

24th September 2024



RISK ASSESSMENT MATRIX FOR NORTHUMBERLAND IFCA

L = Likelihood | I = Impact | S = Score

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 123 commercial fishers (plus pot tags to 85 of these who target shellfish) and pot tags to presently 267 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.
- Ensure the sustainability of fishing practices for a healthy marine environment and viable fishing industry into the future.

NIFCA Risk Assessment Colour Code:

Once risks have been graded, they may then be reflected on a risk matrix, which acts as a useful aid to provide focus on key risk areas. By plotting impact and likelihood on the matrix, an assessment of the overall risk can be made. NIFCA's risk matrix is as follows (the colour coding is explained below, under "risk classification"):

Risk classification:

NIFCA has agreed broad classifications reflecting the residual risks which it faces. These are as follows:

- **Acceptable:** risks where any action to further reduce the level of risk would be inefficient, i.e. the cost in time or resource outweigh any potential impact of the risk. Such risks include infrequent events with low impact. These risks are being effectively managed, and are coloured green on the matrix, scored as 1-3.
- **Manageable:** risks which can be reduced within a reasonable timescale, in a cost-effective manner. Any mitigating actions must be monitored and recorded. Manageable risks are coloured yellow on the matrix, scored as 4-7.
- **Serious:** risks which have a serious impact, and detrimental effect on the achievement of objectives. Action plans should be developed to reduce the level of residual risk and reviewed periodically. Serious risks are shown as orange on the matrix, scored as 8-11.
- **Very severe:** risks which could have a potential disastrous effect of the organisation without immediate comprehensive action to reduce the level of risk. Very severe risks are those on the matrix coloured red, scored as 12 or more.



This document is reviewed twice a year by a working group comprising the Chief Officer, Finance Officer, Admin Officer and Lead Officers for Environmental and Enforcement

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	21/09/20
2021	19/03/21	07/10/21
2022	17/03/22	27/10/22
2023	14/03/23	16/10/23
2024	---	24/09/24
Next Review	April 2025	

Latest Review 24/9/24	
Officers present:	
Chief Officer (CO) Mark Southerton	
Finance Officer (FO) Julian Sutton	
Admin Officer (AO) Emma Cosimini	
Lead Officer Enviro (LIFCO Env) Alex Aitken	
Lead Officer Enviro (LIFCO Enf) Nick Weir	

Ref	Responsibility	Risk	Controls	Monitoring Process	Further Action Required	L	I	S
1 (MS)	CO LEO (enf) LEO (env)	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; 1 officer has 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.</p> <p>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 STCW safety training is given to all IFCOs with further PPE and 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.</p> <p>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</p> <p>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 cameras which permanently record video.</p> <p>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.</p>	<p>Monthly-checks take place and there is a periodic fire drill for all officers and staff.</p> <p>Records of regular testing and inspection also take place.</p> <p>There is a quarterly Health & Safety Report to the Authority and the position is minuted. Chief Officer meeting quarterly with lead Environment and Enforcement 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>	<p>Health and safety training for Lead Environmental Officer.</p> <p>NW looking into IOSH refresher courses.</p> <p>To continue with all relevant training.</p> <p>Look into 4x4 and trailer training for all Officers.</p> <p>To create a policy for non-employees operating from the NIFCA vessel (including definition of 'working').</p>	1	3	7
2a (MS)	CO	An aggrieved member of the public becomes abusive leading to an incident in the field.	<p>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</p>	<p>Reporting to Chief Officer and Lead IFCOs and meeting of the Authority. Near misses as well as accidents & incidents are recorded.</p>	<p>Near miss recording to strengthen safety and identify additional training requirements</p>	2	4	12

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			place. Officers have body cameras and vehicle cameras which are used to record video/audio when out on patrol 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 their line manager or designated duty officer/member of staff that they have started or finished. Conflict resolution training has also been given to IFCOs. Access to intelligence to flag up markers on individuals		To renew conflict resolution training.			
2b (ES NW)	CO	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 and in most cases, the gate can be locked when only one person is in the building.	Reporting to Chief Officer and the Committee.	Keep under review the front door closing function (MS).	1	2	3
2c (ES)	CO	Unauthorised access to the building via unlocked door/ finding lost keys resulting in unattended visitors or theft of assets. Vehicles damaged goods taken from carpark	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. Improved CCTV remote access, signage reporting to reception, mesh privacy screen on railings?	Reporting to Chief Officer and the Committee.	Signage for visitors to report to reception.	1	2	3
3 (MS JS)	CO FO	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 Officer 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 online banking has increased security. A fireproof office safe is also securely installed, access to which is controlled and limited. The Chief Officer and Senior Management have Authority Barclaycards, all usage is	Ongoing monitoring by Chief Officer and Finance Officer. Annual Internal Audit. Admin Officer and Chief Officer added as signatory.	Keep situation under ongoing review.	1	3	7

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			checked by Chief Officer 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, by those who use it. Enforcement officers have BPSS security clearance. A. Aitken N. Weir have been added as bank signatories					
4 (MS JS)	FO reporting to the CO & Finance Committee	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 Officer, Finance Officer and Chair has been previously undertaken in that regard and reported to the Authority. Tight financial controls. Financial Regulations are implemented. Budget reporting by Finance Officer to Chief Officer as well as meeting at least once a week between Finance Officer and Chief Officer. Under the Marine and Coastal Access Act, throughout the life of IFCAs, additional funding has been awarded by DEFRA for New Burdens which is confirmed to continue until the end of 2024-25.</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 Arckless & TT St Aidan 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>RDEL funding to support new national policy for the SR21 spend period. Capital delivery opportunities to fund future marine assets.</p> <p>Ringfencing financial obligations from the rdel fund to match employment commitments.</p>	<p>Finance Officer reporting to Chief Officer, and to the Quarterly Meeting of the Authority.</p> <p>Chief Officer is part of the MAFCO group (comprising Chief Officers from all the IFCAs and Defra) that has been (amongst other things) reviewing the position regarding the continuation of New Burdens Funding and additional financial support for the next spending review.</p>	<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. Working with NTC and NCC to adjust NBF % Keep under review the position regarding New Burdens Funding and RDEL funding from Defra.</p>	3	3	13

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5 (MS)	CO	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.	<p>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, including working from home. The Authority has its complement of IFCOs and Admin support at a good level.</p> <p>Additional IFCO recruitment has brought in additional skillsets to cover more roles in the event of sickness absence or turnover. Designated skipper now in role with additional IFCOs now able to support periods of absence. Maintenance support now covered with T. Nash completion of Advanced Course.</p> <p>Additional banking/payroll support is being phased in. Additional staff covering Marine licensing and MPA workstreams.</p>	<p>Lead Enforcement IFCO leads rota meetings with other IFCOs. Close working with Chief Officer, 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>	<p>Keep under review business continuity planning for significant loss of staff during such as a pandemic/flu outbreak and recruitment/turnover.</p> <p>Continued review of Crisis Management Plan related to staff.</p> <p>Regular meetings of the whole staff to be increased to quarterly.</p>	2	2	6
6a (NW)	CO LIFCO (enf)	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 T. Nash 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 for hire, (but procurement and build likely to take years). Leasing during interim period best option. The Authority's existing RIB capability also means there is a supplementary vessel if the patrol boat is out of action. Engineering service training been undertaken by an additional IFCO.</p> <p>TT St Aidan has been coded and a trailer has been purchased giving NIFCA additional sea going ability. Workboat 3 implications for future operation</p> <p>NIFCA 4x4 vehicle policy is now active. Maintenance system in place for all vessels and vehicles, vehicle fleet has increased to 3 vehicles.</p>	Reporting to Patrol Vessel Subcommittee if applicable, Watch Committee, RIB Procurement Subcommittee and main committee meetings of the Authority.		1	2	3

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6b	AO	Loss of building e.g. through fire leading to inability to deliver service.	<p>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.</p> <p>Deeds held in strong cupboard. Other records held on the boat or electronically including insurance.</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> <p>NIFCA have now got the capability for all staff to work from home as well as the office so in the event of a fire, working could continue as normal.</p>	<p>Reporting to Chief Officer.</p> <p>Fire risk assessment reviewed annually.</p>	<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> <p>Keep under review NCC ability to provide accommodation if required or possible accommodation share with another partner agency.</p>	1	2	3
7 (MS)	CO reporting to the Watch Committee	Failure to regulate in accordance with legislation.	<p>Professional update will be maintained through membership of the Association of IFCA's, attendance at Chief Officer Group meetings, MAFCO and networking through other IFCA's, regular updates from Parliament, DEFRA and SAGB communications. Chief Officer analysis with advice particularly from Lead Enforcement and Environmental IFCO's with their updates from NIMEG and TAG. Admin staff scanning the internet on a regular basis. Internal communication framework.</p> <p>The Authority will also continue to regulate as may be required under national legislation for MPAs. 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.</p> <p>The Authority has access and receives legal advice from Andrew Jackson solicitors.</p>	<p>Rota meetings. Close working with Admin staff. Staff meetings on Microsoft Teams.</p> <p>Quarterly reporting to Committee of the Authority.</p> <p>Senior IFCO's of the Authority now attend the MMO's TCG meetings and TAG meetings and NIMEG.</p> <p>AIFCA, COG and MAFCO meetings attended by Chief or Lead Officers.</p>	<p>Byelaws continue to be kept under review. The Authority continues to act on the requirement to complete MPA Assessments (HRAs and MCZ in line with the current deadline of 2024 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. Keep potential and actual consequences of the Fisheries Act.</p>	2	3	10
8 (MS)	CO LIFCOs	DEFRA or MMO objects to proposed new byelaw leading	In developing byelaw proposals, legal expertise is sought where necessary 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.	All relevant staff and the Authority.	All byelaws are kept under ongoing review.	1	3	7

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		to management difficulties experienced by the Authority.	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. Also working closely with other IFCAs and Association regarding National (Boilerplate) Byelaws where these may be required.		Progressing fixed engine byelaw. Reviewing management in Coquet to St Mary's MCZ. Keep under review MMO direction re. byelaw duplication.			
9 (MS)	CO	Failure to adequately manage the continuation of the NIFCA and all duties under the implementation of the Marine and Coastal Access Act 2009.	<p>IFCA duties and remit including the continuation of the Authority and its duties under the Marine and Coastal Access Act 2009 are fulfilled by the Authority on an ongoing basis.</p> <p>MOUs with partner agencies are 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 IFCAs. 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 IFCAs. As well as guidance to IFCAs 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> <p>Four yearly national IFCA Conduct and Operations Review.</p>	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.	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 IFCAs. Monitor any outputs from the Evaluation and JWA.	1	3	7
10 (MS ES)	Chair CO	Inadequate or inappropriate governance leading to inappropriate decision-making and loss of reputation.	Members are appointed by NCC, NTC, MMO and 3 statutory members. 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. NIFCA have procedures to deal with misconduct of members and employees. Declarations of Interest are also completed by all Members	Annual Audit. Quarterly Authority meetings and Extraordinary General/Emergency meetings if required. IFCOs report to Lead Enforcement IFCO (and Chief Officer when required). A secure system of emailing and data storage is also maintained by the Authority with all	Governance documents, policies, staff and Member handbooks to be kept under review.	1	3	7

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			<p>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.</p> <p>All new Members appointed to NIFCA receive the New Members Information Pack and the provision of training.</p> <p>Chief Officer and Chair undertook a review of Standing Orders and general governance, which was approved by the Authority membership and resultant changes implemented in 2018 and further review and updating took place in 2021.</p>	<p>personnel having personal NIFCA email addresses.</p> <p>KPIs are used to guide staff appraisals which contribute to enhanced working and feeds into governance decisions.</p>				
11 (ES)	CO AO	Failure to keep policies and training up to date, leading to mishandling of information and complaint from employee or applicant.	<p>Regularly reviewed primarily by Admin Officer in liaison with the Chief Officer. Regular attendance at online Employment Law updates to keep abreast of changing legislation and industry practice and implement changes where necessary.</p> <p>Regular review of relevant training needs by line managers and referral where appropriate.</p> <p>Additional GDPR training has been put in place for staff.</p>	<p>Regular liaison by Admin Officer with the Chief Officer. Keep under review the need for implementation of new policies and/or training.</p> <p>Continue to review recruitment procedure to ensure equality and diversity is at the forefront of procedure including regarding making necessary adaptations to interview/assessments.</p>	<p>Ongoing as stated under controls and monitoring process.</p> <p>Policies and procedures currently under review and additional policies to be developed.</p>	2	3	10
12 (JS)	FO	<p>Inadequate financial and budgetary control leading to overspending</p> <p>Exposure to financial risks such as loss of savings during a banking crisis. Increase in charter income causing sales turnover to exceed threshold for VAT (90K) resulting in</p>	<p>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 Officer. Contingency within annual budget. The Authority budget is prepared in detail with member input, with quarterly forecasts and detailed breakdowns of all heads of income and expenditure within the quarterly and annual accounts which are prepared by the Finance Officer working with the Chief Officer to keep spending within budget while monitoring income and Reserves levels. Preparation for annual audit begins in the third quarter 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.</p> <p>If JS sick could seek support from NCC or from a bookkeeping "temping" agency. N.W undertaking Payroll training.</p>	<p>Annual audit and quarterly meetings plus regular liaison between Finance Officer and Chief Officer plus regular liaison with internal audit and members where necessary and Chief Officer where appropriate.</p>	<p>Finance Officer will continue to meet the Chief Officer and other colleagues as applicable to plan for audit and budget controls and consult the Northumberland County Council Internal Audit Team.</p> <p>The Authority currently has savings accounts at Nationwide and Virgin Money who will soon be merging to form one combined institution. One of the accounts will need to be shut down as the 2 together would only be insured up to 85K once the takeover is The Virgin</p>	1	2	3

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		<p>finances and loss of reputation if Authority is not registered for VAT.</p>	<p>NW and AA added as a signatory to allow backup checks of expenditure if Chief Officer absent for any length of time.</p> <p>Savings accounts held with smaller banks (ie not 'too big to fail') monitored to ensure that total savings at any one institution do not exceed the insured limit of 85K.</p>		<p>Money 1-year account will therefore not be renewed when it matures in October 2024 and a new savings account will be found.</p>			
13 (MS Env team)	CO LIFCO (Env)	<p>Fisheries in the District impacted by the activities of developers/non-fishing industry. Insufficient time to fully consider environmental impact assessments for inshore development.</p>	<p>NIFCA acts as a statutory consultee to the Marine License process where any plan or project in the marine area requires a license. Consultations responded to by the Authority after due consideration particularly by the Environmental team. There is a dedicated officer who reviews marine licence applications. They summarise the application and send it to the environmental team and Chief Officer for agreement on the response and to NIFCA members on a case-by-case basis.</p> <p>Marine Licenses are also consulted on by other organisations (eg Environment Agency and Natural England). This process can include liaison with other consulting agencies where necessary. The process can include meetings with applicants and the MMO where necessary. The Authority has an Environmental Risk Register for the District which is kept under review. IFCOs sit on the Local Standing Environmental Group.</p> <p>Following the recent shellfish mortality wash up around the Tees, Officers have developed an actions, reporting and comms strategy if a similar event occurs locally.</p>	<p>Review takes place of notices received of proposed developments and there is a set process for response to consultation, Chief Officer liaising with Environmental Officers and with Authority members where applicable and reporting to the Quarterly Meeting of the Authority.</p> <p>Also obtaining further information where applicable from the developer and other agencies such as MMO. There is an IFCA-MMO Liaison meeting to maintain communications about developments/ marine license applications and regular meetings between key partners (NE and EA) on local marine license applications.</p>		1	3	7
14 (MS)	CO	<p>Failure to fully engage with stakeholders</p>	<p>The officers meet regularly with fishers in the district particularly when on patrol. Meetings will also continue with fishers, 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 GLA, MMO, EA and NE including through the local Joint Working Arrangement (JWA). 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 has a dedicated officer dealing with Social Media platforms such as</p>	<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>	<p>Continue to keep the whole of stakeholder engagement under continuous review and update where necessary including through website, social media, posters in the district and information leaflets to stakeholders.</p> <p>To review internal procedure for consultations.</p>	1	3	7

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			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 attending public events in person or virtually. 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 Amy Maughan PR & Communications. The Authority also now produces a periodic newsletter and fisher focus newsletters, 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 and foreign language transcription for posters. The Authority introduced Fishers Forums with commercial fishers and continue engagement with recreational fishers with the enhancement of our RSA Strategy and all of this is ongoing.					
15 (MS Env team)	CO & Enviro 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. Byelaws are reviewed periodically to ensure sufficient stock and habitat remains protected. The Authority also has the power to make emergency byelaws if an unforeseen risk to sensitive areas arises.</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. Will continue to work under any national legislation regarding MPAs.</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</p>	<p>Reports to the Chief Officer. Quarterly reports by IFCOs to Authority meetings. A weekly Environmental Team meeting has been introduced as well as monthly catch up meetings with the Chief Officer and TCG meetings both at the MMO and internally.</p> <p>Research work is ongoing to address risk and monitor impacts. See Annual Research Plan</p>	Continue with research and monitoring program.	1	4	11

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			<p>Monitoring System (VMS) including geo-fencing of specific areas.</p> <p>Environmental Risk Register - 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 members.</p>					
16 (MS AA)	CO & Lead IFCOs	Stocks collapse	<p>There is an Environmental Risk Register in place which takes this risk into account. This links to annual stock status reports for crab and lobster 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>NIFCA internal lobster and brown crab stock assessments will continue and CEFAS crab and lobster assessments are also taken into account.</p>	<p>Reports to the Chief Officer. 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>National Fisheries Management MPA Assessments Monitoring and Control Plans.</p>	<p>Keep under review level of enforcement and overview in respect of all stocks and keep including possibility of crustacean stocks collapse ref. NEIFCA District.</p> <p>Update annual stock status reports for crab and lobster</p> <p>Carry out research detailed in Annual Research Plan.</p> <p>Keep under review the system of permit returns and data collection and number of active fishers.</p>	1	4	11

Ref	Responsibility	Risk	Controls	Monitoring Process	Further Action Required	L	I	S
			<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. V-notch project has recommenced in 2024.</p> <p>Trawling: NIFCA byelaws state you must have a permit to trawl within the whole district. Gear restrictions in place. 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. There are spatial prohibitions and restrictions in place for this activity.</p> <p>Dredging: Scallop dredging is prohibited in the NIFCA district.</p> <p>Hand Gathering: Routine monitoring of activity throughout the district. Code of conduct developed to aim to reduce pressure on smaller periwinkle.</p>					
17 (ES)	CO	Breakdown in relations with stakeholders and other agencies including Marine Management Organisation, Environment Agency, Natural England and other IFCA's.	<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 continue to be at the lowest possible level. Chief & Lead IFCOs attend MMOs TCG Meetings and MMO attend NIFCA TCG Meetings. NIFCA attendance at TAG and NIMEG. Four yearly conduct and operations review takes place allowing partner agencies to comment on IFCA's.</p> <p>The Authority 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. Consultation process allows best possible response together with use of the NIFCA website and publicity via social media.</p>	<p>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.</p> <p>Currently undergoing national IFCA Conduct and Operations Report</p>		1	2	3

Ref	Responsibility	Risk	Controls	Monitoring Process	Further Action Required	L	I	S
18 (Env team)	CO & Enviro team	Failure to properly fulfil responsibility including role in respect of European Marine Site, Marine Conservation Zones,	<p>Close liaison with Defra and other IFCA's including in respect of MPAs, Technical Advisory Group, Chief Officers Group and Association of IFCA's ensures knowledge and awareness is maintained.</p> <p>Strong communication between officers particularly Environmental IFCO's and Chief Officer and with Authority members.</p> <p>Regular meetings and communication between the Environmental team and Natural England. Regular meetings with the Northumberland Marine Nature Partnership. Maintain relationship with the University for project work. Full liaison with Natural England and the Marine Management Organisation nationally.</p> <p>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. MCZ management measures have been implemented.</p>	<p>Regular discussions between the Authority Environmental Team and Chief Officer and also particularly with Natural England/Authority member and MNP Implementation Officer and reporting upon meetings to the Authority.</p> <p>Also quarterly reporting on EMS revised approach by Environmental IFCO's.</p> <p>Regular Technical and Scientific meetings of officers and members.</p>	<p>Continue to keep under review the outputs from stakeholder meetings and online consultations.</p> <p>Continue with all necessary survey work and monitoring of fishing activity in the district.</p> <p>Maintain awareness of how assessments in MPAs are progressing and the deadline for management by 2024 .</p> <p>Progressing management in Coquet to St Mary's MCZ in line with the conclusions of the assessment.</p> <p>Intertidal assessments are currently outstanding.</p>	1	3	7
19 (JS ES)	AO FO	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 telephone system. 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. Replacing computers is ongoing since 2018 and a replacement program in place to replace all old PCs.	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.	Finance/ Admin Officer to keep up 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. Support for Windows 10 will be discontinued from Autumn 2025. All PCs and laptops older than 4 years must be replaced by then.	1	4	11
20 (ES)	CO	Insufficient members attending an authority meeting preventing time limited or other urgent business eg. Regarding	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.	CO liaises through Admin Officer with key members particularly Chair/ Vice Chair in advance of meetings.		1	4	11

Ref	Responsibility	Risk	Controls	Monitoring Process	Further Action Required	L	I	S
		audits being approved.	<p>Members to give reasons for non-attendance for approval by meeting?</p> <p>Changed running order of Finance and Watch meetings to make more suitable for members on each committee.</p> <p>Sending out calendar invitations to members to ensure clear communication re. meeting dates and to allow easy reference to planned member attendance.</p>					
21 (MS)	CO	Intelligence not being securely processed and shared/ disseminated.	<p>MMO provided intel system and Authority has trained, prepared and experienced Intel Officers. Continual assistance from MMO Intel Team and MMO Ops Room. CLUE now in use across the enforcement team.</p> <p>Data Sharing Agreement with the Police including regulated access to PNC. Standard practice for security clearance of all new employees.</p> <p>All IFCOs have attended OSINT training. Officers have received extra training with MCSS from the MMO and resources have been made available for all staff. All enforcement IFCOs have BPSS security checks</p>	Intel Officers liaise with Chief Officer, monthly TCG and can seek guidance from the MMO.	<p>Any further training and guidance to be accessed by IFCOs and staff where necessary.</p> <p>Ongoing liaison with the MMO. Continue with training as necessary regarding Intel Project so IFCOs fully acquainted.</p>	1	4	11
22 (ES)	CO AO	Emails/Website being hacked or in some other way interfered with maliciously	<p>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 Officer/Admin Officer.</p> <p>Have 2-stage authentication system for accessing NIFCA emails, reducing the chance of a hack.</p> <p>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. All staff have undergone online Data security training.</p>	Daily checking of the website/ emails and liaison as appropriate with Urban River/One IT.	<p>Ongoing monitoring/ liaison with Urban River/One IT.</p> <p>Data security training for all new employees.</p>	1	4	11
23 (ES)	CO AO	Risk of reputational damage to NIFCA via social media misuse by staff/ members/ public	<p>Social media checked daily and any comments/likes/ mentions regarding NIFCA are reported to the Chief Officer/Admin Officer. The above are responded to appropriately and as quickly as possible.</p> <p>Social media policy introduced to reduce the number of users for Twitter/ Facebook and to keep the tone of any social media presence consistent. One IT now hosting NIFCA domain.</p>	Daily checking of Twitter and Facebook by Officer (with back-up by admin team) and report to Chief Officer for response	<p>Ongoing monitoring and posting to social media sites.</p> <p>Keep social media policy under review.</p>	2	3	10

Ref	Responsibility	Risk	Controls	Monitoring Process	Further Action Required	L	I	S
		/stakeholders						
24 (MS)	CO	Legislative changes including the Fisheries Act & Environment Act	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, COG and MAFCO and reporting on all relevant matters to Authority Members and IFCO’s/ Staff.	Regular checking and reporting to/review at Authority Technical and Scientific meetings.	Ongoing as stated under controls and monitoring process. Keep under review progress of National Fisheries Management Plans being developed by Defra. Understand obligations under the Environment Act.	2	4	12
25 (ES)	CO AO FO	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 Chief Officer 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. A Data Sharing Agreement between each IFCA and the MMO is now in place. IFCO Rick Willis will be the Data Sharing Officer for the Data Sharing Agreement NIFCA now has with the MMO. Staff can now work from home and take data (including on laptops) out of the office. Use of strong passwords and careful storage of data to minimise chance of a data breach. Data Sharing Agreement now in place with the Police. WFH policy now in place.	DPO and Chief Officer to keep up to date regarding GDPR and update staff where necessary.	To complete and keep up to date the Authority policies and training and reporting to members. Training to staff on Data Sharing Agreement. Keep working from home under review in respect of this risk.	2	4	12
26 (MS)	CO	Climate change and inshore fisheries plus Authority carbon footprint	NIFCA climate change policy in development. This lists areas where NIFCA can reduce energy consumption, carbon footprint, and waste. All staff/Officers have undertaken climate change training and we are now logging data for carbon footprint analysis. NIFCA are also reviewing how to incorporate climate change impacts into fisheries management and how climate change will impact the local fishing industry.	The Climate Change and Energy Use policy will be kept under review once developed. Metrics such as NIFCA’s carbon footprint will be calculated and monitored. Temperature pot logger project to collect data	Continue policy development and review.	2	2	6

Ref	Responsibility	Risk	Controls	Monitoring Process	Further Action Required	L	I	S
27 (MS ES)	CO	New Management Structure	New management structure has been in place since 1/1/23. With any change in management comes risk as the new structure will develop new ways of working and guiding the governance of the Authority whilst meeting required KPIs.	Regular meetings/ liaison with Chief Officer reporting to Chair and members.	Arrange annual review with SMT December 24.	1	3	7