate.	Mar 2019	Sept 2019
18 JG	Failure to properly fulfil responsibility including role in respect of European Marine Site, Marine Conservation Zones, bait digging and other fisheries related activities in the district.	Close liaison with Defra and other IFCAs including in respect of MPAs, Technical Advisory Group, Chief Officers Group and Association of IFCAs ensures knowledge and awareness is maintained. Strong communication between officers particularly Environmental IFCOs, Chief IFCO and Chief Executive and with Authority members and also Environmental team attending all necessary meetings particularly now on a regular basis with the Authority's Natural England member and also including Berwickshire and North Northumberland Marine Nature Partnership (MNP, formerly EMS Implementation Office) meetings. There is now a new MNP Officer with whom close working is continuing. Also full liaison with Natural England nationally and the Marine Management Organisation. Regular monitoring of MPAs including SPAs, SACs and MCZs in the district. See also the EMS Revised Approach to Fisheries Management which is followed by the Authority. Close liaison with the University in project work.	1	3	7	Regular discussions between the Authority Environmental Team and Chief Executive/Chief IFCO and also particularly with Natural England/Authority member and MNP Implementation Officer and reporting upon meetings to the Authority.  Also quarterly reporting on EMS revised approach by Environmental IFCOs to the Association of IFCAs and any resultant feedback.  Quarterly Technical and Scientific meetings of officers and members.	Chief Executive & Environmental team	Continue to hold stakeholder meetings, when required and continue with all necessary survey work .  Monitor proposed MCZ.	Mar 2019	Sept 2019

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19 JS	Information technology failure leading to loss of data and affecting the Authority's ability to function.	Service Level Agreement with One IT who provide back up for data and internet security. Returned in January 2018 back from Google to Microsoft which works better for NIFCA. Paper records of documents are also kept securely and can be referred to as well as what can be accessed through computers. New hard drives/multiple locations. Now replaced 2 computers and have a 5-year plan in place to replace all old PCs.	1	4	11	Through the SLA – this includes the services of an IT Manager for the Authority with One IT Support. It is also monitored every working day by Officers and staff.	Admin Officer and Finance Officer	Finance/ Admin Officers to prioritise review of SLA with One IT Support to ensure it is working efficiently and receiving an adequate level of support. Continue to review and replace old IT equipment.	Mar 2019	Sept 2019
20 ES	Insufficient members attending an authority meeting preventing time limited or other urgent business eg. Regarding audits being approved.	Giving members sufficient notice of meetings. Trying to agree in advance of the meeting with as many members as possible that they can attend. At least one Councillor and one MMO appointed member must attend each official IFCA meeting. Changed day of the week of quarterly meetings and start time to that most suitable for Councillors. Hold meetings at county hall and NTC and other suitable venues as well where applicable. Members to give reasons for non-attendance for approval by meeting? Changed running order of Finance and Watch meetings to make more suitable for members on each committee. Sending out calendar invitations to members to ensure clear communication re. meeting dates and to allow easy reference to planned member attendance.	1	4	11	CEO liaises through Admin Officer with key members particularly Chair/ Vice Chair in advance of meetings.	CEO	To continue the discussion with the members. To keep under review quarterly meeting start time to ensure maximum accessibility for Members and possibly condensing to a half day on occasions where possible.	Mar 2019	Sept 2019
21 AB	Intelligence not being securely processed and shared/ disseminated.	MMO provided intel system and Authority has trained, prepared and experienced Intel Officers. Intel Officers and CIFCO and DCIFO (Operational) have secure CJSM email accounts. Continual assistance from MMO Intel Team and MMO Ops Room. IFCO Willis now leads on Intel processing. Data Sharing Agreement with the Police including regulated access to PNC. Standard practice for security clearance of all new employees.	2	4	12	Intel Officers liaise with Chief IFCO, monthly TCG and can seek guidance from the MMO.	Chief IFCO	Any further training and guidance to be accessed by IFCOs and staff where necessary and keep under review national consideration of security clearances for IFCOs. Ongoing liaison with the MMO required. Continue with training as necessary regarding Intel Project so IFCOs fully acquainted. Consider training another IFCO re. Intel Project to maximise continuity and expert input. Reviewing Security clearance of all IFCOs and staff.	Mar 2019	Sept 2019

Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
22 ES	Emails/Website being hacked or in some other way interfered with maliciously.	Officers and staff to have strong and secure passwords for emails and website login (where applicable) to reduce the possibility of a manual hack. All NIFCA Officers and staff to be vigilant of any unusual activity on the email/website and to report immediately to the CEO.  Now introduced 2-stage authentication system for accessing NIFCA emails, reducing the chance of a hack.  Passwords changed/users removed and updated when there is a change of staff to ensure only present staff can login to the website to make changes.	1	4	11	Daily checking of the website/ emails and liaison as appropriate with Urban River/One IT.	CEO and Admin Officer	Ongoing monitoring/ liaison with Urban River/One IT.	Mar 2019	Sept 2019
23 ES	Risk of reputational damage to NIFCA via social media misuse by staff/ members/public /stakeholders.	Social media checked daily and any comments/ likes/ mentions regarding NIFCA are reported to the CEO. The above are responded to appropriately and as quickly as possible. Social media policy introduced to reduce the number of users for Twitter/ Facebook and to keep the tone of any social media presence consistent.	2	3	10	Daily checking of Twitter and Facebook by Admin Officer (with back-up by admin team) and report to CEO for response.	Admin Officer/ CEO	Ongoing monitoring and posting to social media sites	Mar 2019	Sept 2019
24 MH	Brexit and other legislative changes including the fisheries bill (to be an act of Parliament)	Regular checking of all relevant media including "They Work for You" from Parliament, Fishing News and CMS. Also working closely with the Association of IFCA's and reporting on all relevant matters to Authority Members and IFCOs/ Staff.	2	4	12	Regular checking and reporting to/review at Authority Technical and scientific quarterly meetings.	CEO	Ongoing as stated under controls and monitoring process	Mar 2019	Sept 2019
25 ES	Breach of Data Protection Act and General Data Protection Regulation with possible financial and reputational impact to the Authority	The Authority has developed a suite of policies for GDPR and is now compliant. Assistance is offered by Northumberland County Council and legal help could also be sought if required. The CEO will meet regularly on this subject with the Admin Officer (Authority DPO) and Finance Officer. All staff were briefed and trained prior to the inception of GDPR. Current contracts with external organisations updated to adhere to GDPR and data policy now on website. Now have secure bins for disposing of confidential paperwork, collected quarterly by professional shredding company.	1	4	11	DPO and CEO to keep up to date regarding GDPR and update staff where necessary.	CEO, Admin Officer and Finance Officer.	To complete and keep up to date the Authority policies and training and reporting to members.	Mar 2019	Sept 2019

**DETAILS OF GUIDANCE FOR QUANTIFICATION OF RISKS AND THE SCORING GRID IS AVAILABLE UPON REQUEST FROM AUTHORITY OFFICE**