



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	18/09/19
2020	17/03/20	
Date of Next Review	September 2020	

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 124 commercial fishers (plus pot tags to 87 of these who target shellfish) and pot tags to approximately 165 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 staff leading to an incident.	<p>Management of health and safety is furthered with health and safety trained staff; 2 officers have Institution of Occupational Safety and Health (IOSH) and 1 with National Examination Board in Occupational Safety and Health (NEBOSH).</p> <p>There is a health and safety policy in place which is periodically reviewed as well as risk assessments for all NIFCA work activities. Within the policy the Authority is committed to the safety of its staff and carefully manages lone working of its employees which is kept to a minimum. This is also controlled with the use of personal trackers while carrying out work away from the authority office. There are also policies in place regarding use of authority's vehicles and vessels, accident and incident reporting, mobile phone use, bodycam use, manual handling, display screen assessments, and noise and vibration.</p> <p>All new staff/student placements undergo a health and safety induction. Additional mandatory safety training is given to all IFCO's with further safety training depending on job role covering: navigation, vessel stability, and vibration on fast patrol craft, RYA vessel training, 4x4 training, manual handling, defibrillator use. Training records of safety drills and procedures are kept updated on both the Authority patrol vessels, vessel safety training is carried out periodically with all crew The security of the office building is by a locked gated car park with keypad access to the main building. The car park entrance and carpark is covered by security</p>	1	3	7	<p>Monthly checks including fire safety and fire drill have taken place for all officers and staff.</p> <p>Records of regular testing and inspection also take place. There is a quarterly Health & Safety Report to the Authority and the position is minutes. H&S Officer and Chief Executive meeting quarterly and report to Authority quarterly meetings.</p> <p>All IFCOs and Office staff undertake 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> <p>ML5 certificates for all sea going duties.</p> <p>All officers have to periodically refresh all safety training.</p>	Chief IFCO M. Southerton (MS)	Fire training for one Environmental Officer. Health and safety training for Lead Environmental Officer.	Mar 2020	Sept 2020

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		cameras which permanently record video. The office has a fire risk assessment which is reviewed annually. There is a visitor book which records all the people on site at any one time.								
2a. MS/MH	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 any incidents. 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. Officers have body cameras which are used to carry 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, the Officer will text or ring in at the beginning and end of the day to notify the Chief Officer or designated duty officer/member of staff that they have started or finished. Conflict resolution training has also been given to IFCOs and all key office staff.	1	2	3	Reporting to Chief Executive and meeting of the Authority. Near misses as well as accidents & incidents are recorded.	Chief Executive/Chief IFCO	Continue to remind all officers to carry and activate their tracker whilst out of office. Keep the need for conflict resolution training under review.	Mar 2020	Sept 2020
2b. ES (KS)	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. It is general practice 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). Install a front desk and/or front door CCTV coverage	Mar 2020	Sept 2020
2c. ES (KS)	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. The building alarm is connected to ADT, if activated ADT will make contact with the designated Officers.	1	2	3	Reporting to Chief Executive and the Committee.	Chief Executive and Chief IFCO	Consider policy re. loss of keys and change of staff (including updating key code).	Mar 2020	Sept 2020
3. MS	Accusation of an officer or staff member of dishonesty or fraud leading to loss of	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.	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	Chief Executive	None	Mar 2020	Sept 2020

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	reputation of the Authority.	Receipts issued for all donations; register kept for transparency. Disciplinary process. Installation of online 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 Chief Executive and the Finance Officer, 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.				<p>week and every day when both are in the office.</p> <p>The Authority is no longer required to undertake an external Audit but will continue with internal audits by NCC.</p> <p>Admin Officer has become a joint bank signatory to enable a banking function to be delivered whenever the Finance Officer is absent.</p>				
4. JS	Inadequate funding leading to overspending or reduced level of service	<p>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 Chief Executive, Finance Officer and Chair has been undertaken in that regard and reported to the Authority. Tight financial controls. Financial Regulations are implemented. Budget reporting 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 2020-21.</p> <p>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 patrol vessels St. Aidan and RIB Robert Arkless 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.</p> <p>Periodic budget increases, as have occurred over the last few years, mitigate the risk of overspend or reduced level of service.</p> <p>Work has been undertaken upon an alternative budget in case new burdens funding ceases or is reduced.</p>	2	3	10	Finance Officers reporting to Chief Executive, and to the Quarterly Meeting of the Authority.	Finance Officer reporting to Chief Executive	<p>Continuing to work with NCC to strengthen procedures under the Audit Action Plan.</p> <p>Keep level of budget spend and possibility of budget increases or further incremental increases under ongoing review.</p> <p>Keep under review the position regarding New Burdens Funding.</p>	Mar 2020	Sept 2020

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5. MH	Loss of staff (e.g. through long term sickness, pandemic 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 or other eventuality such as pandemic, including working from home. The Authority has its complement of IFCOs and Admin support at a good level.	4	4	16	<p>CIFCO leads rota meetings with other IFCOs. Close working with Chief Executive, Finance Officer and Admin staff.</p> <p>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.</p> <p>Annual Occupational Health checks put in place for all Officers and checks every 2 years for office staff.</p> <p>Contact maintained, by video conferencing in particular, in pandemic.</p>	Chief Executive	<p>Keep under review business continuity planning for significant loss of staff during such as a pandemic/flu outbreak and Crisis Planning.</p> <p>Regular meetings of the whole staff to be increased if possible to at least twice a year.</p> <p>Possibility of Key Man insurance or similar kept under review.</p>	Mar 2020	Sept 2020
6a. MS	Loss of boat, RIBs, vehicles, plant and equipment leading to inability to enforce byelaws and deliver service.	<p>The Authority employs a qualified engineer; if engineer absent for any length of time the Chief IFCO plus 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 e.g. 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.</p> <p>NIFCA 4x4 vehicle policy is now active.</p>	1	2	3	Reporting to Patrol Vessel Subcommittee if applicable, Watch Committee, RIB Procurement Subcommittee and main committee meetings of the Authority.	Chief IFCO.	<p>New replacement engineer started mid-August 2019, reports to Chief IFCO.</p> <p>Keep under review the Vessel Operational Manual.</p>	Mar 2020	Sept 2020
6b. MH/ES (KS)	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 fireproof 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.	1	2	3	Reporting to Chief Executive.	Admin Officer	<p>One IT Support replaced NCC in Jan 2018 - keep this arrangement under review.</p> <p>Continue to dispose of safely, and in an environmentally friendly way, any old paperwork, where no longer required.</p>	Mar 2020	Sept 2020

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		<p>Insurance. Keep under review NCC ability to provide accommodation if required or possible accommodation share with the MMO</p> <p>Fire awareness for staff is built into the Authority Health & Safety Policy and planning.</p> <p>Ensure the continued safe and secure disposal of surplus files and paper held by the Authority.</p>								
7. MH	Failure to regulate in accordance with legislation.	<p>Professional update will be maintained through membership of the Association of IFCAs, attendance at Chief Officer Group Meetings and networking through other IFCAs and the likes of the "blue book" updates, "they work for you" from Parliament and DEFRA communications. Chief Executive analysis with advice particularly from CIFCO and Environmental IFCOs. 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 to byelaw 7 (to open areas) which was implemented in 2018; to byelaw 3 in 2019 to include the permanent provision regarding the prohibition of landing berried lobster; has created an emergency byelaw regarding MCRS 2019 and further emergency byelaw provision in February 2020. 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. Close/ joint working with the MMO and with Defra re future fisheries management (Fisheries Bill/Act pending)</p>	2	3	10	<p>Rota meetings. Close working with Admin staff. Staff meetings. Quarterly reporting to Committee of the Authority.</p> <p>Senior IFCOs of the Authority now attends the MMOs TCG meetings and an Environmental IFCO is Secretary of TAG.</p>	Chief Executive	<p>Byelaws continue to be kept under review.</p> <p>The Authority continues to act on the requirement to complete MPA Assessments (HRAs and MCZ Assessments) for all feature/fishery interactions. Following the conclusions of these assessments the Authority will identify appropriate regulation if required.</p> <p>To continue the implementation and development of monitoring and Control Plans.</p> <p>Keep potential and actual consequences of Brexit under review.</p> <p>Make emergency Byelaws permanent.</p>	Mar 2020	Sept 2020
8. MS	DEFRA or MMO objects to proposed new byelaw leading to management difficulties experienced by the Authority.	<p>In developing byelaw proposals, legal expertise is sought where necessary (in addition Chief Executive who is a solicitor (now non-practicing) with many years' experience) and reference is also made to the Defra Guidance to IFCAs on making byelaws. There is also ongoing liaison with the MMO and a good relationship is maintained. 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. Working closely</p>	1	3	7	<p>All relevant staff and the Authority.</p> <p>NIFCA also responded to MMO consultation in early 2018 on the byelaw making process and will monitor the outcome.</p>	Chief Officer and Deputy Chief Officers and Chief Executive.	<p>All byelaws are kept under ongoing review.</p> <p>Making changes to Byelaws 1 & 2.</p> <p>Keep under review MMO direction re. byelaw duplication.</p>	Mar 2020	Sept 2020

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		with other IFCA's and Association regarding National (Boilerplate) Byelaws.								
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.	<p>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 2018. Also now evaluation of IFCA's for Defra by RBA/ABPmer. Report due by the Autumn of 2019 is now pending in Spring 2020.</p> <p>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 (JWA). 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 and satisfactorily 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 plus Annual Research Plan & Report and Environmental and Compliance Enforcement Risk Matrices.</p> <p>Following review of Employment Contracts, Performance Review and Reward (ECPR&R) the Authority has fully implemented a staff Grading Structure which is kept under review</p>	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 2020	Sept 2020
10. MH/ES (KS)	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.	1	3	7	Annual Audit. Quarterly Authority meetings and Extraordinary General/Emergency meetings if required. IFCOs report to Chief IFCO (and Chief Executive when required). 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.	Authority Chair and Chief Executive.	Policies, staff and Member handbooks to be kept under review, including development of staff change policy.	Mar 2020	Sept 2020

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		All new Members appointed to NIFCA receive the New Members Information Pack and the provision of training. Chief Executive and Chair have now undertaken review of Standing Orders and general governance, which has been approved by the Authority membership and resultant changes implemented in 2018.				Officers and staff have KPIs which contribute to enhanced working which feeds into governance decisions. Policies re pandemic.				
11. ES (KS)	Failure to keep policies up to date.	Regularly reviewed primarily by Admin Officer in liaison with the Chief IFCO and Chief Executive.	1	2	3	Regular liaison by Admin Officer with the Chief Executive and Chief IFCO. Keep under review the need for implementation of new policies.	Admin Officer/ Chief Executive	Ongoing as stated under controls and monitoring process.	Mar 2020	Sept 2020
12. JS	Inadequate budgetary control leading to overspending. Or inability to access online banking.	Financial skills, qualifications and experience of finance officer 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. If JS sick could seek support from NCC or from a bookkeeping "temping" agency.	1	2	3	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 2020	Sept 2020
13. MS/ Env. team	Fisheries in the District impacted by the activities of developers/non-fishing industry. Insufficient time to fully consider environmental impact assessments	Consultations responded to by the Authority after due consideration particularly by the Environmental team. 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	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 and reporting to the Quarterly Meeting of the Authority. Also obtaining further information where applicable from the developer and other agencies such	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. To undertake recruitment of a new Environmental Officer.	Mar 2020	Sept 2020

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	for inshore development.	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 Chief Executive,				as MMO. A monthly catch up meeting is also held between the Environmental team, the Chief IFCO and Chief Executive.				
14. MS	Failure to fully engage with stakeholders	<p>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.</p> <p>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. Weekly Local MMO Enforcement Plans being received, Bi-Weekly dial-in between MMO & IFCAs 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 and regularly attending public events. The Authority has now introduced a new online consultation process to facilitate better engagement. 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.</p>	1	3	7	<p>By meetings and other means of communication and reporting to members and assistance of PR Adviser.</p> <p>Continually updating and distributing NIFCA information and publicity.</p>	Chief Executive	Continue to keep stakeholder engagement under continuous review and update where necessary including posters in the district and information leaflets to stakeholders.	Mar 2020	Sept 2020
15. MS/ Env. team	Degradation of environmentally sensitive areas due to fishing activity.	<p>NIFCA Byelaws NIFCA has a suite of byelaws which aims to conserve exploited stocks and associated habitat. These byelaws allow NIFCA to put measures on fisheries which interact with habitats, including sensitive areas.</p> <p>There is a permit scheme for potting, trawling and dredging in the district which can limit activity.</p>	1	4	11	Rota meetings with IFCOs and reports to the Chief Executive. Quarterly reports by IFCOs to Authority meetings. A monthly Environmental Team meeting has been introduced as well as TCG meetings both at the MMO and internally.	Chief Executive & Environmental Team	To implement MCZ management measures and other planned byelaw/permit changes, including all required further consultation.	Mar 2020	Sept 2020

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		<p>There is a pot limitation restricting the number of pots per commercial permit holder to 800.</p> <p>Byelaw 7 prohibits mobile gear within the EM site, except from three areas open to light trawling gear only.</p> <p>Byelaw 8 prohibits any mobile fishing activity within the EM that comes in contact with the seabed.</p> <p>NIFCA are also developing management measures which will increase protection to habitats and sensitive areas, these include:</p> <ul style="list-style-type: none"> - Restricting trawling activity to light otter trawl gear only in Coquet to St Mary's MCZ - Prohibiting dredging in the NIFCA district <p>The Authority also has the power to make emergency byelaws if an unforeseen risk to sensitive areas arises.</p> <p>All byelaws and enforced and fishing activity monitored by NIFCA Enforcement officers and through joint work with MMO and other agencies. The new cabin RIB has increased the capability for patrols to monitor activity throughout the district.</p> <p>NIFCA MPA Assessments NIFCA has engaged fully with the Defra Revised Approach to Management of fisheries in European Marine Sites and has carried out assessments for most feature fishery interactions. All red risk interactions have been addressed by management measures above.</p> <p>NIFCA Monitoring and Control Plans These plans are reviewed annually and ensure that all activity interacting with sensitive areas is below threshold levels. If a threshold is breached, assessments will be carried out which could lead to management measures. Data feeding into these include: sightings data from routine patrols, landings data, information from Monitor and Control Surveillance System (MCSS), the Automatic Information System (AIS) and the Vessel Monitoring System (VMS)</p> <p>including geo-fencing of specific areas.</p> <p>Environmental Risk Register</p>				<p>Research work to address risk and monitor impacts:</p> <p>Ground truthing and seabed mapping is also ongoing, increasing both knowledge and data. OLEX data is also available for use by Officers on the NIFCA laptop.</p> <p>Project with Newcastle University and Natural England to quantify impacts of potting on rock and trawling on mud (and potentially scallop dredging on coarse sediment).</p> <p>Periwinkle project to understand impacts of collection at local levels.</p> <p>Joint work with partner agencies to understand impacts of Bait Aggregation Device (tyres).</p>				

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		<p>This details potential risks to sensitive areas and highlights where monitoring should be prioritised. This is written in conjunction with the Compliance and Enforcement Strategy to ensure targeted enforcement in sensitive areas.</p> <p>Annual Research Plan All of the above is fed into an Annual Research Plan which directs the research work of the Environmental Team to fill knowledge gaps or continue monitoring fishing activity. Some areas of work are carried out with Newcastle University and Natural England.</p> <p>All of this work is supported by Natural England and other agencies.</p>								
16.MS/ Env. team	Stocks collapse	<p>There is an Environmental Risk Register in place which takes this risk into account. This links to Fisheries Management Plans which aims to ensure sustainable fishing. NIFCA have a suite of byelaws which are effectively enforced by a dedicated team.</p> <p>For the purpose of this matrix controls have been split by fishery.</p> <p>Potting: NIFCA byelaws are in place operating a permit scheme for commercial and recreational fishers, plus a pot limitation and daily bag limits for non-commercial fishers. Recreational fishers must have pots fitted with an escape gap. Byelaw and national legislation in place for conservation of Crustacea includes prohibition on taking berried females, other measures include not landing parts of animals or not landing soft animals.</p> <p>There is a minimum landing size for commercially important species including lobster, brown crab, velvet crab and Nephrops. Permit holders have been issued with a gauge to measure this easily.</p> <p>Lobster and brown crab stock assessments will continue and CEFAS crab and lobster assessments are also taken into account.</p> <p>Permits require monthly returns to be submitted to NIFCA and landings are closely monitored and feed into Fisheries Management Plans which combine all evidence and knowledge on the fishery.</p> <p>Trawling:</p>	1	4	11	<p>Rota meetings with officers and reports to the Chief Executive. Quarterly reports by officers to Authority meetings. Technical and Scientific meetings.</p> <p>Environmental meetings between Authority officers and regular meetings with Natural England and other agencies.</p> <p>National meetings attended for updates.</p> <p>Fisheries Management Plans MPA Assessments Monitoring and Control Plans</p>	Chief Executive, Chief IFCO and Lead IFCOs	<p>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.</p> <p>Update Fisheries Management Plans and Monitoring and Control Plans.</p> <p>Carry out research detailed in Annual Research Plan.</p>	Mar 2020	Sept 2020

Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
		<p>NIFCA byelaws state you must have a permit to trawl within 0-3 miles (planned change to 0-6 miles). Gear restrictions in place (see NIFCA byelaw 1 and 7). Permits require monthly returns to be submitted to NIFCA and landings are closely monitored. Main target species is a quota species and managed by MMO.</p> <p>Dredging: NIFCA byelaws state you must have a permit to dredge within the district. Gear restrictions are in place (see NIFCA byelaw 2).</p> <p>Hand Gathering: Routine monitoring of activity throughout the district. Plans in place to conduct a monitoring survey in periwinkle collection 'hotspot' areas. Code of conduct developed to aim to reduce pressure on smaller periwinkle. Joint working to understand the impacts of shore crab collection.</p>								
17. ES (KS)	Breakdown in relations with stakeholders and other agencies including Marine Management Organisation, Environment Agency, Natural England and other IFCAs.	<p>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.</p> <p>The Authority also works with AIFCA on a national level. The Authority also interacts with partner organisations and stakeholders appropriately on social media and at meetings in the district and responds in a timely fashion to queries/ comments raised online and in the public arena. New consultation process now underway to allow better response together with use of the NIFCA website and publicity via social media.</p>	1	2	3	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 2020	Sept 2020
18. Env. team	Failure to properly fulfil responsibility including role in respect of European Marine Site, Marine	<p>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.</p> <p>Strong communication between officers particularly Environmental IFCOs, Chief IFCO and Chief Executive and with Authority members.</p>	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.	Chief Executive & Environmental team	<p>Continue to keep under review the outputs from stakeholder meetings and online consultations.</p> <p>Continue with all necessary survey work and monitoring</p>	Mar 2020	Sept 2020

Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
	Conservation Zones, bait digging and other fisheries related activities in the district.	Regular meetings and communication between the Environmental team and Natural England. Regular meeting with the including Berwickshire and North Northumberland Marine Nature Partnership. Maintain relationship with the University for project work. Full liaison with Natural England and the Marine Management Organisation nationally. Regular monitoring of MPAs including SPAs, SACs and MCZs in the district. Continue work for EMS Revised Approach to Fisheries Management to complete all MPA assessments and update M and C plans. Maintain awareness of evolution of work in MPAs.				Also quarterly reporting on EMS revised approach by Environmental IFCOs. Regular Technical and Scientific meetings of officers and members.		of fishing activity in the district. Implement MCZ management measures. Maintain awareness of how work in MPAs is evolving.		
19. JS (KS)	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 and telephony system. 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. Replaced 2 computers in 2018 and more subsequently in 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 2020	Sept 2020
20. ES (KS)	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 and members able to dial-in to meetings, 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	Chief Executive liaises through Admin Officer with key members particularly Chair/ Vice Chair in advance of meetings.	Chief Executive	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. To review Governance documentation relating to members dialing in to meetings. Keep under review the situation re holding or cancelling of meetings during pandemic.	Mar 2020	Sept 2020
21. MS	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.	1	4	11	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	Mar 2020	Sept 2020

Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
		Continual assistance from MMO Intel Team and MMO Ops Room. IFCO Willis now leads on Intel process working with IFCO Lynn. IFCO Willis also attended Open Source Intel Training. Data Sharing Agreement with the Police including regulated access to PNC. Standard practice for security clearance of all new employees.						of security clearances for IFCOs. Ongoing liaison with the MMO. Continue with training as necessary regarding Intel Project so IFCOs fully acquainted. Ensure Security clearance of all staff is as comprehensive as possible.		
22. ES (KS)	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 Chief Executive /Admin Officer. Have 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.	Chief Executive and Admin Officer	Ongoing monitoring/ liaison with Urban River/One IT.	Mar 2020	Sept 2020
23. ES (KS)	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 Chief Executive /Admin Officer. 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 Chief Executive for response.	Admin Officer/ Chief Executive	Ongoing monitoring and posting to social media sites. Keep social media policy under review.	Mar 2020	Sept 2020
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 meetings.	Chief Executive	Ongoing as stated under controls and monitoring process. Keep progress of fisheries bill in Parliament under review.	Mar 2020	Sept 2020
23. ES (KS)	Breach of Data Protection Act and General Data Protection Regulation with possible financial and	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 Chief Executive 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.	1	4	11	DPO and Chief Executive to keep up to date regarding GDPR and update staff where necessary.	Chief Executive, Admin Officer and Finance Officer	To complete and keep up to date the Authority policies and training and reporting to members. To keep GDPR under review post Brexit and any	Mar 2020	Sept 2020

Ref for review	Risk	Controls	L	I	S	Monitoring Process	Responsibility	Further Action Required	Date of Last Review	Date of Next Review
	reputational impact to the Authority	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.						amendments to UK legislation.		

DETAILS OF GUIDANCE FOR QUANTIFICATION OF RISKS AND THE SCORING GRID CAN BE SEEN IN THE ANNUAL PLAN AND IS AVAILABLE UPON REQUEST FROM AUTHORITY OFFICE