

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

EXECUTIVE MEETING

Hybrid Meeting Virtual/Meeting Room 1, County Hall, Cross Street, Beverley, HU17 9BA

Thursday 10 March 2022

AGENDA

1. Apologies for absence
2. Declaration of Personal or Prejudicial Interests – Members to declare any interests in items on the Agenda and the nature of such interests
3. To take the notes of the last meeting held on 2 September 2021 as a correct record

Items for Decision

4. NEIFCA Annual Plan 2022/2023
5. Information Governance & Feedback Support SLA
6. Revenue Budget 2022/2023
7. Budget Report 2021/2022
8. Risk Management Strategy & Strategic and Operational Risk Register Reviews
9. NEIFCA Health & Safety Policy & Safe Working Practices 2022/2023

Items for Information

10. Chief Officer's Operational Update

Any other items which the Chairman decides are urgent by reason of special circumstances which must be specified

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

MEETING OF THE EXECUTIVE COMMITTEE

02 SEPTEMBER 2021

Present

Dr Stephen Axford
Mr Graham Collins
Prof Mike Elliott
Councillor Tony Randerson
Mr Gary Redshaw
Mr Andrew Wheeler
Councillor Phil Webster

Representing

Chairman
MMO appointee
MMO appointee
MMO appointee
MMO appointee
MMO appointee
Vice Chairman

Clerk Caroline Lacey, East Riding of Yorkshire, Stephen Chandler East Riding of Yorkshire Council and David McCandless, Chief Officer also attended the meeting.

The meeting took place at The Spa, North Marine Drive, Bridlington, the meeting commenced at 09:30.

12. **APOLOGIES**

Apologies for absence were received from Councillor Ron Allcock.

13. **DECLARATION OF PERSONAL OR PREJUDICIAL INTERESTS**

Resolved – The Clerk asked Members to declare any personal or prejudicial interests with respect to items on the Agenda and the nature of such interests. No such interests were declared.

14. **TO TAKE NOTES OF THE MEETING HELD ON 5 MARCH 2021 AS A CORRECT RECORD**

Resolved – That the minutes of the meeting held on 05 March 2021 be approved as a correct record and signed by the Chairman.

15. **STRATEGIC AND OPERATIONAL RISK REGISTER**

The Clerk presented a report to inform members that in accordance with the Authority's Risk Management Strategy, a sixth monthly review of the Strategic and Operational Risk Registers has been undertaken and is reported for information.

Resolved - That the revised Strategic and Operational Risk Register be reviewed in six months' time

16. **NEIFCA UPDATED STAFFING HANDBOOK**

The Clerk and Chief Officer presented a report which provided members with a final draft version of the updated NEIFCA 'Staffing Handbook' for members approval. The Chief Officer informed members that following the period of staff consultation, there had been two items of feedback received. The comments received related to the functioning of the Deputy Chief Officer Role and the staffing structure. The Chief Officer advised that consideration

would be given to a revision of the staffing structure included in the staff handbook to provide greater clarity if needed. Comments had also been received regarding the necessity for a standby/callout policy. It was agreed at the meeting that there would be a review at the 2022 September Executive meeting to consider the need for such a policy based on evidence collated through the year.

Resolved – (a) That the updated version of the NEIFCA Staffing Handbook is approved.
(b) That the handbook is subject to regular review, as a minimum, annually, with any proposed changes considered by the Executive Committee.
(c) A revision of the staffing structure is considered following consultation with the Chief Officer, Clerk and HR.

**17. NEIFCA HEALTH AND SAFETY POLICY & SAFE WORKING PRACTICES
2021/2022**

The Chief Officer presented a report to inform members of the completion of the Annual review of the Authority's Health & Safety provisions. Since the last review in March 2021 the Chief Officer was pleased to advise that there had been no notable incidents or accidents to report. Over and above the standard operational risk assessments and associated safe working practices, NEIFCA officers continued to respond rapidly to the unprecedented impacts and risks associated with the ongoing Covid-19 pandemic to both protect staff and comply with all current governmental advice. Members queried what provisions are in place for visitors aboard the Authority's patrol vessels, the Chief Officer assured members that visitors are given a safety briefing and PPE. The Chief Officer also reported that the Deputy Chief Officer along with the offshore team were currently looking at modifications to the Offshore Safe Working Practices to incorporate the new Cabin RIB.

Resolved – Members noted the report.

18. BUDGET MONITORING 2021/2022

The Treasurer presented a report to advise Members of the budget position at the end of month 03 (June) in 2020/21. At the end of June 2021, the Authority has net expenditure of £257,931 against an expected £283,113, underspending by £25,182. The forecast outturn underspend is £54,400 mainly due to employee underspends due to vacancies (£85,361). The underspend had been offset by expenditure on agency staff and patrol vessel overspends due to the increased insurance costs relating to the new Cabin RIB.

It was anticipated that the outturn position would be an underspend of £54,390 in addition to the planned transfer of £102,900 plus accrued interest into the Renewals Fund and £10,000 into the Vehicle Replacement Reserve. It was proposed that any underspend is transferred to the Renewals Fund towards the replacement of the patrol vessel.

Resolved – (a) That the revenue budget monitoring position is noted.
(b) That the capital budget overspend is fully funded from in year underspends.
(c) That any remaining underspend at the year-end be transferred to the Renewals Fund towards the replacement of the patrol vessel.

19. NEIFCA ANNUAL REPORT

The Chief Officer presented a report which provided members with a copy of the 2020/2021 NEIFCA Annual Report for members information. The Chief Officer reported that IFCA's were currently looking at how data is captured and presented at a national level and ways to capture more meaningful environmental data against performance indices.

Resolved - Members noted the report.

20. ANY OTHER BUSINESS

Nothing to report.

The meeting closed at 10:15.

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Committee
10 March 2022

NEIFCA Annual Plan 2022/2023

Report by the Clerk & Chief Officer.

A. Purpose of Report

1. To review the Annual Plan for the year 2022/2023.
2. To authorise the drafting of an accompanying annual report, summarising the Authority's main activities and outputs during the 2021/2022 year.

B. Recommendation

1. That members endorse the draft plan for 2022/2023 for submission to Defra.
2. That members authorise the drafting of an annual report, summarising the Authority's main activities and outputs during the 2021/2022 year for review by the Authority at the June 2022 meeting.

1. Background

- 1.1 Section 177 of the 2009 Marine and Coastal Access Act places a statutory duty on Inshore Fisheries and Conservation Authorities (IFCA's) to make and publish an annual plan which sets out the main objectives and priorities for the year ahead.
- 1.2 A draft copy of the plan covering the new 2022/2023 year will be circulated separately to members in advance of the meeting for information and review. The longstanding format of the new draft plan has been refreshed and updated to provide greater focus and detail on the Authority's planned work programme for the new year ahead. This is an ambitious programme which includes delivery of a new website, fisheries database and supporting catch return system, advancing a new shellfish management framework, strengthening and developing staffing and internal operational functioning and both internal member and external partner engagement. Alongside that officers will be leading on re-starting routine biological and sampling programmes and enforcement and compliance activities which had been severely impacted by the ongoing Covid 19 pandemic.

Contact Officer

David McCandless, Chief Officer,
Ext. 3690

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Committee
10 March 2022

Information Governance & Feedback Support SLA

Report by the Chief Officer

A. Executive Summary

To seek the Committee's urgent approval for the provision of information governance & feedback support through East Riding of Yorkshire Council with immediate effect until end of March 2024.

B. Recommendation

That Authority members consider the report and approve the SLA through East Riding of Yorkshire Council, with immediate effect until the 31 March 2024.

1. Background

1.1 Since its inception in 1996 East Riding of Yorkshire Council (ERYC) has played a crucial role in the provision of core services to North Eastern Sea Fisheries Committee (NESFC) and since October 2010, to North Eastern Inshore Fisheries and Conservation Authority (NEIFCA). This has enabled NEIFCA to modernise and develop into one of the most professionally run and respected IFC Authority's in the UK.

1.2 The last review of core service provision to NEIFCA was considered by the Authority on 18 December 2020. Following that review members supported the Chief Officer's recommendation that ERYC continue to provide the core services of Clerkship, Treasurer and financial services, Human Resources and Legal to the Authority for a further period of three financial years (Minute 65 refers). That agreement expires on 31 March 2024. This report is seeking approval for an additional SLA to provide professional and technical support for information governance and feedback services to NEIFCA and will be reviewed in December 2023 alongside all the other core service provisions provided by ERYC.

1.3 Information Governance & Feedback Support Provision

1.3.1 Historically both NEIFCA and its predecessor organisation, NESFC, have relied on sporadic ad-hoc advice and guidance from relevant ERYC officers when dealing with external feedback, primarily formal complaints, and data protection issues. In general, this arrangement has worked reasonably well but since the new data protection regulations came into force at the beginning of 2019 the complexity and number of complaints and issues handled by NEIFCA officers, particularly relating to Freedom of Information requests, has increased significantly. This will most likely continue into future years, a fact brought into sharp focus just recently when officers provided over 400 pages of

information in response to an FOI request relating to the ongoing shellfish mortality event. The governing legislation can also be technically complex depending on the subject of the request and non-compliance can lead to significant penalties being imposed on the Authority alongside the obvious impacts on organisational reputation and standing.

- 1.3.2 Establishing a supporting SLA will ensure that feedback is managed efficiently and effectively, and appropriate technical advice, support and guidance is readily accessible in terms of responding to FOI requests. The SLA provides for 20 hours of support annually at a cost of £1225 with any additional work re-charged at a rate of £37.50 per hour which is considered more than adequate to meet the Authority's current needs. The service provision also includes training and awareness raising amongst NEIFCA staff.
- 1.4 The costs of the SLA will be met from current budgetary provisions.

Contact Officer

David McCandless, Chief Fishery Officer,
Ext 3690

Background Papers

Draft Information Governance and Feedback Support SLA

**Agreement for the Provision of Services to North
Eastern Inshore Fisheries and Conservation
Authority**

Period – 1 March 2022 to 31 March 2024

Between

THE EAST RIDING OF YORKSHIRE COUNCIL

and

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

MAIN TERMS SECTION

CONTENTS

- 1. Definitions**
- 2. Status of Agreement**
- 3. Agreement Period**
- 4. Council's Obligations**
- 5. Organisations Obligation**
- 6. Insurance and Limitation of Liabilities**
- 7. Dispute Resolution**
- 8. Termination Procedure**
- 9. Variation**
- 10. Assignment**
- 11. Data Protection and Confidentiality**
- 12. Intellectual Property Rights**
- 13. Conflict of Interest**
- 14. Notices**
- 15. Force Majeure**
- 16. Waiver**
- 17. Severability**
- 18. Contracts (Rights of Third Parties) Act 1999**
- 19. Jurisdiction**

SCHEDULES

Schedule I Individual Service Specifications & Financial Arrangements

THIS AGREEMENT IS MADE BETWEEN:

THE EAST RIDING OF YORKSHIRE COUNCIL of County Hall, Cross Street, Beverley in the East Riding of Yorkshire HU17 9BA ("the Council"); and

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY of Town Hall, Quay Road, Bridlington in East Yorkshire YO16 4LP ("the NEIFCA")

I Definitions

1.1 In this Agreement, unless the context otherwise requires, the following provisions shall have the meanings given to them below:

"Agreement" means the written agreement forming the contract between the Council and the organisation consisting of these clauses and any attached schedules.

"Commencement Date" means the **1 March 2022**.

"Data Protection Legislation" (i) the UK General DPL (UK GDPR) (ii) the Data Protection Act 2018 (2018) to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy.

"Controller" means the organisation which determines the purposes and means of processing personal data.

"Processor" means the organisation which processes personal data on behalf of the Controller.

"Force Majeure" means any event or occurrence which is outside the reasonable control of the party concerned and which is not attributable to any act or failure to take preventative action by the party concerned including without limitation, war, national emergency, flood or earthquake.

"Price" means the price set out in Schedule I Part B (Financial Arrangements).

"Provider" means the individual department within, and partners of, the Council who will provide the Services to NEIFCA.

"Services" means collectively the individual services provided to NEIFCA by the Council as set out in Schedules I (Summary of Services) and Schedule I Part A (Individual Service Specifications).

"Service Lead" means each of the named officers of the Council who have authority to negotiate individual service area delivery named in Schedule I Part A.

2 Status of Agreement

2.1 This Agreement is for the provision by the Council of the Services set out in schedules listed under this agreement.

3 Agreement Period

- 3.1 This Agreement will operate for the period from 1 March 2022 until 31 March 2024 (“the Agreement Period”).

4 The Council's Obligations

- 4.1. The Council shall use reasonable skill, care and diligence in the delivery of the Services as set out in schedules listed under this agreement.
- 4.2 The Council shall in relation to this Agreement comply with all relevant Acts of Parliament and relevant statutory guidance and codes of practice.
- 4.3 The Council shall have appropriate policies and procedures in place in relation to:
- Equal opportunities
 - Health and Safety
 - Staff training
 - Safeguarding
 - Confidentiality
 - Complaints
 - Human Rights
 - Data Protection
 - Freedom of Information

5 NEIFCA's Obligations

- 5.1 NEIFCA shall comply with any requirements specified in schedules listed under this agreement using reasonable skill care and diligence.

6 Insurance and Limitation of Liabilities

- 6.1 Both parties will maintain the following insurances in respect of the provision of the Services under this Agreement:
- 6.1.1 Public liability insurance to a minimum of five million pounds (£5,000,000);
- 6.1.2 Employer's liability insurance to a minimum of ten million pounds (£10,000,000);
- 6.2 The Council will maintain professional indemnity insurance with an annual aggregate limit of two million pounds (£2,000,000)
- 6.3 Neither party shall be responsible for any injury, loss, damage, cost or expense if and to the extent that it is caused by the negligence or wilful misconduct of the other party or by breach of that party of its obligations under this Agreement. Neither party excludes or limits liability for death or personal injury caused by its negligence, or fraud, or fraudulent misrepresentation.

7 Dispute Resolution

- 7.1 If the NEIFCA is dissatisfied with the performance of the Services, the first contact should be with the relevant Service Lead as set out in Schedule 1 (Individual Service Specifications & Financial Arrangements). If the NEIFCA remains dissatisfied, the matter may be referred to the appropriate Head of Service at the Council.

- 7.2 If a dispute between the parties cannot be resolved at a local level by the relevant Service Lead or Head of Service then it shall be referred to a Director at the Council and to the Executive Director of Service Improvement/Section 151 Officer at the NEIFCA for resolution.
- 7.3 If any dispute is not resolved within 28 working days of such referral set out in clause 7.2 (or such longer period as the parties may agree) then the parties may attempt to settle the dispute by mediation in accordance with the Centre for Effective Dispute Resolution ("CEDR") Model Mediation Procedure.

8 Termination Procedure

- 8.1 Either party may terminate this Agreement forthwith in the following circumstances:
- 8.1.1 a party is in material breach of any of the terms of this Agreement which it or they are required to perform and the breach is not capable of being remedied;
- 8.1.2 a party is in breach of any of the terms of this Agreement which it is required to perform and that breach is capable of being remedied but it has failed to so remedy that breach within 28 days of a written notice by the other party setting out the default and requiring its remedy;
- 8.1.3 if any party shall have offered or given or agreed to give any person any gift or consideration of any kind as an inducement or reward for doing or forbearing to do or for having or forborne to do any action in relation to the obtaining or execution of this Agreement or any other Agreement or if the like acts shall have been done by any person employed by the Council, the NEIFCA or acting on its behalf (whether with or without the knowledge of the Council or the NEIFCA) or if the Council, the NEIFCA or any person employed by it or them or acting on its or their behalf shall have committed an offence under the Bribery Act 2010 or shall have given any fee or reward the receipt of which is an offence under sub-section 2 of section 117 of the Local Government Act 1972.

9 Variation

- 9.1 Any variation to the Services to be provided must be made through a formal written variation signed by both parties. This will show any changes to schedules listed under this agreement.

10 Assignment

- 10.1 No party shall assign the whole or any part of this Agreement without the written consent of the other parties, such consent not to be unreasonably withheld.

11 Data Protection and Confidentiality

- 11.1 The parties shall keep all records and information generated under, or relating to, the provision of the Services confidential, subject to clause 11.5.
- 11.2 All parties warrant that they will duly observe and co-operate with each other to ensure the observance of all their obligations under Data Protection Legislation.

- 11.3 All parties acknowledge that for the purposes of the Data Protection Legislation, the NEIFCA is the Controller and the Council is the Processor. The only processing that the Council is authorised to do is listed in Schedule I unless it is required to do otherwise by law. The Council will notify the Controller in such event.
- 11.4 The Council will to the extent that it is acting as a Data Processor on behalf of the Organisation, and in consideration of the provision of goods and/or services under this Agreement, ensure that personnel that Process the Organisations Personal Data:
- 11.4.1 Process the Organisations Personal Data at all times in accordance with the Supplementary Terms and Conditions for each service unless it is required to do otherwise by law. The Council will notify the Controller in such event.
 - 11.4.2 Only engage other Processor(s) with the prior written authorisation of the Organisation;
 - 11.4.3 Taking into account the nature of the Processing, assist the Organisation by appropriate technical and organisational measures, insofar as this is possible, for the fulfilment of the Organisations obligations to respond to requests for exercising the Data Subject's rights under applicable Data Protection Laws;
 - 11.4.4 Ensure that all the Council's personnel that Process the Organisations Personal Data have committed themselves to confidentiality, and receive training in data protection;
 - 11.4.5 Not transfer Personal Data to a country that is located outside the EEA, unless required to do so by Union or Member State law;
 - 11.4.6 Assist the Organisation, to the extent the Council is legally required to do so, to ensure its compliance with its respective obligations pursuant to applicable Privacy Laws in relation to the security of processing and the notification of Personal Data Breaches;
 - 11.4.7 At the Organisations option, delete or return the Organisations Personal Data (including any copies thereof) upon expiration or termination of this Agreement, unless Union or Member State law requires storage of the Organisations Personal Data;
 - 11.4.8 Make available to the Organisation all information reasonably necessary to demonstrate the Council's compliance with the obligations laid out herein;
 - 11.4.9 Allow for and contribute to audits, including inspections conducted by the Organisation or another auditor mandated by the Organisation, provided that the Organisation shall (i) provide no less than ten (10) business days' advance written notice to the Council of its intention to conduct such audit; and (ii) comply with the Council's reasonable policies and procedures for conducting such audits or inspections; and
 - 11.4.10 Notify the Organisation without undue delay (and within no more than forty-eight (48) hours) after becoming aware of a personal data breach.

- 11.5 The parties acknowledge that they are subject to the Freedom of Information Act 2000 (“FOIA”) and the Environmental Information Regulations 2004 (“EIR”) together with any subsequent re-enactments and the parties shall co-operate fully with the each other in enabling each other to meet their obligations under the FOIA and EIR.

12 Intellectual Property Rights

- 12.1 All materials and information coming into existence during the term of this Agreement relating to the Services including, without limitation, learning and training materials, website design and source codes, and software and whether wholly or partly funded by the Council shall remain the exclusive property of the Council. Developments arising from work carried out jointly with third parties shall belong to such parties and the Council equally unless they otherwise agree.

13 Conflict of Interest

- 13.1 The Council reserves the right not to deliver the Services where in the reasonable opinion of the Council there is or may be an actual or potential conflict of interest between the interests of the NEIFCA and the duties and interests of the Council.

14 Notices

- 14.1 Any notice required to be served under this Agreement shall be in writing and shall be given or made by personal delivery or recorded delivery post and shall be addressed to the person(s) specified in Schedule 1 (or their replacement) and if so addressed and served shall be deemed to have been duly delivered given or served if sent by personal delivery upon delivery to the address and in any other case upon the date of actual delivery.

15 Force Majeure

- 15.1 No party shall be liable to the other in any manner whatsoever for any failure or delay in performing its obligations under this Agreement arising due to Force Majeure.
- 15.2 If any party is aware of any event that may be or may give rise to Force Majeure then it shall notify the other party immediately of the anticipated period of any failure or delay.

16 Waiver

- 16.1 Failure by any party to enforce the provisions or to require the performance by another party of any of the provisions of this Agreement shall not be construed as a waiver of any such provision and shall not affect the validity of the whole or any part of the Agreement or the right of the relevant party to enforce any provisions in accordance within it.

17 Severability

- 17.1 The illegality, invalidity or unenforceability of any part of this Agreement will not affect the legality, validity or enforceability of the remainder.

18 Contracts (Rights of Third Parties) Act 1999

- 18.1 The parties agree that nothing in this Agreement shall confer any benefit on any person who is not a party to this Agreement whether under the Contracts (Rights of Third Parties) Act 1999 or otherwise.

19 Jurisdiction

- 19.1 This Agreement shall be considered as a contract made in England and shall be governed by English Law.

AS WITNESS WHEREOF this Agreement has been signed by the:

Authorised Signatory for and on behalf of the NEIFCA:

North Eastern Inshore Fisheries and Conservation Authority	
Authorised Signatory: (PRINT NAME) Position: (PRINT POSITION) Signature: Date:	

Authorised Signatory for and on behalf of the Council:

East Riding of Yorkshire Council	
Authorised Signatory: (PRINT NAME) Position: (PRINT POSITION) Signature: Date:	Mathew Buckley HEAD OF LEGAL AND DEMOCRATIC SERVICES

SCHEDULE I Parts A and B

INDIVIDUAL SERVICE SPECIFICATIONS & FINANCIAL ARRANGEMENTS

Part A Individual Service Specifications

Date: 1 March 2022

Services Agreed to be Provided

I Information Governance and Feedback Support Service

I.1 Service Lead:

Matthew Turner
Information Governance and Feedback Manager
Telephone: (01482) 391419
Email: matthew.turner@eastriding.gov.uk

2 Introduction

- 2.1 Data protection can have a serious impact upon the individuals and the reputation of any organisation, if things do go wrong it can also result in significant financial penalties being imposed. The awareness of residents about their rights is ever increasing, especially as data protection issues are in the headlines more frequently.
- 2.2 Organisations need to be data protection aware and put measures in place to ensure compliance with data protection laws. The Information Commissioners Office (ICO) has seen an increase in data protection complaints and breaches reported since the introduction of the UK General Data Protection Regulation (UKGDPR) and the Data Protection Act 2018.
- 2.3 Freedom of Information and Environmental Information Regulations can have a serious impact upon an organisations business if not handled correctly. This includes the accidental disclosure of personal data or other information which could have been withheld from general disclosure, all of which can have a significant impact upon an organisation's reputation.
- 2.4 Organisations need to be aware of these two pieces of legislation and put measures in place to ensure compliance. The Information Commissioners Office (ICO) is the regulator responsible for upholding people's rights and will take action against any organisation who fails to handle requests correctly.
- 2.5 It is also essential that organisations have mechanisms in place to deal with customer feedback, including complaints. These processes must be in line with Ombudsman guidance, offering timely responses which outline how customers can escalate their issues if they remain unhappy.
- 2.6 The Information Governance and Feedback Team, based in County Hall, Beverley is ideally placed to assist organisations across the East Riding. This is due to its experience in both Information Governance and Feedback matters.

3 Services in detail

3.1 Meeting legislative duties

- Advice will be available on meeting legislative duties in relation to the Data Protection legislation, Freedom of Information Act and the Environmental Information Regulations.
- Advice around the production of Information Asset Registers/Records of Processing Activity.
- Advice and support on completing Data Protection Impact Assessments (DPIAs).
- The team will be available for site visits/to attend meetings to discuss the organisation's current set up and key service issues.
- Reviewing of policies and supporting guidance to ensure they are compliant with key legislation.

Training and awareness raising

- It is crucial that all staff members have some working knowledge of Data Protection, Freedom of Information and Environmental Information Regulations. Face to face training will be available as part of the Agreement. Training will need to be agreed in advance with the service lead and support provided by the signatory organisation. *Access to Councils partner e-Learning is available under this agreement.*
- The team will also send regular updates and supply a range of awareness raising materials.

Dealing with Requests

- Organisations can contact the team for advice on the completion of Subject Access Requests (SARs), FOIs and EIRs within core working hours. This includes support around exemptions which may prevent disclosure and subsequent redaction.
- The team will provide support on the redaction of files.
- The team will assist in the responses of complaints offering advice on wording ensuring they are understandable to customers with no working knowledge of the service and are in line with best practice.

Handling, storing, sharing and disposing of personal and sensitive data

- The team will provide advice with regard to storing and disposing of information.
- The team will provide advice around sharing of information and review sharing agreements.
- The team will provide advice with regard to keeping information secure (in relation to data protection requirements only).
- The team will provide advice on the use of surveillance cameras.

The management of breaches

- If an organisation becomes aware of a potential breach or actual breach of Information Governance related legislation, they can contact the team for advice on how to manage the situation. This will involve advice on mitigation and necessary actions, informing regulators and how to internally investigate breaches.
- Support will be available for responding to ICO enquires/investigations.
- Support when handling Ombudsman enquires.

Restrictions

The service offer will **not** cover;

- Investigation of data breaches or contacting the ICO to report breaches. Final decision on reporting will fall to the signatory organisation.
- Specialist IT advice relating to cyber security issues.
- Carrying out of DPIAs.
- Support over 20 hours, this will incur additional charges as outlined in Schedule 1.

4 Approval of how optional and call-off services will be agreed and approved

- 4.1 If additional hours or training are required these must be requested in writing by somebody who has already had approval from a budget holder.

5 Performance and Quality Standards

- 5.1 The services provided within the standard charge will support organisations in complying with Data Protection legislation, Freedom of Information Act, the Environmental Information Regulations, and complaint handling best practice. Additional services will be provided as quickly as possible, or as and when requested, within agreed timescales. All information provided will be quality assured to ensure it is accurate and timely.
- 5.2 The service will be provided by staff who have considerable experience in providing this service and are seen as specialists in this field.

6 Management and Statistical Returns

- 6.1 Management information can be provided by agreement in advance.

7 Complaints and disputes

- 7.1 Please contact the service lead named above in the contact details. If the matter cannot be resolved, please contact the Head of Legal and Democratic Services.

8 Evaluation of service performance and quality of delivery

- 8.1 Any comments or feedback on the service provided are much appreciated and will aid the improvement of our service.

9 Special requirements relating to Safeguarding

- 9.1 Staff will be employed by the council and subject to standard recruitment, employment and vetting procedures.

10 Special requirements relating to Health and Safety

- 10.1 There are no particular requirements related to this service.

11 Special requirements relating to Security

- 11.1 Our staff will wear identification at all times.

11.2 They will maintain the integrity and confidentiality of information associated with our joint obligations at all times.

11.3 The team will not sub-contract any part of the service without prior consultation.

12 Obligations and Responsibilities of the Provider

12.1 The team will ensure that all services adhere to the most relevant and current legislation and that all management information is accurate and timely.

12.2 Be available between the hours of 8.30 a.m. to 4.30 p.m. from Monday to Friday.

12.3 The team will ensure that all requests for service and additional support is provided within an agreed timescale.

12.4 Continually review training needs to show we remain well trained to do your work.

12.5 Escalate serious concerns in a timely fashion.

13 Obligations and responsibilities of the Signatory Organisation

13.1 For the purpose of this agreement, we write, communicate and accept instructions from the primary contact. You should let us know if there are any changes in this contact.

13.2 Ensure that the contact for this SLA has clear reporting to the senior management board.

13.3 The organisation knows who its contracts and agents are, ideally a contract register will be in place and relevant clauses will have been updated to meet data protection requirements.

13.4 The organisation monitors all staff training and establishes staff's training requirements.

13.5 Provide access to appropriate systems and documentation to allow for continuing assessment of and reporting upon the NEIFCA' compliance.

13.6 Ensure the provider is promptly notified of all known or suspected information security breaches involving any level of personal information to enable decisions on notification to supervisory authorities.

13.7 Sufficient prior notice of meetings where provider attendance is necessary.

13.8 The organisation must ensure that they seek advice and guidance at the earliest opportunity on matters covered by this SLA, so that the team can offer timely and effective advice, where necessary on how to respond to the matter. The organisation should then take action as they deem necessary in accordance with the advice and guidance received.

13.9 The organisation remains the Data Protection Controller, and is responsible for all decisions made in relation to data.

14 Special requirements relating to intellectual property

- 14.1 Discussions on matters and written advice are done so specifically for the signatory of this agreement. This is likely to make the information irrelevant to other users. Information and advice provided under this agreement should not be shared with other organisations and should not be reproduced or delivered to make a profit.

15 Requirements relating to Processing, Personal Data and Data Subjects

- 15.1 In conducting delivery of this agreement, the following personal data will be processed:

15.1.1 Subject matter: Staff data and service user data. All relevant information that we would need to see to enable us to provide advice and assist with information governance and feedback matters.

15.1.2 Duration of processing: 1 Year following expiry of SLA

15.1.3 Purposes of processing:

- Advice on meeting legislative duties
- Advice in relation to training of staff
- Advice on dealing with Requests
- Advice on the management of breaches of legislation
- Advice on handling, storing, sharing and disposing of personal data.
- Support in relation to data protection impact assessments.
- Support in relation to surveillance cameras.
- Support in responding to complaints

15.1.4 Type of personal data:

- Name and surname (basic personal details)
- Address including email
- Email correspondence relating to data protection matters
- Training details
- Complaints
- Requests relating to data protection rights
- Employment history
- Investigations (relating to data protection matters)
- Service user information

15.1.5 Categories of Data Subject:

- Employees (including ex-employees)
- Service users

15.1.6 Destruction and return of data: Data will be deleted 1 year after SLA has expired.

Sub Processor

In signing this SLA agreement you are giving your permission for us to use a sub processor.

15.2 As part of the provision of eLearning training being provided, our third party processors (the Skills Network) will process the following personal data:

- 15.2.1 Subject matter: staff data, and NEIFCA data. All relevant information that we would need to enable us to provide eLearning provision.
- 15.2.2 Duration of processing: the account would be disabled immediately following the expiry of the SLA.
- 15.2.3 Purposes of processing:
- Electronic Training Records of Staff for Information Governance Training
- 15.2.4 Type of personal data:
- Name and surname (basic personal details)
 - Email address
 - Training details
- 15.2.5 Categories of Data Subject:
- Employees (including ex-employees)
- 15.2.6 Destruction and return of data: data will be deleted 3 years after SLA has expired and training records will be returned to NEIFCA following the expiry of the SLA.

Part B Financial Arrangements

I General Financial Information and Accounting

- 1.1 Service details within Schedule I Part A set out the charging method that will apply to each Individual Service.
- 1.2 Amounts due will be charged by invoice.
- 1.3 Charges will be made at the start of the agreement except where indicated otherwise in this Schedule.
- 1.4 Where an Individual Service is for a set amount of work during the year and there has been a termination of that Individual Service within the year, an additional charge may be necessary to reflect the proportion of work done during the period up to the point of termination. This may include work preparing for a year's commitment.
- 1.5 Charges for ad hoc services will be invoiced separately, normally one month after the cost has been agreed.
- 1.6 If at any time other than at the time of the annual review, the content or price of a service needs to be amended to reflect changes to requirements or circumstances, then written notice will be provided. The organisation can withdraw from the service from the start of the revised specification by giving an agreed period of notice of withdrawal, in writing, to the Service Lead.

2 Charges for the Agreement Period

- 2.1 The following charges, each year shall apply for the period 2022 to 2024
 - SLA Core Services: **£1,225**
- 2.2 Agreed unit prices of fixed and variable price services:
 - Support provided by Council over 20 hrs: **£37.50 per hour**
- 2.3 Prices quoted in section 2 above are exclusive of VAT. VAT at the relevant rate will need to be added to all prices except where those items are exempt or outside the scope of VAT.

3 Invoicing terms

- 3.1 The organisation shall pay the following such sums as are determined by the Council annually in advance within twenty-eight days of the issue by the Council of an invoice.
- 3.2 The organisation shall pay additional charges as are determined by the Council following the written request for such services by the customer as specified in the Agreement, within twenty-eight days of the issue by the Council of an invoice in that respect:
- 3.3 Separate invoices may be issued for services delivered over different financial years.

AS WITNESS WHEREOF this schedule has been signed by the:

Authorised Signatory for and on behalf of the NEIFCA:

North Eastern Inshore Fisheries and Conservation Authority	
Authorised Signatory: (PRINT NAME) Position: (PRINT POSITION) Signature: Date:	

Authorised Signatory for and on behalf of the Council:

East Riding of Yorkshire Council	
Authorised Signatory: (PRINT NAME) Position: (PRINT POSITION) Signature: Date:	Mathew Buckley HEAD OF LEGAL AND DEMOCRATIC SERVICES

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Meeting
10 March 2022

DRAFT BUDGET 2022/23

Report of the Treasurer

A. Purpose of Report

To inform Members of the draft budget for 2022/23.

B. Recommendations

- a) That the draft budget for 2022/23 be approved.
- b) That the level of general reserves is maintained at £228,450 (17%) of the annual levy.
- c) That a supplementary budget for replacing the Electronic Charting Display and Information System (ECDIS) in 2022/23, fully funded from the Patrol Vessel Maintenance Reserve and as outlined in paragraph 2.3, is approved.
- d) That a supplementary budget for the European Lobster Settlement Index project, fully funded by external income and as explained in paragraph 2.4, is approved and added to the 2022/23 and 2023/24 budgets.

1. Introduction

- 1.1 At its meeting on 2 December 2021, the Authority set the levy for the North Eastern Inshore Fisheries and Conservation Authority at £1,337,343 for 2022/23. The Authority resolved that a detailed budget be brought to the Executive for approval.
- 1.2 The Authority's budget has been reviewed in detail by the Chief Officer and the senior management team, together with the Treasurer, to identify the level of expenditure necessary to meet operational priorities through to 31 March 2023.

2. Overall Budget

- 2.1 The Authority's budget is spent in the following major areas –
 - **Central Management Budget:** Expenditure relating to the cost of Corporate Management and administrative support.
 - **Operations:** Direct expenditure incurred in the performance of the Authority's objectives, comprising land-based, offshore and environmental activities.

- 2.2 The draft budget resources the main objectives and work priorities for the year ahead in order to deliver the requirements of both the adopted national vision and the Authority's local priorities. It has been produced in line with the Annual Plan and Strategic Risk Register.
- 2.3 The 3% levy increase approved at the Authority Meeting on December 2021 has been incorporated into the budget. The impact of the pay award and increase in National Insurance and inflation at 4% on non-pay budgets would have equated to a 3.9% increase in the 2022/23 levy. However, supplies and services and travel and subsistence savings of £11,000 have been made to reduce the levy increase to 3%. In addition, a review of individual budget lines has been undertaken to ensure they are set at an appropriate level within the existing budget. Approval is also sought to establish a £30,000 supplementary budget for the replacement of the Electronic Charting Display and Information System (ECDIS) fully funded from the Patrol Vessel Maintenance Reserve. This would be subject to approval to transfer £30,000 of the 2021/22 outturn underspend as requested in the December 2021/22 Budget Monitoring Report.
- 2.4 A £299,560 external funding bid for developing a European Lobster Settlement Index to the Department for Environment, Food & Rural Affairs (DEFRA) UK Seafood Fund, has been successful. Over two years the project aims to develop the monitoring, equipment and methodology to establish an ongoing survey programme, assessing key parameters and gathering baseline data from which future models may be derived. The development of a predictive European Lobster stock indicator will enhance the ability of NEIFCA to implement adaptive fisheries management measures. The project will be delivered by NEIFCA and Holderness Fishing Industry Group (HFIG). NEIFCA will act as accountable body and be responsible for ensuring the terms and conditions of the funding are met. Approval is sought to establish supplementary budgets of £147,310 in 2022/23 and £116,950 in 2023/24 fully funded by external income. In addition, a total of £35,300 of in-kind funding for vessel time has been committed by NEIFCA (£13,800) and HFIG (£21,500), resulting in a total project value of £299,560. A detailed breakdown of the proposed supplementary budget is shown in Appendix A.
- 2.5 The following table summarises the proposed revenue budget for the Authority for 2022/23. Further details are shown in Appendix B.

Net Expenditure	£
Central Management	431,690
Operations	
Land Based	127,970
Offshore Operations	562,270
Environment	132,510
Funded Projects	0
Net Cost of Service	1,254,440
Funding	
Contribution to Vehicle Replacement Reserve	10,000
Contribution to Renewals Fund	102,900
Transfer from Patrol Vessel Maintenance Reserve	-30,000
Local Authority Levy	1,337,340

3. Risk

- 3.1 The Bank of England's February monetary policy report explains that UK economy is almost back to the where it was before the Covid-19 pandemic, there is upward pressure on inflation which is expected to peak at around 7% in the spring, interest rates have risen and are likely to rise further and there is a high degree of uncertainty around the economic outlook. CPI has risen to 5.4% in December 2021 and, due to rising energy costs, the Bank predicts the level of CPI will rise to 7.25% in April 2022. The upward pressure on inflation is expected to dissipate and rates begin to fall in the second half of next year as supply chain disruption eases, global demand re-balances and energy prices stop rising. NEIFCA will experience this increase in inflation as a pressure on energy, fuel and other supplies.
- 3.2 The staffing and organisational review was complete by December 2021 and all vacant posts have been recruited to which will enable NEIFCA to better respond to future service demands. The National Joint Council (NJC) Local Government Pay Award for 2021/22 is still yet to be agreed with the latest offer of 1.75% for all but the lowest paid being rejected by the unions. It is forecast that the pay award will be at least 2% in 2022/23 along with a 1.25% increase in Employers' National Insurance. It is anticipated that the pay award will be 2% in 2023/24 and 2024/25.
- 3.3 The financial impact on NEIFCA of inflationary increases on pay and non-pay budgets will be greater than in the previous two years as all posts are now filled and the level of underspends is expected to reduce significantly. Budgets will continue to be closely monitored and opportunities to generate external income will also be explored. The new 9.5m Cabin Rigid Inflatable Boat (RIB) is fully operational and may result in increased expenditure on fuel but this will be offset by long term savings on repairs and maintenance.
- 3.4 Maintenance of the patrol vessel is usually cyclical in nature and can be planned. However, a catastrophic event, such as engine failure, could potentially leave the Authority exposed to substantial additional expenditure. Whilst most such events would be insured, the Authority would likely be expected to incur the expenditure in the first instance. As the vessel ages the risk of higher maintenance requirements become more likely.
- 3.5 Reserves are held to manage the above risks. In the short-term the general reserve will be available to meet the ongoing known risks above.

4. Reserves

- 4.1 The Authority maintains a general reserve to meet unforeseen events and specific reserves to even out cash flow for individual projects or purchases (Appendix C). The Authority currently holds four specific reserves.

5. General Reserve

- 5.1 The general reserve enables the Authority to demonstrate its financial standing as a 'going concern', to be in a position to meet unforeseen liabilities. The actual level of reserves is subjective, since any such liability is neither known nor anticipated. Setting the level of general reserves is just one of several related decisions in the formulation of the budget for a particular year. Account is taken of the key risks, stated above, that could impact on the financial assumptions underpinning the budget alongside a consideration of the Authority's financial management arrangements. A good track record for managing in-year budget pressures and operation of robust financial reporting arrangements is evident.

- 5.2 At 31 March 2022, the balance on the general reserve is forecast to be £228,450, which represents 17% of the annual levy for 2021/2022. It is anticipated that this can be maintained until 31 March 2023. This is a reasonable level of balances for the Authority to hold.

6. Specific Reserves

- 6.1 In 2011/12 the Authority created an earmarked reserve to manage the risk associated with patrol vessel maintenance. Due to its nature, certain maintenance is cyclical rather than annual and other maintenance may be of an exceptional and urgent nature. Options to replace the Electronic Charting Display and Information System (ECDIS) on the main vessel are currently being explored and, subject to approval in the December 2021/22 Budget Monitoring Report, the balance on the Patrol Vessel Maintenance Reserve will be increased by £30,000 in 2021/22 to fund the cost, increasing the closing balance to £80,000 at 31 March 2022.. Supplementary budget approval has been requested to fund the cost of replacing the ECDIS in 2022/23 from the reserve, reducing the balance to £50,000 at the end of 2022/23.
- 6.2 £100,000 plus accrued interest has been set aside annually in order to plan for the replacement of the vessel. A Special Authority meeting on 17 August 2020 authorised the award of a £383,773 contract for the build and commission of a new 9.5m Cabin Rigid Inflatable Boat (RIB), one of the three individual components which together make up the project to replace the Authority's main patrol vessel 'North East Guardian III'. The Executive meeting on 5 March authorised an additional £31,318 expenditure to incorporate a dynamic vessel stabilisation system and standard charting and radar plotting system to the new vessel. The vessel was delivered on 19 May 2021 and is fully operational. Capital expenditure is complete and £205,261 is required to be transferred from the Renewals Fund in 2021/22 to fund the cost. In total £424,209 has been spent against the £415,091 contract budget, resulting in an £9,118 overspend which was approved to be funded from in year underspends in the Budget Monitoring report to the Executive on 2 September 2021. No capital expenditure is planned in 2022/23 financial year and the forecast balance on the Renewals Fund as at 31 March 2023 is £1,459,068, which together with the second-hand sale value of the current main patrol vessel, will not be enough to replace it. Further clarity on the cost and options to obtain a replacement vessel should be available during 2022.
- 6.3 Currently the Authority owns one small multi-purpose van, one large transporter van, two 4x4 'pick up' vehicles, one all-terrain two seater 'gator' and leases a further 4x4 'pick up' and a pool car. Owning vehicles has proven much more cost effective in terms of flexibility of managing mileage and additional 'end of term costs' which are applied with each lease agreement. Maintaining a reasonable vehicle replacement reserve enables the fleet programme to be effectively managed and the annual set aside of £10,000 is proposed to be maintained at the same level.

Contact Officer

Liz Smith (liz.smith@eastriding.gov.uk)
Principal Accountant, East Riding of Yorkshire Council

Stephen Chandler
Treasurer

DEFRA UK SEAFOOD FUND - EUROPEAN LOBSTER SETTLEMENT INDEX PROJECT

	2022/23	2023/24	Total
	£	£	£
EXPENDITURE			
Employee Expenses			
Pay, NI and Superannuation	32,000	32,000	64,000
Other Employee Costs		-	-
Premises			-
Transport			-
Patrol Vessel Running Costs	33,000	33,000	66,000
Vehicle Running Costs			-
Travel and Subsistence		-	-
Supplies and Services	82,310	51,950	134,260
Support Services		-	-
	147,310	116,950	264,260
INCOME			
Grants and Contributions		-	-
DEFRA UK Seafood Fund -	147,310	- 116,950	- 264,260
Other Income	-	-	-
	- 147,310	- 116,950	- 264,260
NET EXPENDITURE	-	-	-
IN-KIND CONTRIBUTIONS			
NEIFCA	6,900	6,900	13,800
HFIG	11,500	10,000	21,500
	18,400	16,900	35,300
TOTAL PROJECT VALUE	165,710	133,850	299,560

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Appendix B

2022/23 DRAFT REVENUE BUDGET

	Central Management	Land Based Operations	Offshore Operations	Environment	Funded Projects	2022/23 Draft Budget	2021/22 Budget
	£	£	£	£	£	£	£
EXPENDITURE							
Employee Expenses							
Pay, NI and Superannuation	185,800	130,570	329,060	127,910	56,500	829,840	740,700
Other Employee Costs	18,000	-	-	-	-	18,000	46,000
Premises	11,500		6,030	-	-	17,530	15,740
Transport						-	-
Patrol Vessel Running Costs	-	-	197,820	-	56,000	253,820	188,920
Vehicle Running Costs	37,060	-	-	-	-	37,060	31,440
Travel and Subsistence	15,890	230	1,240	1,100	-	18,460	18,500
Supplies and Services	74,020	3,170	43,120	3,500	34,810	158,620	97,560
Support Services	98,200	-	-	-	-	98,200	94,420
	440,470	133,970	577,270	132,510	147,310	1,431,530	1,233,280
INCOME							
Grants and Contributions	- 1,000	- 6,000	- 15,000	-	- 147,310	- 169,310	- 38,000
Other Income	- 7,780	-	-	-	-	- 7,780	- 9,780
	- 8,780	- 6,000	- 15,000	-	- 147,310	- 177,090	- 47,780
NET EXPENDITURE	431,690	127,970	562,270	132,510	-	1,254,440	1,185,500
REPRESENTED BY							
Annual levy on Local Authorities						-1,337,340	-1,298,400
Contribution to Vehicle Replacement Reserve						10,000	10,000
Contribution to Renewals Fund						102,900	102,900
Patrol Vessel Maintenance Reserve						-30,000	
						-1,254,440	-1,185,500

Reserves

The Authority maintains specific reserves to even out cash flow for individual projects or purchases, and a general reserve to meet unforeseen events.

The actual opening balances at 1 April 2022 will be known once the 20//22 accounts for NEIFCA have been completed. The following tables include the underspend projected in the latest budget monitoring position for 2021/22, together with the proposals contained in the draft budget for 2022/23.

General Reserve	2021/22	2022/23
	£	£
Balance brought forward	228,450	228,450
Transfer to Revenue	0	0
Transfer from Revenue	0	0
Balance carried forward	<u>228,450</u>	<u>228,450</u>
Patrol Vessel Maintenance	2021/22	2022/23
	£	£
Balance brought forward	50,000	80,000
Transfer to Revenue	0	-30,000
Transfer from Revenue	30,000	0
Balance carried forward	<u>80,000</u>	<u>50,000</u>
Vehicle Replacement Reserve	2021/22	2022/23
	£	£
Balance brought forward	31,482	41,482
Transfer to Revenue	0	0
Transfer from Revenue	10,000	10,000
Balance carried forward	<u>41,482</u>	<u>51,482</u>
Renewals Fund	2021/22	2022/23
	£	£
Balance brought forward	1,379,723	1,356,168
Transfer to Revenue	-205,261	
Transfer from Revenue	181,706	102,900
Balance carried forward	<u>1,356,168</u>	<u>1,459,068</u>
TOTAL USEABLE RESERVES	<u>1,706,101</u>	<u>1,789,001</u>

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Meeting
10 March 2022

BUDGET MONITORING 2021/22

Report by the Treasurer

A. Purpose of Report

To advise Members of the budget position at the end of month 09 (December) in 2021/22.

B. Recommendations

- i. That the revenue budget monitoring position is noted.
- ii. That £30,000 of underspend at the year-end be transferred to the Patrol Vessel Maintenance Reserve to fund the cost of replacing the Electronic Charting Display and Information System (ECDIS) as outlined in paragraph 2.4 below.
- iii. That any remaining underspend at the year-end be transferred to the Renewals Fund towards the replacement of the patrol vessel.

1. Introduction

- 1.1 A detailed budget monitoring exercise is undertaken monthly by the Treasurer in consultation with the Chief Officer. This analyses individual budget lines in terms of the current expenditure and allows for projections to the end of the financial year.
- 1.2 This report provides the overall position and any areas whereby an explanation is required of any notable variance on the Authority's spending to the end of December 2021.
- 1.3 At its meeting on 18 December 2020, the Authority set a levy totalling £1,298,392 for the current financial year, including £102,900 plus accrued interest transferred to the Renewals Fund and £10,000 transferred to the Vehicle Replacement Reserve.

2. Revenue Expenditure to 31 December 2021

- 2.1 Appendix A summarises the expenditure and income for the Authority for the nine months to December of the financial year and compares it with the budget. The appendix shows both subjective and objective net expenditure for the period.
- 2.2 At the end of December 2021, the Authority has net expenditure of £682,328 against an expected £775,971 underspending by £93,643. The forecast outturn underspend is £108,806

mainly due to employee underspends due to vacancies in the first half of the financial year (£104,849). The main variances are:

- Employee underspends of £104,849 - underspends on salaries of £119,731 due to 5 permanent vacant posts being vacant for the first half of the financial year offset by higher than budgeted expenditure on agency staff. All posts have now been recruited to and the forecast outturn assumes all posts will remain filled until the financial year-end. The forecast includes the estimated cost of the 2021-22 pay award at 1.75%.
- Patrol vessel overspends of £1,095 mainly due to £24,218 increased vessel insurance costs and £9,118 capital overspend relating to the new Cabin RIB which was previously agreed to be funded from in-year underspends in offset by savings of £30,600 on fuel.
- Travel and subsistence underspends of £2,998 due to a reduction in expenditure on public transport, mileage and subsistence of £11,889 offset by £8,891 expenditure on the employee car salary sacrifice scheme offset by employee contributions coded to income.
- Supplies and services overspends of £8,857 mainly due to £6,720 expenditure on new lobster tags, £15,000 on storage and equipment for the new rental unit in Whitby and £5,460 on database development offset by savings on advertising and legal fees.
- Other income overspend of £5,445 mainly due to underachievement of income from interest due to reduced interest rates.

2.3 It is anticipated that the outturn position will be an underspend of £108,806 in addition to the planned transfer of £102,900 plus accrued interest into the Renewals Fund and £10,000 into the Vehicle Replacement Reserve.

2.4 The current Electronic Charting Display and Information System (ECDIS) plays a crucial role in not just supporting the safe navigation of the main vessel but also enables the capture of positional information relating to other vessels at sea. This is particularly important when monitoring activity within protected areas and capturing primary evidence to support prosecutions. This system is now becoming very dated and it is increasingly difficult to update charting information. Given the importance of the system there is now a pressing need to replace it and an options appraisal is currently underway. The estimated cost is between £20,000 and £30,000. Approval is requested to transfer £30,000 of the outturn underspend to the Patrol Vessel Maintenance reserve to fund the additional cost in 2022/23 financial year and for any remaining underspend to be transferred to the Renewals Fund towards the replacement of the patrol vessel.

3. Capital Expenditure to 31 December 2021

3.1 A Special Authority meeting on 17 August 2020 authorised the award of a £383,773 contract for the build and commission of a new 9.5m Cabin Rigid Inflatable Boat (RIB), one of the three individual components which together make up the project to replace the Authority's main patrol vessel 'North East Guardian III'. The Executive meeting on 5 March authorised an additional £31,318 expenditure to incorporate a dynamic vessel stabilisation system and standard charting and radar plotting system to the new vessel. The vessel was delivered on 19 May 2021 and is fully operational.

- 3.2 Capital expenditure is complete and £424,209 has been spent against the £415,091 contract budget, resulting in an £9,118 overspend (See Appendix B). The overspend is due to the addition of ultrasonic anti-fouling system, engine bay camera and delivery costs and was approved to be funded from in year underspends in the Budget Monitoring report to the Executive on 2 September 2021.

Contact Officer

Liz Smith (liz.smith@eastriding.gov.uk)
Principal Accountant, East Riding of Yorkshire Council

Stephen Chandler
Treasurer

Background Papers: NEIFCA Monitoring File

NEIFCA Budget Monitoring Report as at December 2021

	<i>Approved Budget</i>	<i>Profiled Budget to Month 9</i>	<i>Actual to Month 9</i>	<i>Variance to Profile</i>	<i>Projected Outturn</i>	<i>Variance to Projected</i>
	£	£	£	£	£	£
EXPENDITURE						
Employee Expenses						
Pay,NI and Superannuation	740,700	555,525	433,590	-121,935	620,969	-119,731
Other Employee Costs	46,000	34,500	51,588	17,088	60,882	14,882
Premises	15,740	13,255	13,551	296	18,820	3,080
Transport						
Patrol Vessel Running Costs	188,920	110,213	113,504	3,291	190,015	1,095
Vehicle Running Costs	31,440	15,580	17,325	1,745	23,951	-7,489
Travel and Subsistence	18,500	13,875	10,676	-3,199	15,502	-2,998
Supplies and Services	97,560	61,170	70,307	9,137	106,417	8,857
Support Services	94,420	883	689	-193	94,420	0
	1,233,280	805,001	711,231	-93,769	1,130,975	-102,305
INCOME						
Grants and Contributions	-38,000	-21,695	-25,069	-3,374	-49,947	-11,947
Other Income	-9,780	-7,335	-3,835	3,500	-4,335	5,445
	-47,780	-29,030	-28,903	127	-54,282	-6,502
NET EXPENDITURE	1,185,500	775,971	682,328	-93,643	1,076,694	-108,806

	<i>Approved Budget</i>	<i>Profiled Budget to Month 9</i>	<i>Actual to Month 9</i>	<i>Variance</i>	<i>Projected Outturn</i>	<i>Variance to Projected</i>
	£	£	£		£	
NET EXPENDITURE						
Central / Headquarters	419,430	224,640	219,401	-5,239	409,977	-9,453
Land Based Operations	129,760	97,320	87,340	-9,980	115,586	-14,174
Offshore Operations	508,680	358,288	318,540	-39,748	467,345	-41,335
Environment	127,630	95,723	53,656	-42,066	83,786	-43,844
Grant Aided Projects	0	0	3,391	3,391	0	0
	1,185,500	775,971	682,328	-93,643	1,076,694	-108,806

	<i>Approved Budget</i>	<i>Profiled Budget to Month 9</i>	<i>Actual to Month 9</i>	<i>Variance</i>	<i>Projected Outturn</i>	<i>Variance to Projected</i>
	£	£	£		£	
REPRESENTED BY						
Annual levy on Local Authorities	-1,298,400	-1,298,400	-1,298,390	10	-1,298,400	0
Contribution to Vehicle Replacement	10,000	0	0	0	10,000	0
Contribution to Renewals Fund	102,900	0	0	0	102,900	0
	-1,185,500	-1,298,400	-1,298,390	10	-1,185,500	0

Appendix B

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY						
CAPITAL						
			2020/21	2021/22		
	Date Approved	Budget	Outturn	Expenditure	Total	Scheme Variance
9.5m Cabin Rigid Inflatable Boat	17/08/2020	383,773	191,887	191,887	383,774	1
Dynamic Vessel Stabilisation & Radar System	05/03/2021	31,318	17,943	13,376	31,319	1
Ultrasonic Anti-Fouling				5,988	5,988	5,988
Engine Bay Camera				1,658	1,658	1,658
Delivery				1,470	1,470	1,470
Total		415,091	209,830	214,379	424,209	9,118

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Committee
10 March 2022

Risk Management Strategy & Strategic & Operational Risk Register Review

Report of the Clerk.

A. Purpose of Report

To present a revised Risk Management Strategy for adoption and inform members of the Executive Committee that in accordance with the Strategy, a review of the Strategic and Operational Risk Registers has also been undertaken and is reported for approval.

B. Recommendation

That the revised Risk Management Strategy be adopted and the revised Strategic and Operational Risk Register be approved.

1. Background

- 1.1 The Risk Management Strategy and associated Strategic and Operational Risk Registers were first approved by the shadow Authority at its quarterly meeting held on 25 January 2011 (Minute 17 refers).
- 1.2 The Authority agreed that the Risk Management Strategy be reviewed on an annual basis and that the Strategic and Operational Risk Registers be reviewed as a minimum every six months and reported to the Authority (Minute 17 refers). In accordance with these recommendations the Operational Risk Registers were reviewed and updated on 2 September 2021 (Minute item 15 refers).

2. Strategic & Operational Risk Register Reviews

- 2.1 The Strategic and Operational Risk Registers have been reviewed to consider any potential changes which have occurred since the last review and affected the key risks identified within the Registers. The changes are highlighted in bold. An updated position for each of the key indicators is also included in the Register. The next review of the Strategic Risk Register is scheduled for September 2022. The identified risks have also been ranked in order of significance (highest residual risk score).
- 2.2 Considerations surrounding the impacts of the Covid-19 pandemic on operational risk remain at the forefront alongside more strategic risks associated with increasing national workstreams and replacing the Authority's main vessel. Increasing concerns surrounding unexplained shellfish mortalities locally have also been incorporated into the revised operational risk register alongside associated elevated risk surrounding negative publicity and compliance with FOI legislation. During February 2022 officers agreed a £262K contract to deliver a two-year project to examine larval settlement indices in partnership with the Holderness Fishing Industry Group. Associated risk surrounding the delivery of this contract has also been included within the revised registers.

- 2.3 The revised Risk Management Strategy is attached as Appendix 1, the revised Strategic Risk Register is attached as Appendix 2, the Operational Risk Register as Appendix 3 and the risk based enforcement matrix, a sub register of the Operational Risk Register, as Appendix 4 for members information.

Contact Officer

Caroline Lacey, Clerk of the Authority

Ext 3000

Background Papers

Revised Risk Management Strategy

Strategic Risk Register

Operational Risk Register

Risk Management Strategy

1. Introduction

- 1.1 North Eastern Inshore Fisheries and Conservation Authority (NEIFCA) recognises its responsibility to manage risk in order to successfully achieve the Authority's objectives, maximise opportunity and minimise threats. This is also reflected in national guidance advice to Inshore Fisheries and Conservation Authorities.
- 1.2 Risk cannot always be eliminated and this strategy provides a structured approach to enable the Authority to identify, manage and monitor the most significant risks it faces. From an operational perspective it also provides a framework for applying a more 'risk based' approach to its activities.
- 1.3 The aim of this strategy is to manage risk and to successfully integrate risk management into existing business and management processes. Risk management is a key part of the Authority's corporate governance arrangements and also provides assurance to meet the requirements of the Accounts and Audit Regulations 2003.

2. Objectives

- 2.1 The objectives of the risk management strategy are to –
- Embed risk management in the culture of NEIFCA including the Authority's decision making, strategic planning, policy, project and service delivery arrangements.
 - Manage risk in accordance with best practice, ensuring key strategic and operational risks are identified, monitored and controlled.
 - Raise awareness of the need for risk management both within the Authority and with key partners and suppliers of goods and services.
 - Enable the Authority to anticipate and respond to change.
 - Prevent injury, damage and loss, thus reducing the cost of risk.

3. Roles and Responsibilities

- 3.1 All Members and employees should have regard to risk when carrying out their duties. Risk management is part of all decisions at both manager and Member level and all Authority processes. The key roles within the risk management process are -

NEIFCA	To oversee the effective management of risk by Authority officers
Clerk	To champion risk management and ensure it is embedded throughout the Authority. To develop the Authority's risk management policy and strategy To report to Members on risk management
Chief Officer & Senior Management Team	To ensure the Authority manages risk effectively through the development and implementation of the strategy. To identify, manage and monitor the strategic risks faced by the Authority.
IFC Officers	To manage risk effectively in their particular areas of service delivery.
Clerk and Treasurer	To support the Authority and its services in the effective development, implementation and review of the risk management strategy

3.2 Responsibilities and reporting requirements are set out in more detail in Annex A.

4. Risk Definitions

4.1 Risk is the chance of something happening that will have an impact on objectives.

4.2 Risks can be divided into two main categories –

Strategic risks – that need to be taken account of in judgements about the Authority's medium to long term goals.

Operational risks – day to day risks in the delivery of a service.

4.3 Examples of strategic and operational risks are listed at Annex B. The two are interlinked with the potential for operational risks to become a strategic risk for the Authority.

5. Risk Management Process

5.1 There are four key stages to the risk management process, which will be recorded and monitored through the use of risk registers –

- **Identification**

The Authority will identify both strategic and operational risks that can affect achievement of its strategic and service objectives.

- **Assessment**

Risks will be assessed for impact and likelihood using a scoring matrix. Both the gross risk (before controls) and the net risk (following the implementation of controls) will be assessed.

- **Control**

Mitigating controls will be identified for all medium and high scoring risks and action plans developed where controls need to be improved. Consideration must be given to the anticipated benefits in relation to the estimated costs in deciding whether it is cost effective to introduce the proposed controls/initiatives. Risks and controls will be allocated to a risk owner for monitoring and review.

- **Monitoring and Review**

Strategic and operational risk will be reviewed and reported at least every 6 months by the risk owners.

5.2 Strategic Risk Process

Identification and assessment of strategic risks will form part of the corporate business planning process. A full review of the strategic risk register will be undertaken every six months by the Clerk, Chief & Deputy Chief Officers and the Authority to ensure all risks associated with the delivery of strategic objectives have been identified and assessed.

Risks will be allocated a risk owner and will be reviewed every six months together with any outstanding actions required. This review will be reported to the Authority.

The Clerk and Chief Officer will be responsible for identifying any new risks and providing the link with any changes in operational risk that need to be reflected in the strategic risk register.

5.3 Operational Risk Process

The identification, assessment and control of operational risks will form part of the service planning process.

The Chief & Deputy Chief Officers will be responsible for reviewing registers and controls on a six monthly basis through management teams and updating registers accordingly.

The Authority will gain an understanding of key operational risks through the performance monitoring process and will monitor that the operational risk register is updated.

5.4 Risk Analysis & Risk Evaluation Process

5.4.1 Risk are measured in two ways:

- The likelihood of the risk event occurring
- The impact on the Authority should the risk event occur

The likelihood of the risk event occurring will be given a score from 1 to 5 using the following criteria:

Likelihood	Score	Description	Criteria
Almost certain	5	The event is expected to occur in most circumstances	Probability of occurring in the next year >90%
Likely	4	The event will probably occur in most circumstances	Probability of occurring in the next year 60 to 90%
Possible	3	The event will occur at some time	Probability of occurring in the next year 30 to 60%
Unlikely	2	The event is not expected to occur	Probability of occurring in the next year 10 to 30%
Remote	1	The event may only occur in exceptional circumstances	Probability of occurring in the next year <10%

5.4.2 The potential impact of an event on the Authority will also be given a score of 1 to 4 as follows:

- 1 Insignificant – Minimal disruption, no long-term consequences to service delivery or marine conservation and management. No stakeholder concern. Minor negative publicity
- 2 Minor – Short-term consequences to both service delivery and or marine conservation and management. Potential for stakeholder concern. Some adverse publicity in local media.
- 3 Moderate – Medium long term consequences to both service delivery and or marine conservation and management, impact absorbed with significant intervention. Extensive stakeholder concern. Extended adverse publicity in both local and national media.
- 4 Major – Significant long-term consequences, formal intervention from central government departments or Executive Agencies, significant stakeholder concern and pro-longed loss of confidence. Sustained adverse publicity both locally and nationally.

The gross risk score = likelihood x potential impact

The residual risk score includes the application of appropriate control actions

The application of appropriate control actions may not necessarily reduce the gross risk score

The table below provides a visual ‘heat chart’ of the relationship between the levels of potential impact and likelihood of certain risk occurring and provides a general guide to the overall risk assessment process.

LIKELIHOOD		IMPACT			
		Insignificant 1	Minor 2	Moderate 3	Major 4
	Almost Certain 5	Green 5	Green 10	Amber 15	Red 20
	Likely 4	Green 4	Green 8	Amber 12	Red 16
	Possible 3	Green 3	Green 6	Amber 9	Red 12
	Unlikely 2	Green 2	Green 4	Green 6	Amber 8
	Remote 1	Green 1	Green 2	Green 3	Amber 4

5.5 Project and Procurement Risk Process

Projects will be managed using appropriate methodology. Project managers will identify and assess the risks associated with the project and mitigating controls and document these in a risk register. The register will be maintained and updated throughout the life of the project and be reported to the Chief Officer on a regular basis.

The risks associated with a particular procurement will be considered and documented.

6. Corporate Business Processes

6.1 Risk management will continue to be embedded in all the Authority's key business processes including –

- Long term financial planning and annual budget setting processes.
- Authority Performance planning processes.
- Policy and decision making processes.
- Strategic planning processes.
- Operational delivery

7. Training and Communication

7.1 Risk management training will be provided to officers identified in Annex A.

7.2 The Clerk and Treasurer will provide support and advice on risk management throughout the Authority.

8. Measuring Effectiveness

8.1 The effectiveness of this process will be reported through the Statement of Internal Control.

9. Monitoring and Reporting

9.1 Assurance on the effectiveness of controls over key strategic and operational risks will also be provided by the Audit Section.

9.2 The strategy and action plan will be reviewed annually.

10. Links to other policies and strategies

10.1 Insurable retained risk will be managed by the Treasurer in accordance with the risk financing strategy.

Appendix 1

Risk No	Strategic Objective	Category of Risk	Risk	Gross Risk Score	Control Action	Residual Risk Score	Further Action Required	Update	Risk Owner
NEIFCA 1	An Authority which attracts and keeps the best staff.	Customer/ Staff	<p>Specialist staff and skills shortages. Sickness absence.</p> <p>Triggers include:-</p> <ul style="list-style-type: none"> (i) Inability to recruit and retain staff. (ii) Inadequate succession planning. (iii) The Authority has a small but dedicated workforce. (iv) Private sector competition (v) Impacts of a global pandemic or other external event 	9 (3x3)	Recruitment, retention policies, training and development, surveys of existing staff, analysis at exits interviews and managing sickness absence.	6 (2x3)	Recruitment processes expedited to fill vacancies when they arise.	<p>Organisational review recommendations agreed on 18 December 2020 and implemented.</p> <p>All operational vacancies now filled. New staff fully inducted and engaged in their respective probationary programmes.</p>	Chief Officer & Deputy Chief Officer & Operational Support Manager.
NEIFCA 2	A reputation for smart and prudent stewardship.	Financial Reputation	<p>Failure to manage the Authority's assets, caused by:-</p> <ul style="list-style-type: none"> • Lack of funding • Service failures/poor maintenance • Poor risk assessments and controls • Inaction on behalf of the Chief Officer and his assistants. • Age and deterioration of vessels & vehicles 	9 (3x3)	<p>Asset Management Plans - including audit and survey result to target investment and maintenance at high priority areas.</p> <p>Patrol Vessel renewal fund and replacement project ongoing.</p> <p>Maintenance programme.</p> <p>Risk assessments.</p> <p>Inspections and surveys.</p> <p>Insurance.</p>	6 (2x3)	<p>Review and define inspection survey programme.</p> <p>Ensure compliance with the programme. Review health and safety arrangements.</p> <p>Review adequacy of sums insured and compliance with insurance policy conditions.</p> <p>Operating a close monitoring regime on investment priority criteria.</p> <p>Strengthen asset management and control.</p>	<p>Allocation of funds to the Renewals Fund made as part of the annual budget setting increased to £100K Sixth monthly review of asset registers.</p> <p>Vessel and vehicle replacement plans in place.</p> <p>New 9.5m cabin RIB delivered.</p> <p>Chief Officer and Clerk jointly working to access external funding support.</p>	Chief Officer & Deputy Chief Officer & Operational Support Manager

Risk No	Strategic Objective	Category of Risk	Risk	Gross Risk Score	Control Action	Residual Risk Score	Further Action Required	Update	Risk Owner
---------	---------------------	------------------	------	------------------	----------------	---------------------	-------------------------	--------	------------

NEIFCA 3	A reputation for smart and prudent stewardship. Statutory responsibilities.	Reputation Legal	Failure to meet statutory responsibilities set out by legislation. Main causes of risk are:- (i) Poor leadership/ judgement by managers. (ii) Inadequate monitoring review. (iii) Lack of professional staff. (iv) Legal challenge. (v) Lack of trained, experienced staff. (vi) Impacts of a global pandemic or other similar external factors.	9 (3x3)	Series of performance targets set and measured to meet the requirements. Reported on quarterly basis to the Authority. Understanding and adherence to all governing legislation. Dynamic risk assessments and supporting safe working practices implemented when required.	6 (2x3)	Reviewed on a quarterly basis by reporting to the Authority.	Organisational review recommendations agreed on 18 December 2020 and implemented. All operational vacancies now filled. New staff fully inducted and engaged in their respective probationary programmes.	Chief Officer
NEIFCA 4	A reputation for smart and prudent stewardship. Strategic objectives	Reputation	Failure to achieve policies, aims and objectives.	9 (3x3)	Annual Plan produced each year outlining strategic objectives. Performance measured against number of targets. Reviewed in March. Exceptions reported to Authority. Constitution, Standing Orders Schemes of Delegation. The Authority has put in place structures and processes to govern decision making.	6 (2x3)	Reviewed on a quarterly basis by the Authority.		Chief Officer & NEIFCA Senior Management Team
NEIFCA 5	A reputation for smart and prudent stewardship	Reputation/ legal	Failure to deliver revised fisheries management policies within Marine Protected Area Sites which fall within the Authority's jurisdiction. Procedural delays in the formal making of regulations.	9 (3x3)	Full engagement with Defra, MMO, national working groups and local management groups.	6 (2x3)	Regular updates and progress reports to Science Advisory Group, Executive and full Committee.	All previously outstanding byelaw regulations March 2019 have now been confirmed and implemented with one refused.	Chief, Deputy Chief Officers. Senior Environmental & Scientific Officer Environmental & Scientific Officers.
Risk No	Strategic Objective	Category of Risk	Risk	Gross Risk Score	Control Action	Residual Risk Score	Further Action Required	Update	Risk Owner

NEIFCA 6	A reputation for smart and prudent stewardship.	Financial/ Economic	<p>Cuts to service, balance budget. Triggers include:-</p> <ul style="list-style-type: none"> • Reduction in Government funding • Budget over spends, insufficient reserves. • Precept set too low. • Lack of compliance with financial regulations • Increased pressure on resources from other agencies • Additional costs associated with the NEIFCA organisational review. • Impacts of National Austerity 	9 (3x3)	Three-year financial plan in place based on prudent projections and sensitivity analysis. Budget process flexible enough to deal with changes in funding e.g. savings plans. Lobbying with other Authority's to get better deals. Government assumptions used in the planning exercise. Formal considerations of reserves. Monthly revenue and capital budget monitoring. Demonstrating the ability to manage in-year budget pressures. Early closure of accounts. Attraction of EU and other grants for project works.	6 (2x3)	Ensure sound business cases are made to Authority funders for continued financial support.	Board agreed that the levy for 2021-22 year be increased by 1% to meet identified pressures alongside the continuation of the IFCA 'New Burdens' funding support until end March 2022. CSR 21 considerations are now underway and AIFCA has submitted a bid for an uplift in the core level of financial support provided by IFCA.	Clerk/ Treasurer/ Chief IFC Officer
NEIFCA 7	A reputation for smart and prudent stewardship	Reputation	<p>Loss or damage to reputation through poor press and public relations e.g. response to shellfish mortalities</p> <p>Poor management and or use of social media outlets.</p>	9 (3x3)	Good internal communications, PR, reports to Authority, Press releases approved by the Chief Officer and Clerk/Chairman where necessary. Members and key managers to have received media training. Members receive detailed briefings on sensitive issues and confidentiality requirements supported by Standards Committee and procedures. Back up arrangements through the national Association and partner IFCA's.	6 (2x3)	<p>Reviewed on a quarterly basis.</p> <p>Daily management of social media feeds in terms of content and comment.</p>	NEIFCA is expanding its active use of social media outlets such as Facebook with associated increase in reputational risk.	Chief Officer

Risk No	Strategic Objective	Category of Risk	Risk	Gross Risk Score	Control Action	Residual Risk Score	Further Action Required	Update	Risk Owner
---------	---------------------	------------------	------	------------------	----------------	---------------------	-------------------------	--------	------------

NEIFCA 8	A reputation for smart and prudent stewardship.	Disaster Planning	Major incident, i.e. patrol vessel collides with another vessel or runs aground.	4 (1x4)	The appropriate qualifications/licences/tickets are held by the crew. Train staff with skills in marine environment. Adequate Insurance.	4 (1x4)	Continue to keep up to date with training and appropriate qualifications		Chief Officer & Deputy Chief Officer
NEIFCA 9	A reputation for smart and prudent stewardship.	Reputation/ Legal	Officers acting beyond their statutory remit through inexperience. Legal challenge. Potential incident. Adverse publicity.	6 (2x3)	Full training in role. Qualifications. Performance monitoring, target setting, recruitment procedures.	3 (1x3)	As roles develop, change, continuous training and development. EDP process to be utilised for this.	Training strengthened through induction, national IFCA training courses supported by a national coordinator.	Chief Officer

APPENDIX 2

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY - OPERATIONAL RISK REGISTER

Risk Number	Process	Risk Identification	Risk Analysis	Risk Control	Residual Risk	Monitoring		
	Risk Category	Risk	1-8 = Low 8-10 = Medium 10-20 = High	Control Action	1-8 = Low 8-10 = Medium 10-20 = High	By Whom	Review Frequency	Triggers for Action

1	Financial reputation, technical.	<p>Insufficient funding to replace main fisheries vessel, North Eastern Guardian III.</p> <p>Access to European Funding has now been ruled out with no current prospect of securing any additional external funding support.</p> <p>UK exit from the European Union</p>	12 (4x3)	<p>Maintenance of current funding levels to the vessel renewal account c£100K pa. Continued investment in current vessel as a saleable asset. Monitoring and utilisation of all appropriate external funding avenues. Officers continue to explore all external funding options to support vessel replacement. Additional savings generated through the 2021/2022 financial year re-allocated to the vessel renewal reserves. National representation ongoing with Defra.</p>	9 (3x3)	Chairman, Clerk, Chief Officer and Deputy Chief Officer	Quarterly	Budget financial review & reporting to Committees and internal working groups.
2	Staffing	<p>Lack of staffing resources to deliver service and that staff have adequate skills training to achieve performance requirements.</p> <p>Increasing pressures from UK government to support national fisheries policy development & implementation without additional resource could have a negative impact on the delivery of IFCA statutory duties and responsibilities.</p> <p>Covid-19 impacts on staffing resources.</p>	9 (3x3)	<p>Communication networks. Staff flexibility. Monitoring of workloads. Workforce Development. Vacancy Management. Adhere to Sickness Policy. Implement Training Plans. Health and Safety. Recruitment processes expedited to fill vacancies. Maintenance of active dialogue with all key partner agencies. AIFCA, NIMEG & TAG. Strict adherence to Covid-19 risk assessments, associated safe working practices and national guidance. Active support from AIFCA.</p>	6 (2x3)	Clerk and Chief IFC Officer.	Quarterly.	<p>Reports to Authority. Team meetings/ EDRs. Sickness Review Meetings. Vacancy/sickness. Performance monitoring results. Proactive training programmes. Regularly revise and update supporting Covid-19 risk assessments and safe working practices. Communicate pressures and lobby through AIFCA.</p>

Risk Number	Process	Risk Identification	Risk Analysis	Risk Control	Residual Risk	Monitoring		
	Risk Category	Risk	1-8 = Low 8-10 = Medium 10-20 = High	Control Action	1-8 = Low 8-10 = Medium 10-20 = High	By Whom	Review Frequency	Triggers for Action
3	Financial and contractual.	Unexpected budget demands and variances and failure to achieve agreed budget Income generation is expected to remain low during 2022/2023.	9 (3x3)	Increase of 3% in 2022/2023 levy with further increases advised. Monitoring systems. Systems to capture spend. Regular budget holder meetings. Internal Audit.	6 (2x3)	Treasurer, Clerk and Chief Officer.	Monthly.	Budget financial reporting.

				Regular reviews of the appropriate level of reserves.				
4	Customer Service/ reputation	Failure to provide agreed service. Failure to establish and achieve performance targets therefore having a detrimental impact on the delivery of service to the customer and achievement of performance objectives. Covid-19 impacts on associated resourcing	9 (3x3)	Performance Indicators. Inspections audit. Workload monitoring. Policy and procedure compliance. Staff training. Communication with customers. Strict adherence to Covid-19 risk assessments, associated safe working practices and national guidance.	6 (2x3)	Clerk and Chief Officer.	Quarterly	Annual reports. Performance monitoring reports. Feedback from staff and customers. Regularly revise and update supporting Covid-19 risk assessments and safe working practices.
5	Financial and reputational	Breaches of General Data Protection & Freedom of Information Regulations could lead to fines and reputational impacts.	9 (3x3)	Key staffed trained and familiar with GDP & FOI regulations. Data Protection Officer in place, creation of a register of data processing activities, utilisation of impact assessments when required, creation of public and internal privacy statements and active management of all data processing activities. Advice from ICO. SLA agreed with ERYC information governance and feedback team.	6 (2x3)	DPO Clerk Chief Officer Support Officer	Monthly	Formal complaint or report to ICO

Risk Number	Process	Risk Identification	Risk Analysis	Risk Control	Residual Risk	Monitoring		
	Risk Category	Risk	1-8 = Low 8-10 = Medium 10-20 = High	Control Action	1-8 = Low 8-10 = Medium 10-20 = High	By Whom	Review Frequency	Triggers for Action

6	Professional, contractual, legal reputation.	Failure to effectively support projects, poor contract documentation, failure to meet contract deadlines, failure to meet legal requirements and procurement legislation Provider fails to deliver the contract.	9 (3x3)	Use of internal/external experts/consultants. Robust specifications. Risk Assessments. Strong contract management. Financial, technical and legal vetting of all providers. Procurement policy followed. Monitoring and reporting processes. Meet statutory requirements. With regard to supporting national projects ensure maintenance of dialogue and a proactive approach. New contract agreed with Defra for £262K to support a new two year project to investigate larval settlement indices	6 (2x3)	Chairman, Clerk and Chief IFC Officer.	Monthly.	Procurement processes. Legislative changes. Contract variations. Timetable slippage.
7	Financial reputation, technical.	Volatility of global oil/fuel markets and national tax changes. Markets remain unstable	9 (3x3)	Regular monitoring of fuel spends included within quarterly reports to Authority. Additional provision made within annual precept.	6 (3x2)	Chairman, Clerk, Deputy Clerk, Chief Officer and Deputy Chief	Monthly.	Budget financial review & reporting
8	Legal/ reputation.	Legal challenge resulting from failure to undertake statutory responsibilities in terms of enforcement, poorly drafted Authority bye-laws or national legislation including national prohibition on landing egg bearing lobsters.	6 (3x2)	Performance monitoring in terms of enforcement targets. Drafting of bye-laws in consultation with Legal Services. Proper consultation processes followed in accordance with statutory requirements. Involvement of NEIFCA Legal team, MMO, DEFRA in final approval of bye-laws. Strengthening enforcement practices and techniques.	4 (2x2)	Clerk, Legal Advisor and Chief Officer.	Monthly and quarterly reports to Authority.	Performance monitoring reports. Legal challenges.
Risk Number	Process	Risk Identification	Risk Analysis	Risk Control	Residual Risk	Monitoring		
	Risk Category	Risk	1-8 = Low 8-10 = Medium 10-20 = High	Control Action	1-8 = Low 8-10 = Medium 10-20 = High	By Whom	Review Frequency	Triggers for Action

9	Financial reputation.	<p>Failure to deliver projects through lack of resources or investment.</p> <p>Loss of funding and grants resulting in inability to proceed with projects.</p> <p>Change in legislation resulting in inability to generate funds.</p> <p>Reputation for inability to utilise grants awarded.</p> <p>Continued risk level due to ongoing national MPA management programme.</p> <p>Future funding implications of the UK exit from the EU.</p>	3 (1x3)	<p>Budget setting and monitoring process.</p> <p>Procurement policy followed.</p> <p>Appropriate resources available to undertake the project.</p> <p>Skills and knowledge of staff.</p> <p>With regard to supporting national projects ensure maintenance of dialogue and a proactive approach.</p> <p>Business Cases considered with full whole life costs of projects made</p>	3 (1x3)	Clerk and Chief Officer.	Monthly	<p>Performance monitoring reports.</p> <p>Budget reports.</p> <p>Legislative changes.</p> <p>Government funding initiatives.</p> <p>Authority decisions.</p> <p>Contract variation slippage.</p>
---	-----------------------	---	---------	---	---------	--------------------------	---------	--

OPERATIONAL RISK REGISTER – RISK BASED ENFORCEMENT MATRIX

Risk Number	Process	Risk Identification	Risk Analysis	Risk Control	Residual Risk	Monitoring		
	Risk Category	Risk	1-8 = Low 8-10 = Medium 10-20 = High	Control Action	1-8 = Low 8-10 = Medium 10-20 = High	By Whom	Review Frequency	Triggers for Action
1	Environmental	Impacts on fish and shellfish stocks through pollution incidents or environmental factors such as extreme events.	9 (3x3)	Regular monitoring, reporting and working in partnership with key agencies such as Defra, MMO, EA. Use of emergency byelaw making powers.	9 (3x3)	Chief & Deputy Chief Officers and Environmental & Scientific Officers	Monthly	Observed mortality on shore, evidence of pollution events. reports of unusually low catch rates from industry.
2	Environmental	Habitat damage caused by invasive fishing methods. Damage to protected features of European Marine Sites or Marine Conservation Zones Risks from the activities of nomadic scallop dredgers surrounding the NEIFCA area. Habitat damage caused to sensitive intertidal areas due to influxes of shore gatherers. Covid-19 impacts on supporting resources.	9 (3x3)	Ongoing monitoring of activities. Active participation in associated schemes of management. Introduction of emergency and long-term Byelaw regulations and codes of conduct governing activities. Enforcement of existing regulations. Timely use of emergency byelaw making procedures when necessary. Working closely with the MMO and Defra to ensure adequate protection remains in place.	6 (2x3)	Chief Officer, Deputy Chief Officer Environmental & Scientific Officers	Quarterly to Authority and associated working groups	Significant increases in related activity. Evidence of damage and impact. Complaints
3	Environmental	Impacts on fish and shellfish stocks through non-compliance with regulations. Prohibition on landing egg bearing lobsters. Impacts in intertidal areas rising due to influxes of shore gatherers.	9 (3x3)	Targeted approach to enforcement at ports and areas of known high non-compliance at peak season. Focus on ports of high volume landings out of season. Strengthening enforcement procedures and techniques. Maintaining a high level of communication and active joint working with key partner agencies.	6 (2x3)	Chief, Deputy Chief and IFC Officers	Monthly	Intelligence reports. Surveillance. Routine observations and complaints
Risk Number	Process	Risk Identification	Risk Analysis	Risk Control	Residual Risk	Monitoring		

	Risk Category	Risk	1-8 = Low 8-10 = Medium 10-20 = High	Control Action	1-8 = Low 8-10 = Medium 10-20 = High	By Whom	Review Frequency	Triggers for Action
4	Environmental	<p>Impacts on fish and shellfish stocks through over-exploitation</p> <p>Pressures on stocks, particularly crustacea remain high although work is continuing on revised management measures.</p> <p>Impacts in intertidal areas rising due to influxes of shore gatherers.</p>	9 (3x3)	<p>Detailed monitoring of stock health. Development of dedicated management plans and strategies. Tailored management provisions. Sound enforcement. Fisheries accreditation schemes. National coordination.</p> <p>Maintaining a high level of communication and active joint working with key partner agencies.</p> <p>Fishing activities impacted by Covid-19 restrictions.</p>	6 (2x3)	Chief & Deputy Chief Officers and Environmental & Scientific Officers	Quarterly & monthly	Non achievement of stock indicators. Declining catches and fleets. Complaints and comments.
5	Environmental	Impacts on other marine species such as sea birds, cetaceans and other organisms associated with fishing activities	4 (1x4)	<p>Monitoring through fishing permit and catch and effort schemes. One off studies and assessments. Timely use of emergency byelaw making procedures when required.</p> <p>Fishing activities impacted by Covid-19 restrictions.</p>	4 (1x4)	Chief Officer, Deputy Chief Officer Environmental & Scientific Officers	Quarterly to Authority and associated working groups	Negative feedback from catch reporting schemes and or studies. Complaints

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Committee
10 March 2022

Health & Safety Policy & Safe Working Practices 2022/2023 - Review

Report by the Chief Officer.

A. Purpose of Report

To inform members of the completion of the Annual review of the Authority's Health & Safety provisions.

B. Recommendation

That Members note the report.

1. Background

- 1.1 The Health and Safety at Work Act 1974 and the management of Health and Safety at Work Regulations 1999 and other associated legislation impose duties on all of us, both of a general and specific nature to ensure as far as is reasonable and practicable, health and safety at work. North Eastern Inshore Fisheries and Conservation Authority wishes, through the preparation and issue of this policy to convey the importance that it places on all measures that promote the health and safety of its employees
- 1.2 This policy and its provisions are reviewed continuously throughout the year both at senior management level and at regular staffing Health and Safety meetings. If appropriate, changes to safe working practice guidelines are made and risk assessments reviewed, including where necessary, the provision of additional safety equipment for officers. Such changes are reported to the Executive Committee on a six monthly basis.
- 1.3 Since the last review in September 2021 I am pleased to advise that there have been no notable incidents or accidents to report whilst staff have been working and all are currently fit and well. As part of this standard six-monthly review all the standard Safe Operational Working Practices and supporting risk assessments have been fully reviewed and updated.
- 1.4 Over and above the standard operational risk assessments and associated safe working practices, NEIFCA officers continue to respond rapidly to the unprecedented impacts and risks associated with the ongoing Covid-19 pandemic to both protect staff and comply with any governmental advice. In managing these impacts an overarching set of Covid-19 specific risk assessments have been developed alongside a set of supporting Control Measures. These are being strictly followed by all staff alongside the standard safe operational practices when working. These additional systems are dynamic, subject to daily review and or amended to take account of any changes in risk and or governmental advice. Since the last review in September 2021 two operational staff have contracted Covid and thankfully made a full recovery.

- 1.5 The updated safe working practice documents and revised risk assessments are shared with all operational staff and subject to continuous review by both the senior operational management team and as part of the general staffing health and safety meetings. The entire health & safety regime is underpinned by regular health and safety training and 'refresher' courses undertaken by all operational staff.
- 1.6 Included within the revised documentation are a new detailed risk assessment of current potting survey activity undertaken by NEG III (RA 9a) and bespoke Standard Operating Practice (SOP). This followed concerns expressed by operational staff over the risks that the activity presented. Alongside potting a further risk evaluation has also been completed on the use of 'stab vests' by front line operational staff (RA 18).

Contact Officer

David McCandless
Chief Officer
Tel: 07771936501



HEALTH AND SAFETY POLICY

2022/2023

CONTENTS

Part 1 STATEMENT OF NEIFCA SAFETY POLICY

Part 2 ORGANISATION FOR SAFETY

- 2.1 Structure of Organisation
- 2.2 Clerk
- 2.3 Chief Officer
- 2.4 Deputy Chief Officers
- 2.5 All Employees

Part 3 ARRANGEMENTS FOR SAFETY

- 3.1 Distribution of Health and Safety Information
- 3.2 Inspections
- 3.3 Statutory Inspections
- 3.4 Routine Examinations/Maintenance of Equipment
- 3.5 Safe Systems and Methods of Work
- 3.6 Management of Health and Safety at Work Regulations 1999 (Risk Assessments)
- 3.7 Manual Handling Regulations
- 3.8 Control of Substances Hazardous to Health (COSHH)
- 3.9 Violence, Challenging Behaviour and Lone Working
- 3.10 First Aid at Work Regulations
- 3.11 Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR)
- 3.12 Personal Protective Equipment at Work Regulations
- 3.13 Display Screen Equipment Regulations
- 3.14 Provision and Use of Work Equipment Regulations
- 3.15 Lifting Operations and Lifting Equipment Regulations
- 3.16 The Working at Height Regulations
- 3.17 Driving at Work
- 3.18 Patrol Vessels Emergency Procedures
- 3.19 Health and Safety Committee

Part 4 HEALTH AND SAFETY TRAINING

The North Eastern Inshore Fisheries and Conservation Authority (NEIFCA) recognises its responsibilities for making appropriate provisions and sufficient funds for the health and safety of its employees. It is therefore the policy of the Authority to conduct its operations in such a manner as to secure health and safety for its employees and to protect members of the public who may be affected.

It is the responsibility of the Authority, through its employees to provide and maintain measures which will ensure that every employee can carry out their duties in a safe environment without risk to health. Equally it is the duty of each employee to co-operate with the management in regard to health and safety matters. The Authority expects each employee to take reasonable care for their own safety and that of others who may be affected by their acts or omissions, to prevent accidents and avoid hazards to health.

This Safety Policy and accompanying organisational arrangements, will contribute to the Authority's overall ability to fulfil their duties and responsibilities, by reducing injuries and ill health at work, both to employees and to any other persons who may be affected by their employees acts or omissions. These measures will protect the environment and reduce unnecessary losses and liabilities.

To achieve this, the Authority will;

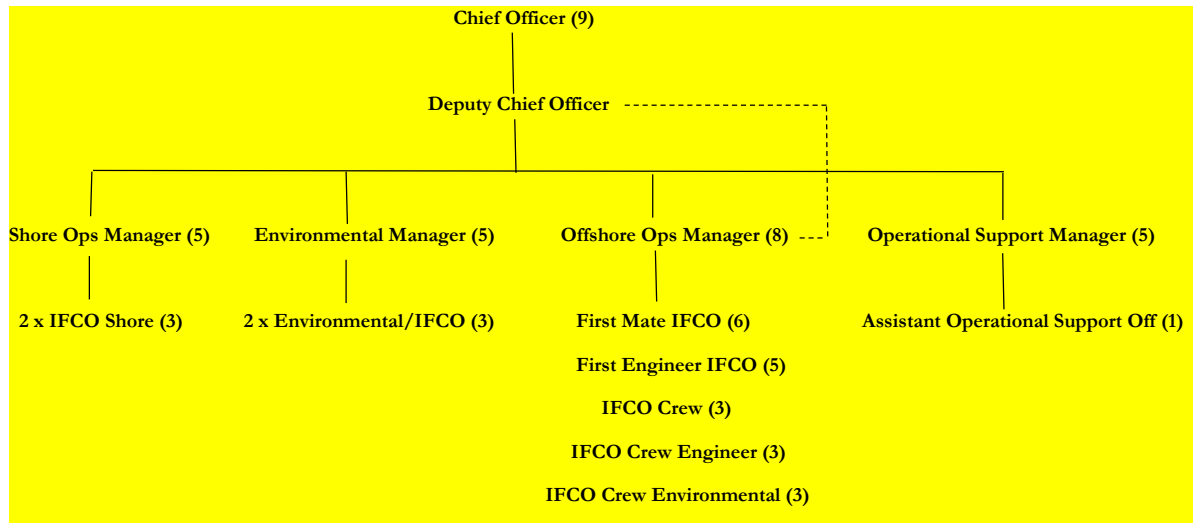
- i) Set and maintain high standards for Health and Safety by controlling workplace hazards by assessing risks and establishing risk control measures which are suitable and sufficient;
- ii) Ensure that all employees are informed of these standards, by providing adequate and appropriate facilities for communication and consultation;
- iii) Ensure that employees understand their responsibilities at whatever level they operate and discharge them with care;
- iv) Provide adequate levels of training and instruction to ensure that employees are competent to carry out their duties;

A copy of this Statement of Policy will be issued to all employees. It will be reviewed and modified as necessary and will be supplemented in appropriate cases by further statements relating to the work of individual employees or groups of employees.

Signature_____Date__10 March 2022_____

Clerk of the Authority

2.1: STRUCTURE OF ORGANISATION



2.2 Clerk of the Authority

The Clerk bears responsibility for the overall arrangements, and for ensuring that the operations of the Authority are executed at all times in such a manner as to ensure, so far as is reasonably practicable, the health and safety at work of all employees and all persons likely to be affected by its operations.

In particular the Clerk will:-

- Advise the Authority on safety, health and welfare matters including the Safety Policy.
- Agree and authorise the implementation of the Safety Policy.
- Monitor progress of the Health and Safety Policy, initiate any changes necessary, and issue an annual report to the Authority.
- Ensure all employees understand and fulfil their responsibilities for safety, health and welfare.

2.3 Chief Officer:-

- Ensure that Risk Assessments are carried out for all operations undertaken by employees and ensure employees are informed of the findings of the Risk Assessments.
- Ensure that methods and systems of work are safe, and that the necessary procedures, rules and regulations designed to achieve this are formulated, and applied.
- Ensure all employees are aware of and fulfil their safety responsibilities and arrange for the relevant training.
- Provide adequate equipment, tools and protective clothing and equipment to enable work to be carried out safely.

- (e) Ensure that all equipment, tools, facilities etc, are maintained in a safe condition, and remain suitable for the function for which they were intended, arrange for inspections to monitor and record this.
- (f) Act as **Responsible Officer** to receive check and verify accident reports, and ensure remedial action is taken.
- (g) Ensure that all necessary health and safety checks and inspections are completed as scheduled.
- (h) Set a personal example.

2.4 Deputy Chief Officer

- (a) Support the CO in ensuring that all personnel know their responsibilities under the Policy and that they are equipped and trained to carry out their duties.
- (b) Implement within his or her designated area of work, the Health and Safety Policy & Safe Working practices protocol.
- (c) Support the CO in ensuring that safety receives full consideration in: -
 - Current working programmes.
 - Planning of new operations and or duties.
 - In introducing new plant or equipment.
- (d) Act as **Responsible Officers** to receive accident reports and implement appropriate remedial action.
- (e) Support the CO in ensuring that all investigations and reporting procedures are carried out.

2.5 All Employees

The Health and Safety at Work Act 1974 and the Management of Health and Safety at Work Regulations 1999, and other associated legislation including, The Merchant Shipping and Fishing Vessel (Health and Safety at Work) regulation 1997, place responsibilities on employer and employee alike. In this connection NEIFCA reminds its employees of their duties under Section 7 of the Health and Safety at Work Act 1974 to take reasonable care for their own safety and that of others, and to co-operate with the Authority so as to enable it to carry out its own responsibilities successfully.

Furthermore the following requirements are expected of every employee: -

- (a) Carry out assigned tasks and duties in a safe manner in accordance with the instructions, methods and procedures contained in the Safety Policy.
- (b) If aware of any unsafe practice, operation, or condition, or if in any doubt about the safety of any situation consult with a senior officer.
- (c) Obtain and use the correct tools, equipment, or materials, for all tasks and duties, and not use any that are in an unsafe condition.
- (d) Use all guards, safety devices, safety equipment, and personal protective clothing or equipment provided.
- (e) Take reasonable care for the health and safety of themselves and of other persons who may be affected by their acts or omissions.
- (f) Co-operate with the employer or any other person so far as is necessary to enable any statutory duty or requirement to be performed or complied with.

- (g) Not to intentionally or recklessly interfere with or misuse anything provided in the interests of safety, health or welfare, or do anything likely to endanger themselves or others.
- (h) Report all accidents and near misses.
- (i) To set an example.

Part 3

ARRANGEMENTS FOR SAFETY

3.1 Distribution of Health and Safety Information

- (a) Copies of the Authority's Health and Safety Policy will be issued to all employees on appointment, annually on review and if amended. Electronic copies are also available upon request at any time and hard copies will be kept at the Bridlington & Whitby Offices and Patrol Vessel(s).
- (b) A copy of the Councils Corporate Resources Directorate Health and Safety Policy will be made available to all employees whose place of work is based in ERYC accommodation. Within the Bridlington Office a specific area has been dedicated to displaying Health and Safety Information. It is the responsibility of the Chief Officer to ensure these are updated.
- (c) It is the responsibility of the Chief Officer to ensure that employees receive all necessary Health and Safety information regarding the maintenance of a safe and healthy working environment and work processes. This should include the whereabouts of risk assessments, assessments required under the COSHH regulations, manual handling assessments and any other information that may be necessary for them to undertake their work activities safely.

3.2 Inspections

- (a) It is the responsibility of the Chief Officer to ensure that inspections of all procedures and equipment, which contribute to the Health and Safety and Welfare of employees, are inspected and reviewed at regular intervals. This interval shall be no more than 3 months.
- (b) The Deputy CO supports the CO in ensuring that inspections of all procedures and equipment, which contribute to the Health and Safety and Welfare of employees, engaged in both offshore and land-based activities are reviewed at regular intervals.

3.3 Statutory Inspections

- (a) Electrical Inspections shall be carried out on an annual basis, with regard to all portable electrical equipment contained within ERYC accommodation, in accordance with the ERYC Policy and The Electricity at Work Act 1989.
- (b) Inspections of office accommodation provided by ERYC shall be conducted according to the ERYC Health and Safety Policy.

3.4 Routine Examinations/Maintenance of Equipment

- a) The Chief Officer is responsible for ensuring that delegated managers fulfil their obligations to routinely examine and maintain work equipment within their designated area of responsibility.

- b) The Offshore Operations Manager (OOM) is responsible for overall maintenance of the Patrol Vessel and RIB, including any other vessels owned and operated by the Authority and all associated equipment. The Mate and Engineers shall assist the OOM as required to ensure that maintenance schedules as specified by manufacturers and supplied with equipment /machinery, are followed at all times. In addition to the manufacturer's recommendations Daily, Weekly, and Monthly checks and inspections shall be undertaken which shall include all systems, machinery and equipment on both the Patrol Vessel and RIB and all associated equipment. These inspections shall include all items, which are detailed on the pre-printed checklists supplied for the recording of this information. In respect to any land-based vessels it is the responsibility of all staff using any vessel to ensure that all routine mandatory inspections and checks are adhered to.
- c) It is the responsibility of all staff who have been issued work equipment/PPE to ensure they are maintained in a safe working condition and that basic maintenance schedules are followed correctly.

3.5 Safe Systems and Methods of Work

- (a) The Chief Officer and Line Managers are in the best position to ensure that procedures are in place for all working practices and systems. It is the responsibility of all Managers to ensure that Health and Safety rules are observed. The reviewing, and where appropriate, amending of work practices and risk assessments will be undertaken where a need for improvement is identified ensuring that the health and safety of all employees and any others who may be affected by the work activity are maintained.
- (b) Such procedures must be brought to the attention of employees and it is best practice to ensure that employees provide written acknowledgement to say that they have been informed and agree to them. The Chief Officer shall keep these records.

A detailed list of all safe working practices and procedures for work activities are contained within the 'NEIFCA Safe Working Practices Booklet'.

3.6 Management of Health and Safety at Work Regulations 1999

- (a) In satisfying its responsibilities to provide and maintain a safe and healthy working environment the NEIFCA will seek to identify potential hazards. The CO and line managers will carry out Risk Assessments of known hazards and activities and discuss them with relevant employees before work commences. Copies of Risk Assessments will be supplied to each employee upon appointment.
- (b) Legislation requires the NEIFCA to carry out assessments on all tasks, operations and work practices and environmental factors where there is a risk to the Health and Safety of employees and members of the public. In this exercise particular attention should be paid to young persons, women of childbearing age, new and expectant mothers and work related stress.
- (c) The NEIFCA will also analyse reports of incidents and take remedial action to ensure that similar occurrences are avoided in the future. Risk Assessments will be reviewed after any accident or incident and revised as necessary.

A detailed list of all Risk Assessments are maintained.

3.7 Manual Handling Regulations

The Chief Officer will ensure that managers carry out risk assessments on all employees who undertake manual handling and that appropriate action is taken to address any identified hazards. All staff will be trained in manual handling procedures.

Where the general assessment of risk indicates the possibility of risk to employees from the manual handling of loads the NEIFCA will follow the present regulations to ensure:

- 1) Avoid hazardous manual handling operations so far as is reasonably practicable by re-designing the task or mechanising the process.
- 2) Assessing any hazardous manual handling operations that cannot be avoided
- 3) Reduce the risk – making improvements to the task, load and working environment
- 4) Ensure that the introduction of control measures to reduce the risk does not present any new risks.

3.8 Control of Substances Hazardous to Health (COSHH)

Prior to any substance being purchased and supplied for use the NEIFCA will ensure that an adequate assessment is made of the risks to health connected with the use of that substance. Such steps are necessary to safeguard the health of employees and others that may be affected. Copies of COSHH assessments will be kept readily available at work locations.

Where there is no assessment in place on a substance, such measures should be taken to ensure the isolation of that substance before any intended use. All substances will be assessed using the material safety data sheet supplied with the specific substance.

The Offshore Operations Manager will be the nominated COSHH officer for the use of all substances pertaining to the operation of NEG III and any other vessel owned and operated by the Authority. As such he will be responsible for ensuring that all substances used on board such vessels are subject to a COSHH assessment before use and that all control measures put in place are adhered to at all times.

3.9 Violence, Challenging Behavior and Working Alone in Safety.

The Chief Officer will ensure that managers carry out risk assessments for all employees who may be subject to violent and challenging behaviour, and those who are required to work alone, and that appropriate action is taken to address any identified hazards.

Further information and operating procedures are contained within the 'NEIFCA Safe Working Practices Booklet'.

3.10 First Aid at Work Regulations

- (a) It is NEIFCA policy in accordance with the Health and Safety (First Aid) Regulations and current maritime regulations to provide suitable persons as adequate and appropriate for rendering first aid.
- (b) **As a minimum** all staff must undertake a basic One Day First Aid Course. In addition to this all seagoing staff will be trained in Emergency First Aid at Work **(STCW Approved)**.

- (c) All shore based staff shall have access to First Aid kits and the patrol vessels will carry a First Aid kit in line with current maritime legislation requirements.
- (d) The ERYC Corporate Resources Directorate Health and Safety Policy provides adequate provision for NEIFCA personnel located in ERYC accommodation.

3.11 Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR)

In order for the NEIFCA to discharge its statutory duties of keeping the Health and Safety Executive informed of accidents and dangerous occurrences, the Chief Officer will ensure that adequate records are maintained in accordance with the NEIFCA Policy on accident and incident reporting.

Further information on the NEIFCA Accident Reporting Procedure is contained within the 'NEIFCA Safe Working Practices Booklet'.

3.12 Personal Protective Equipment at Work Regulations

The main requirement of the PPE at Work Regulations is that personal protective equipment is to be supplied by the employer and used by the employee wherever there are risks to health and safety that cannot be adequately controlled in other ways.

The Chief Officer will ensure that risk assessments are carried out on all activities and that appropriate PPE is issued. The Chief Officer will also ensure that such equipment is properly assessed to its suitability, is maintained and stored properly and sufficient training is given to employees on its correct use.

Employees must ensure that PPE issued to them is maintained and kept in good working order. The manufacturers maintenance schedule should be followed as instructed and training/instruction will be given for this. For more intricate repairs, items will be returned to specialists.

If any employee feels that their personal provision of appropriate PPE is lacking they must bring that to the attention of their immediate line manager.

3.13 Display Screen Equipment Regulations

The Chief Officer will ensure that risk assessments are carried out with all employees who use display screen equipment, and that appropriate action is taken to address any identified hazards.

Further information on DSE assessments is contained within the 'NEIFCA Safe Working Practices Booklet'.

3.14 Provision and Use of Work Equipment Regulations

The manufacturer and supplier bear the responsibility to ensure, so far as is reasonably practicable, that the article is so designed and constructed as to be safe and without risk to health when properly used. They must provide instructions to the purchaser as to the way in which the article may be used safely.

The Chief Officer will ensure that all machinery, plant, tools and equipment are used according to the manufacturer's recommendations and in line with any other statutory requirements/guidelines. It is the responsibility of line managers to address any shortcomings in that area.

3.15 Lifting Operations and Lifting Equipment Regulations

The Chief Officer will ensure that all equipment falling within the scope of these regulations is purchased, used and maintained in accordance with the schedules detailed within these regulations.

3.16 The Working at Height Regulations

The Chief Officer will ensure that all work activities falling within the scope of these regulations is properly assessed and appropriate measures taken to ensure the risk and threat to any employee is adequately controlled.

3.17 Driving at Work

NEIFCA has a responsibility under the Health and Safety at Work Act 1974 to ensure so far as is reasonably practicable, the health and safety of employees while at work. There is also a requirement that others are not put at risk by your work-related driving activities. The Management of Health and Safety at Work Regulations 1999 state that the NEIFCA has a responsibility to carry out an assessment of the risks from driving to the health and safety of employees, while they are at work and to other people who may be affected by their activities. To this end, the Chief Officer will ensure that adequate assessments are made on all aspects of work related driving activities.

A detailed list of all safe working practices and procedures for use of Authority and Officers vehicles are contained within the 'NEIFCA Safe Working practices Booklet'.

3.18 Patrol Vessels Emergency Procedures

- a) All employees are to undertake training in sea survival, fire fighting and first aid.
- b) All the locations of fire extinguishers and other safety equipment on board the vessels are to be noted and each officer and visitor will be inducted as to the safety systems and equipment on board NEG III and any other vessel owned and operated by the Authority. Staff must have access to instructions for use of equipment such as pyrotechnics and regular safety drills must be carried out.

3.19 Health and Safety Monitoring

- (a) In recognition of its own Safety Policy, the NEIFCA shall institute a system designed to facilitate employer/employee consultation to take place regarding all aspects of Health and Safety at work. To this end the NEIFCA has formulated a structure for dealing with matters relating to Health and Safety.
- (b) Staff team meetings will be held every eight weeks.
- (c) There will be a Health and Safety meeting held after each staff meeting. Any member of the team may forward items for the agenda. All employees will be regarded as being members of this Health and safety group. In addition, Health and Safety provisions will be reviewed at

regular senior management team meetings held throughout the year. The senior management team comprises of the Chief Officer, Offshore Operations Manager, First Mate, First Engineer, Land based Operations Manager, Environmental and Scientific Manager and Operational Support Manager.

- (d) The Chief Officer will ensure that an accurate written record of all proceedings are kept.

Part 4	Health and Safety Training
---------------	-----------------------------------

- (a) All employees shall be instructed as to possible hazards in their areas of work, and shall receive necessary training to enable them to carry out their duties safely and efficiently.
- (b) It is essential that all officers responsible for health and safety issues discharge their duties to the best of their ability. With this in mind, a training programme has been set up and it is essential that line managers through the Employee appraisal process identify and ensure that all relevant officers receive adequate training.
- (c) All general health and safety training shall be booked through the Authority's Operational Support Manager who shall arrange such training with the central training unit (ERYC) or through external providers and keep a central record of all training.
- (d) It shall be the responsibility of line managers to ensure that health and safety induction training is undertaken on the new starters first day.
- (e) Employees shall be provided with adequate and appropriate health and safety training and instruction on being exposed to new or increased risks because of:-
 - Being transferred or given a change in responsibilities
 - The introduction of new equipment or change to equipment already in use
 - The introduction of new technology
 - The introduction of new practices, or a new system of work, or changes to an existing system

Contact Officer:
Chief Officer
Tel: 07771936501



NEIFCA

SAFE WORKING
PRACTICES

2022/2023

CONTENTS

CONTENTS	2
SSB 1 – Safe Systems/Procedures of Work.....	4
SSB1.1 Quayside Working	4
SSB1.2 Handling Catch/Fishing Gear.....	4
SSB1.3 Boarding/Disembarking Vessels in Harbour	4
SSB1.4 Boarding/Disembarking Vessels at Sea	5
Equipment and Clothing	5
Use of RIB	5
Weather Conditions	6
SSB1.5 Launching Vessels with Vehicles.....	6
General.....	6
Launching and Recovery of Vessels from the Shore	6
Towing.....	7
Maintenance	7
Safety Equipment.....	7
SSB1.6 Launching & Recovering the RIB (NEG III).....	7
SSB1.7 Patrol Vessels General Deck Work	8
SSB1.7.1 Patrol Vessels Deck Machinery	9
SSB1.8 Patrol Vessel Engine Room	12
SSB1.9 Working on board vessels	12
SSB1.10 Driving at Work	13
Use of Authority Vehicles	13
Use of All Terrain Vehicles	14
Use of Officers Vehicles.....	14
Excessive Mileage and Fatigue	15
Weather Conditions	15
SSB1.11 Surveying Shellfish Beds.....	15
SSB1.12 Operation of Vessels at Sea	16
NEG III Manning Requirements/Qualifications	16
Stand Alone Vessel Manning Requirements/Qualifications	16
Maintaining a Navigational Watch.....	17
Safety Equipment.....	17
Maintenance	17
Weather Conditions	18
SSB1.13 Surveys onboard Fishing Vessels	18
SSB1.14 Inspecting Premises	18
SSB1.15 Inspection of Person/s	19
SSB1.16 Inspection of Vehicles	19
SSB1.17 Use of Mobile Phones.....	20
General Use.....	20
Message Service	20
SSB1.18 Operation of Drones	20
Pre-Flight Checks	20
Take Off.....	21
Flight.....	21
Landing & Post Flight	21
Storage	22
SSB1.19 Medications at Sea.....	22
SSB 2 – Risk Assessments	22
SSB3 – COSHH Assessments	23

SSB4- Violence, Challenging Behaviour and Working Alone in Safety.	23
Verbal Abuse and Threats.....	23
Physical Assault	23
Lone Working Procedure.....	24
Identifying Lone Workers	24
Identified Lone Working Activities.....	24
Shore Based Lone Working Procedure	25
Logging On/Off	25
SSB5 – Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR).	25
Accident and Incident Reporting	25
Accident Reporting Procedure (HSE).....	26
Accident Reporting Procedure (MAIB).....	26
Accident Reporting Procedure (HSE) Flow Chart	27
Accident Reporting Procedure (MAIB) Flow Chart	28
SSB 6- Display Screen Equipment Regulations	28
Procedure for Assessments	29

SSB 1 – Safe Systems/Procedures of Work

SSB1.1 Quayside Working

- 1) Officers must always have in their possession a work issued operational mobile phone. That phone must be fully charged and all associated operational software, such as tracking and lone working facilities, must be activated.
- 2) When working outside of normal work times 2200 – 0400 Officers working alone must implement the Lone Working Procedure.
- 3) Officers must wear appropriate non-slip, safety footwear.
- 4) Where the possibility of falling into the water exists officers must wear a buoyancy device.
- 5) Any objects such as trawl nets, fish boxes, containers and other heavy objects should be lifted in accordance with manual handling techniques.
- 6) Beware at all times of forklifts, trolleys, derricks or any other type of mechanised fish handling/weighing equipment. Inspections should be carried out in safe areas away from such equipment/machinery.
- 7) When walking/moving along the quay be aware of any spillages/fish slime/ice and the slipping threat they pose. Be aware of any loose ropes/wires.
- 8) Protective 'stab' vests are provided to all officers as a standard item of personal protective equipment. The active use of the vest currently remains at the discretion of the officer and should be based on a dynamic risk assessment made at the time.

SSB1.2 Handling Catch/Fishing Gear

- 1) When measuring shellfish or whitefish ensure standard handling practices are followed at all times.
- 2) When handling fishing gear always wear non-slip, safety footwear.
- 3) Any objects such as trawl nets, fish boxes, containers and other heavy objects should be lifted in accordance with manual handling techniques
- 4) Some areas inspected can be subject to contamination by rats (Weils Disease), all employees are advised to cover any cuts and abrasions and wear protective gloves in such situations. Hands must be washed or sanitised at the earliest opportunity following such inspections and hand sanitiser is provided to all staff.

SSB1.3 Boarding/Disembarking Vessels in Harbour

- 1) The employees own discretion must dictate whether or not it is safe to board a fishing vessel from the quay, having regard to the fact that, in doubtful circumstances, the skipper or crew should be invited to assist and facilitate a safe boarding. Slack mooring ropes, which may allow the boat to move away from the quay and stowed fishing gear, such as trawls and dredges are potential hazards to note.
- 2) Where practicable, an employee should tell a fellow employee when they are about to board a vessel moored alongside a quayside.
- 3) When boarding or crossing from vessel to vessel, extreme care must be taken. Officers must wear non-slip footwear and a lifejacket/ buoyancy aid.

- 4) Quayside ladders are frequently in a dilapidated state, so therefore can be unsafe. Visual and physical checks should be carried out before descending any harbour ladder.
- 5) When using ladders, it can be very dangerous to carry any gear one-handed. Gear and equipment should be hung safely around the shoulders or lowered by rope.
- 6) Do not board vessels when derricks are being raised or lowered, or when a weight is being swung.
- 7) Sharp, pointed equipment and knives can be dangerous items when clambering over vessels or up and down ladders. All such items should be placed in a strong bag or safe pockets.
- 8) Particular care must be exercised when fishing gear is being handled on the vessel, or fish boxes are being loaded/unloaded.

SSB1.4 Boarding/Disembarking Vessels at Sea

Equipment and Clothing

- 1) Whenever an employee is operating in a RIB, they must wear an automatic lifejacket.
- 2) Suitable waterproof clothing.
- 3) Non-slip footwear.
- 4) Lower back support belts are provided to all employees, operating in a RIB, as part of standard issue PPE.
- 5) Helmets must be worn at all times when embarking and disembarking from a RIB.
- 6) A portable radio should always be taken by the boarding officer.
- 7) The coxswain should ensure that kill cords are connected and operational at all times.

Use of RIB

- 1) The RIB coxswain should be fully aware that the safety of himself and the crew are paramount.
- 2) The coxswain is in charge of the vessel and must ensure that at all times when travelling at speed or manoeuvring the crew are not in danger of falling and must be seated safely.
- 3) The coxswain must make it clear to everyone their intended manoeuvres.
- 4) The coxswain and crew must maintain an effective lookout at all times.
- 5) Regard must be given to the location of boarding in shallow inshore areas which may result in grounding of the RIB.
- 6) Regard must be given to the type of vessel being boarded, its gear and likely manoeuvres during the approach. Particular care should be paid to pair team operations.
- 7) Whether or not gear is being worked from the side you wish to board should be assessed before boarding.
- 8) On larger fishing vessels, the large freeboard and awkward access may dictate that good communications with the skipper are paramount, so that he may instruct his crew to help the boarding officer to embark and disembark.
- 9) Access and pilot ladders must be used with extreme caution. They may not be adequately maintained or secured.

- 10) If deemed prudent by the boarding officer, the boarding phase is to be delayed until the fishing vessel has completed its hauling or shooting operation and is stopped in the water.
- 11) As far as possible, the boarding position must be away from propellers, discharges, moving machinery and running gear secured outboard and other obstructions.
- 12) When using any stand-alone RIB the lone working policy must be implemented
- 13) When using a stand-alone RIB reliable weather forecasts should be obtained prior to the patrol commencing.

Weather Conditions

After discussion between the patrol boat skipper, the coxswain, crew or designated person in charge, it will be mutually decided, if the prevailing weather, visibility, and sea conditions are acceptable, to undertake boardings. The possibility of further weather deterioration must be borne in mind. Generally, if there is any doubt about the transfer, it should be aborted. The safety of all staff is paramount at all times.

SSB1.5 Launching Vessels with Vehicles

General

- 1) All drivers of any Authority vehicles must hold full DVLA licences and be 25 years of age
- 2) All drivers of Authority vehicles for the purposes of launching any vessel must be fully conversant with 4 x 4 vehicles, competent in towing a trailer and hold the necessary licence endorsements, if required, or be authorised by the CO or Deputy CO.
- 3) All staff must be trained in and follow correct manual handling techniques.
- 4) All staff must wear protective footwear whilst launching and recovering any vessel.

Launching and Recovery of Vessels from the Shore

Launching and recovery of vessels from the shore must only be undertaken upon the authorisation and instruction of the senior officer present on the day.

Authority vessels must not be launched or recovered at any site except those carrying specific authorisation.

- 1) Launching must only take place following a full risk assessment of the site. This should also include a full assessment of prevailing and projected weather conditions and the state of the tide. Such assessments will form part of a standardised 'check sheet' and the senior officer must be able to demonstrate that they have taken place.
- 2) The final decision to launch will be taken by the senior officer. If any crew member has concerns or queries these must be brought to the attention of the senior officer prior to launching. **If there is any doubt the launch must be aborted.**

- 3) Prior to launching and recovery of any vessel, staff must be fully briefed and if necessary de-briefed. The senior officer must be able to demonstrate that such briefings have taken place.
- 4) Operation of any vehicle during launching and recovery must only be undertaken by trained personnel.
- 5) Where any launch is conducted the officer responsible for releasing the RIB from the trailer will be in charge of the launch procedure, he must ensure verbal communication is maintained with all staff during the launch procedure.
- 6) The vessel must remain secured to the trailer until it is launched.

Towing

Whenever the towing of the trailer is undertaken the following checks must be completed:

- 1) Brakes Operational
- 2) Tyres correctly inflated and turning freely
- 3) Light board operational and secure
- 4) Number plate mounted and correct
- 5) Boat adequately secured to trailer and ancillary equipment safely stored
- 6) Bilge water removed
- 7) Propellers guarded where necessary
- 8) No additional equipment loose or stored in boat that would cause instability or overloading
- 9) Brake activation cord attached to vehicle and 'deadman's' chain secured
- 10) Jockey wheel raised and securely stowed.

Maintenance

It is the responsibility of senior management to ensure the vehicle and trailer are serviced in line with the manufacturer's recommendations. It is the employee's responsibility to ensure all maintenance and equipment checks are carried out prior to any launching procedure.

Safety Equipment

All mandatory pre-launch and post-launch checks must be completed for each trip detailed on respective lists. These lists contain detailed checklists on towing and maintaining the RIB and associated equipment, as well as detailed lists of all safety equipment and items to be carried on board the vessel for all operations. All safety equipment must, as a minimum, be checked and inspected on a monthly basis. It is the responsibility of the senior officer to ensure that such checks have taken place prior to launching.

SSB1.6 Launching & Recovering the RIB (NEG III)

Launching RIB from NEG III

- 1) Key personnel involved in launching and recovery operations are skipper, RIB coxswain and winch operator, both RIB coxswain and winch operator to be nominated by the skipper of NEG III and both to be fully trained and competent in the correct procedures.

- 2) RIB is only to be launched when skipper and RIB coxswain are satisfied as to the suitability of prevailing sea conditions.
- 3) All personnel must follow instructions given by the winch operator.
- 4) Before beginning launching operations, RIB coxswain and his/her crew must be fully dressed in all safety clothing and equipment and to have taken up their positions aboard the RIB, RIB engine must be checked and ready to start
- 5) When coxswain and crew are ready to launch, coxswain makes clear signal to winch operator to release safety clip.
- 6) When winch operator has received instructions to release RIB, he must use a bar to release pin, keeping well clear of quick release mechanism.
- 7) All clips, cables and shackles etc must be regularly inspected for wear and damage.

Recovering RIB from NEG III

- 1) When recovering, RIB to stand off astern of NEG III and await heaving line attachment.
- 2) Designated crew member to connect winch cable.
- 3) Winch cable to be made taught by winch operator and all personnel to be cleared of winching area (ramp)
- 4) RIB engine to be stopped at winch operators signal.
- 5) RIB occupants must stay aboard RIB until the RIB is fully secured on the NEGIII stern ramp.

SSB1.7 Patrol Vessels General Deck Work

- 1) When approaching the vessel from a pontoon care and consideration must be given in any conditions.
- 2) Quayside ladders are often in a neglected state, visual and physical checks should be carried out before descending or ascending any ladder.
- 3) There is to be no-smoking on the patrol vessel or RIB at any time.
- 4) Employees are not to venture onto the fore deck whilst the vessel is underway during inclement weather conditions except in an emergency situation and under the authority of the skipper
- 5) Whenever underway or making way a lifejacket must be worn whilst working on deck.
- 6) Items of equipment and ropes should be made secure at all times when operational.
- 7) All visitors to the vessel/s must undergo a Health and Safety briefing.
- 8) The radar and any other forms of radiation must be switched to standby when any person is aloft or entering a harbour or marina area.
- 9) When general maintenance work is to be undertaken on the wheelhouse roof, the vessel must be within the confines of any harbour or port, or where possible, anchored. Where working aloft is necessary at sea, a safety harness must be used to arrest any possibility of a fall from the roof.
- 10) During mooring/berthing operations staff must always ensure that they have on their person a fully functioning portable radio to enable full communication with the wheelhouse and follow the instructions of the skipper and do not make any ropes fast until instructed to do so by the skipper.
- 11) When disembarking the vessel, staff must ensure they do not jump/leap from the vessel at any time. Always use the access ladders provided.

- 12) All deck machinery including winches and haulers must only be operated by trained experienced staff in accordance with agreed operating procedures. A deck officer will be designated to oversee the safe operation of all equipment.
- 13) All staff and personnel including visitors must follow and comply with all guidance and instruction provided by the designated deck officer.

SSB1.7.1 Patrol Vessels Deck Machinery

ALL WINCHES MUST BE DE-CLUTCHED AT THE END OF EACH OPERATION.

ALL OPERATORS MUST BE AWARE THAT ANY SIMULTANEOUS OPERATION OF OTHER HYDRAULIC EQUIPMENT MAY REDUCE OR INCREASE THE SPEED OF THE MACHINERY THEY ARE OPERATING.

GENERAL SAFETY CONSIDERATIONS RELEVANT TO ALL HYDRAULIC WINCHES AND DECK MACHINERY

All winches and deck machinery are to be operated by trained, confident personnel only, is that you?

Are you fully conversant with this particular winch?

If you are not sure of the operation do not touch any winch controls

Never leave a winch running unattended

Never use the winch from a position where you are stretching to reach the controls.

Have someone else on the controls if necessary

Avoid loose clothing when in area of operation, be careful if using gloves to handle warp or chain

When winches are to be left under load for anytime both clutch and brake should be applied

A visual check should be made of all wires, chains, shackles and running gear before any operation, replace any frayed, stranded or worn equipment

If in doubt seek advice or do not proceed, do not take risks, this is dangerous machinery if not operated correctly in safe conditions

During winch operations particular attention must be given to the load on your winch and to the positions of other personnel onboard the vessel, follow the instructions of the skipper at all times

Use of HIAB on board NEG III.

Only trained and competent employees are permitted to operate the HIAB onboard NEG III using the following operating instructions and they must ensure that all safety and cut-off devices are identified, working and activated:

- 1) The HIAB onboard the NEG III will be tested in line with the certification of lifting equipment regulations and any ancillary equipment has also been fully tested and certified.
- 2) Under no circumstances should the crane be subjected to loads that exceed the limitations shown on the capacity chart supplied with the crane.
- 3) In various places around the crane there are labels to remind of the restrictions, operating instructions, information and technical data. The

location of each is shown for familiarisation purposes. Pay attention to the information on the plates.

- 4) Wear proper personal protective equipment. Wearing of a safety helmet is mandatory
- 5) Carry out a visual check of crane before starting work.
- 6) Stop the crane immediately if any unusual noise is heard, or it functions incorrectly.
- 7) When operations are being carried out using a crew member to secure the load for lifting, it should be this person who gives the signals to be carried out by the operator. As soon as the task of securing the load has been completed, the assistant should move away from the operating area before the load is lifted.
- 8) At the end of crane operations make sure that the crane is stowed in its folded position.
- 9) Operators must always be mindful of the stability and safety of the vessel during any lifting operations.
- 10) Never walk or work under a suspended load.

Operation of trawl winches on board NEG III.

Only trained and competent employees are permitted to operate the trawl winches onboard NEG III using the following operating instructions and they must ensure that all safety and cut-off devices are identified, working and activated:

- 1) **Dog clutch.** This is not to be engaged whilst the main shaft or drum are rotating; the clutch is inched round using the controls and can be easily slid into engagement once the dogs are correctly aligned. For disengagement it is necessary to first apply the brake, and then separate the dog-faces using the reverse controls. The dogs will then easily slide out of the engagement. You will find it virtually impossible to disengage the clutch whilst the dog faces are under load.
- 2) **Manual brake.** This is used to hold any load whilst the winch is stopped. It is also used to pay off wire when shooting the gear, having first disengaged the dog clutch.
- 3) **Limit of travel.** There is no provision for limiting the extent of travel of the winch. Therefore the operator must stop the winch before the load contacts the winch frame. Serious damage may occur if this happens. Also when the load is fully paid out, at least six turns must remain on the winch drum.
- 4) **Guiding-on-gear.** Spool the wire evenly across the drums, trying to build up even layers. When the shackles arrive at the drums endeavour to place them where they will easily come off again. Do not use shackles too large for your gear as this may damage the rollers on the guiding-on-gear.

Anchor winch on board the NEGIII

Only trained and competent employees are permitted to operate the anchor winch onboard NEG III using the following operating instructions and they must ensure that all safety and cut-off devices are identified, working and activated:

- 1) **Safety Notes.** The anchor should not be deployed until clear instruction has been received from the skipper to do so. Operation of this winch must only be undertaken by two personnel. The second person is to be utilised only for observations and communications.
- 2) **Dog clutches.** These are not to be engaged whilst the main shaft or gypsy are rotating, the clutches are inched round using the control valve and can be easily slid into engagement once the dogs are correctly aligned. For disengagement it is necessary to first apply the brake, and then separate the dog faces using the control valve. The dogs will then easily slide out of engagement. You will find it virtually impossible to disengage the clutch whilst the faces are under load.
- 3) **Brakes.** These are used to hold any load whilst the winch is stopped. They are also used to pay off chain when using the anchor, having first disengaged the dog clutches.

Sounder winch on board the NEGIII

Only trained and competent employees are permitted to operate the sounder winch onboard NEG III using the following operating instructions and they must ensure that all safety and cut-off devices are identified, working and activated:

- 1) **Safety Notes.** The operation of this winch must only be undertaken by two personnel the second person is to be utilised only for observations and communications. The operator must ensure that the deck area is clear of all personnel and any potential hazards prior to commencing any operations.

This winch is not clutched and is therefore permanently engaged any movement of the control will result in movement of the winch. There is no mechanical brake on this winch, it is braked hydraulically. The guide on gear is fully automatic on this winch and will move each time the main control is operated.

- 2) The winch control is variable speed in both forward and reverse.
- 3) The wire is slacked away by reversing the winch, do not reverse at excessive speed as this will result in the wire becoming fouled on the drum
- 4) Tension must be kept on the wire at all times to eliminate the gear going fouled.
- 5) This winch has by far greater pulling capacity than the wire has breaking strain so attention must be given to load at all times
- 6) This winch has a hydraulic brake. When the winch is in stop position it will be braked automatically.
- 7) Extreme care must be taken not to damage the cable during operation.

Use of pot/ Net hauler on board the NEGIII

Only trained and competent employees are permitted to operate the pot/net hauler on board NEG III using the following operating instructions and they must ensure that all safety and cut-off devices are identified, working and activated:

- 1) Do not rely on the hauler to hold a suspended load for any length of time; these must be tied off securely to a strong point.
- 2) Great care should be taken if fouled equipment is hauled to the surface.
- 3) Reversing the hauler may cause the rope to release suddenly from the vee wheels, this operation should be only be done at slow speed.
- 4) Ensure any rope on deck is well away from the operator and cannot snag a foot on sudden release.
- 5) **When working fishing gear** crew members are to be aware of hazards that come with retrieving or shooting of the said gear and where practicable observe safe manual handling techniques and practices.
- 6) **When using the hauler to work survey pots all crew members involved should be familiar with and adhere at all times to the supporting Standard Operating Practice.**
- 7) Avoid the use of gloves where practicable whilst using the hauler.
- 8) Do not use loose clothing when operating the hauler.

SSB1.8 Patrol Vessel Engine Room

- 1) The engine room vents should be opened before entry into the engine room is permitted.
- 2) Machinery is not to be operated unless manufacturer's safeguards are in place. Machinery (engines) should be allowed to cool before any work is undertaken and safety gloves worn, except in emergency circumstances.
- 3) Equipment (electrical or mechanical) should be isolated and power turned off before any work is undertaken.
- 4) Employees must ensure they have no loose clothing, when in the vicinity of machinery.
- 5) Ear defenders are to be worn in the engine room when the engines are running.
- 6) Non-slip safety footwear is worn at all times.
- 7) A regular maintenance regime is in place and is followed to ensure valves/machinery/engines are working correctly and all alarms are tested.
- 8) Only trained and competent staff members as determined by the skipper should undertake any maintenance work within the engine room.
- 9) The engine room should be kept clean and tidy and free from any oil/fuel spillages which should be immediately cleaned up.

SSB1.9 Working on board vessels

- 1) Beware of sudden unexpected vessel movements when derricks are raised or lowered, or when a weight is being swung.
- 2) Sharp, pointed net gauges and knives can be dangerous items when clambering over vessels. All such items should be placed in a strong bag or safe pockets.
- 3) Particular care must be exercised when fishing gear is being handled on the vessel, or fish boxes are being loaded/unloaded.
- 4) Once aboard, always stand well clear of all gear and machinery on deck, whether or not it is working - it may start up unexpectedly.
- 5) Never straddle a rope or wire - it may unexpectedly come under tension. Never stand in a bight of any rope, wire and chain. Always avoid slack wires laid on

deck between two bollards, sheaves or blocks. (If the wire should come under sudden tension, a person's legs can be whipped from beneath them with possible severe injuries).

- 6) Beware of the dangers of walking on slippery hatch covers or on hatch boards which may not be properly secured over a deck opening. Always check that hatch covers are clipped back or otherwise secured, before descending into a fish or net hold.
- 7) When inspecting any hold, always have a member of the crew to assist you.
- 8) Trawl nets, fish boxes, containers, and other heavy objects should, where possible, be lifted in such a manner which conforms to manual handling techniques and where possible assistance should be sought.
- 9) Be aware of fire hazards and always ensure that a quick exit route from the vessel is available.

SSB1.10 Driving at Work

Employees have a duty to ensure that the activities they undertake whilst driving are safe and do not pose a danger to other road users. Where at all possible and/or practicable Officers should seek to 'car share'.

Use of Authority Vehicles

- 1) The Chief and Deputy Chief Officers are responsible for ensuring that all Authority vehicles are serviced and maintained in line with the manufacturer's recommendations.
- 2) Any employee using the vehicle shall be responsible for ensuring that before use a relevant Weekly Inspection Sheet has been completed.
- 3) All use of the vehicle is to be authorised by a senior manager.
- 4) Any employee using any Authority vehicle, is required to complete all necessary documentation in full. Any faults suspected or detected by an employee must be reported to the senior manager immediately. An entry must be made in the vehicle log book, **and where any fault may affect safety, then the vehicle must not be used.**
- 5) Any employee involved in a traffic offence or accident, either in their personal vehicle or Authority vehicles, or suffering any illness which may affect the ability to drive, or having been prescribed any medication, which may affect the ability to drive, must advise the CO, Deputy CO or line manager as soon as is practical.
- 6) Before using the four wheel drive capability of the Vehicle, or taking the vehicle into an off road situation, employees must be conversant with the correct and safe handling of the vehicle in that situation.
- 7) All drivers must be 25 years of age or over unless given express consent to operate that vehicle by the Chief or Deputy Chief Officer.
- 8) Employees will abide by the provisions of the Highway Code at all times.
- 9) Employees must comply with annual driving licence checks and any associated insurance requirements.

Use of All Terrain Vehicles

Only officers that have received the appropriate training in the operation and use of ATVs are authorised to use them to support NEIFCA operations and must observe the following safe working practices:

- 1) When using ATVs suitable head protection must be worn at all times (with the exception of vehicles fitted with a fully enclosed cab). A motorcycle helmet which meets BS6658 should be worn. The helmet should be comfortable and not restrict breathing. All straps should be intact and undamaged. The helmet should be checked for any visible signs of damage. On detection, damage should be reported to the relevant line manager.
- 2) Eye Protection consisting of a visor or safety glasses to EN 166 should be worn to protect against dust particles and flying insects (with the exception of vehicles fitted with a fully enclosed cab).
- 3) Protective boots must be worn with grip and ankle support which complies with EN345-1 during loading/unloading of the ATV (with the exception of vehicles fitted with a fully enclosed cab).
- 4) Ensure gloves are available to protect against wind chill in cold weather
- 5) Ensure suitable outer garments are worn appropriate to the weather conditions on the day, suitable waterproof clothing should be carried at all times.
- 6) Ensure drinking water is available to prevent dehydration.
- 7) A first aid kit should be carried at all times. The user should be trained in first aid in line with NEIFCA safe working practices document.
- 8) A VHF Radio, PLB, mobile phone, foot pump, puncture repair kit and extra fuel must be present when working intertidally.
- 9) A folding shovel and boards are provided in case of bogging.
- 10) A check list must be completed prior to each occasion any ATV is used. For multi operator vehicles a means of stopping use by other riders when a check has revealed a fault is useful, eg DO NOT USE tag for over key slot
- 11) When leaving any ATV on the foreshore officers must ensure that it is parked beyond the high water mark and should not be left in idle for prolonged periods.
- 12) Any ATV operations invoke the Authority's lone working procedures. **Officers must use ATV's in pairs only, there must be no single officer use.** The lead Officer responsible for the operation of the ATV must supply the following information to the designated Lone Working contact:

- Start time
- Journey Plan, to include detailed location and passage information
- Estimated Time of return
- Purpose

Information must be of sufficient detail to enable emergency services to initiate a search.

Use of Officers Vehicles

- 1) Employees will abide by the provisions of the Highway Code at all times.
- 2) Vehicles must have a current MOT certificate, current Road Tax, Business Use Insurance and be roadworthy at all times.

- 3) Any employee will be responsible for checking and ensuring the safe operation of their vehicle before use.
- 4) Employees must comply with annual driving licence checks and any associated insurance requirements.

Excessive Mileage and Fatigue

- 1) When undertaking long journeys, employees should, when practicable follow the guidance contained within the Highway Code.
- 2) Where normal work patterns are disrupted i.e for shore officers attending NEGIII. If the expected working day exceeds 12 hours and 250 miles travelled, then officers should make alternative accommodation arrangements, by either travelling up the previous day and staying in accommodation overnight or seeking accommodation following the working shift.

Weather Conditions

Consideration should be given when making any journey as to the weather conditions. If any concern exists then this should be relayed to the relevant senior manager. i.e attending NEG III in winter then seek advice from the Offshore Operations Manager or First Mate otherwise seek guidance from the immediate line manager, on the day in question.

SSB1.11 Surveying Shellfish Beds

- 1) Prior to surveying on any shellfish bed, the Lone Working Procedure must be implemented irrespective of the number of people engaged in sampling.
- 2) There will be a designated officer in charge of the sampling and a minimum of 2 people are required for any survey. When engaged in sampling employees should ensure that they work in pairs as a minimum requirement. The designated officer should ensure that all necessary safe working practices and equipment are in place.
- 3) Access to and from beds must be taken using established tracks/exit routes. Avoid areas of unstable substrate when moving across the beds.
- 4) The designated officer should assess the likely weather conditions to ensure no severe weather is expected that could increase the risks highlighted in the risk assessment i.e Fog/Precipitation.
- 5) The tide times should be verified and work/surveying should only **occur 4 hours before LOW WATER.**
- 6) Each person engaged in surveying should have a work issue mobile phone and coverage from the network verified. The phone must be fully charged and all associated operational software, such as tracking and lone working facilities, must be fully activated.
- 7) The following safety equipment must be taken:
 - ❑ First Aid Kit
 - ❑ Fully functioning mobile phone
 - ❑ 1 Handheld GPS
 - ❑ Life jacket
 - ❑ Waterproof/warm clothing for each person.
 - ❑ Hand held compass

- ❑ Hand-held VHF

SSB1.12 Operation of Vessels at Sea

NEG III Manning Requirements/Qualifications

In Harbour Movements:

- 1) When the vessel requires moving within the boundaries of any harbour, for example to take fuel, or re-mooring, there must be a **MINIMUM CREW OF 3**.

Vessel movement outside any harbour boundaries

- 1) This will include routine sea patrols, sea trials, passage voyages etc. There must be a **MINIMUM CREW OF 3 – which must include the skipper, 1 full time crew member and a competent other**.
- 2) When there is a requirement to carry out boardings of other vessels there must be a **MINIMUM CREW OF 4**

The Patrol Boat Skipper or relief skipper must be suitably experienced and qualified to coding requirements.

Stand Alone Vessel Manning Requirements/Qualifications

Stand Alone Vessels

Only vessels certificated under the Workboat Code can be used as Stand Alone Vessels.

For any activity undertaken by the vessel there will be a **MINIMUM CREW OF 2, 1 during boarding operations.**

All coxswains of stand-alone vessels must be qualified to RYA advanced powerboat certification unless under the supervision of a member of staff holding an advanced power boat certificate.

When RIBs are engaged in ‘mother/daughter’ operations with NEG III a minimum crew of 1 is permitted.

Maintaining a Navigational Watch

The skipper of each vessel (NEG III/RIB) will ensure that watch keeping arrangements are adequate for maintaining a safe navigational watch.

Watch Arrangements/Look Out

The composition of the watch shall at all times be adequate and appropriate to the prevailing circumstances and conditions and shall take into account the need for maintaining a proper lookout.

Fitness for Duty

The watch system shall be such that the efficiency of watch keeping officers is not impaired by fatigue.

Navigational Duties and Responsibilities

- 1) The helmsman shall keep his watch on the bridge which he shall under no circumstances leave until properly relieved.
- 2) The helmsman will continue to be responsible for the safe navigation of the ship, despite the presence of the skipper, until the skipper informs him that he has assumed responsibility and this is mutually understood.
- 3) The helmsman will notify the skipper when in any doubt as to what action to take in the interests of safe navigation or vessel safety.

Safety Equipment

- 1) All employees must be trained in the use of safety equipment. Once trained they must use all items of safety equipment and protective clothing relevant to their duties.
- 2) They must identify all safety gear stowage points aboard the patrol boats, to enable a quick and concerted action in the event of an unexpected emergency.
- 3) It is the employees own responsibility to ensure that he/she is adequately equipped for particular duties. They must also ensure that official equipment in their care is regularly serviced and maintained, e.g. automatic lifejackets.
- 4) If any equipment is found to be defective in any way, it must immediately be reported to the Offshore Operations Manager, First Mate, DCO or CO for renewal or repair.

Maintenance

It is the responsibility of senior management to ensure all maintenance regimes are followed in their respective work area. Additionally, it is the responsibility of all staff to ensure all items of equipment/machinery are in working order prior to any activity being undertaken. Any defects must be reported immediately and if necessary operation of vessels should be aborted until such problems are rectified.

Weather Conditions

The skipper shall assess the weather conditions before any planned voyage/trip, to ensure the safety of the vessel and crew.

SSB1.13 Surveys Onboard Fishing Vessels

- 1) Prior to undertaking any surveying, the Lone Working Procedure must be implemented irrespective of the number of people engaged in sampling.
- 2) Officers must wear non-slip footwear and a lifejacket.
- 3) Each person engaged in surveying should have work issue mobile phone. The phone must be fully charged and all associated operational software, such as tracking and lone working facilities, must be fully activated.
- 4) Officer(s) should satisfy him/her/themselves that the vessel being used to survey from is in good sea worthy condition, has a reliable and well known skipper and has the necessary safety equipment on-board and a relevant MCA Code of Safety Inspection.
- 5) Officers should satisfy themselves that the vessel chosen is going to sea in weather/conditions that are suitable. **If there is any doubts on any safety related issues and or conditions the survey should be aborted immediately.**
- 6) The following equipment must be taken:
 - ❑ Personal EPIRB
 - ❑ Warm/waterproof clothing

SSB1.14 Inspecting Premises

- 1) When inspecting any new premises officers must identify themselves and fully explain to the manager/owner the purpose of the inspection and powers under which the inspection is being undertaken
- 2) Officers must always have in their possession a fully operational work issue mobile phone. The phone must be fully charged and all associated operational software, such as tracking and lone working facilities, must be fully activated.
- 3) When working outside of normal work times 2200- 0400 Officers must implement the Lone Working Procedure.
- 4) Officers must wear non-slip, safety footwear and protective clothing appropriate for the premises being inspected.
- 5) Prior to entering any premises Officers should ensure that they are wearing appropriate gloves, face and or head coverings.
- 6) When inspecting cooked/uncooked products officers must take suitable precautions as advised by the owner in order to prevent cross-contamination of food products.
- 7) When measuring shellfish or whitefish ensure the correct handling procedure is followed,
- 8) Any objects such as trawl nets, fish boxes, containers and other heavy objects should be lifted in accordance with manual handling techniques.
- 9) Be aware at all times of any machinery operating such as forklifts, always conduct inspection of fish in safe location.

- 10) Employees must familiarise themselves with the premises emergency procedures in case of fire etc.
- 11) Never enter a cold room or freezer unattended and always ensure the door cannot be closed behind you.

SSB1.15 Inspection of Person/s

All officers will at sometime during the course of their duties inspect person/s unknown to them. In such circumstances Officers must follow the procedure below:

- 1) Officers must always have in their possession a fully operational work issue mobile phone. The phone must be fully charged and all associated operational software, such as tracking and lone working facilities, must be fully activated.
- 2) When working outside of normal work times 2200 – 0400 Officers must implement the Lone Working Procedure (LWP).
- 3) When operating in any location, officers must risk assess the potential for any violence and implement the LWP (SSB4), where any doubt exists the LWP must be invoked and standard issue protective vest worn.
- 4) When operating against person/s who are known to the Authority as being a threat to officers safety the LWP must be invoked.
- 5) Where a new person is inspected by officers and any concerns are raised, the officer must liaise with senior management who will liaise with the Police to obtain any relevant information on the threat this person may pose.
- 6) WHERE ANY THREAT OF VIOLENCE EXISTS OFFICERS MUST LEAVE THE AREA IMMEDIATELY, SAFETY OF STAFF IS PARAMOUNT.

SSB1.16 Inspection of Vehicles

- 1) Officers must always have in their possession a fully operational mobile phone. The phone must be fully charged and all associated operational software, such as tracking and lone working facilities, must be fully activated.
- 2) When working outside of normal work times 2200 – 0400 Officers must implement the Lone Working Procedure (LWP).
- 3) If officers are unsure about the nature of the person being inspected they must implement the LWP for the course of the inspection.
- 4) When inspecting any vehicle ensure the engine is switched off and request that the key is removed.
- 5) Before commencing any inspection request that the handbrake to the vehicle is engaged.
- 6) Always request the driver to accompany you during the inspection.
- 7) When inspecting refrigeration units always ensure the door is locked open and that the driver accompanies you at all times. Ensure you have warm clothing.
- 8) When accessing a vivier lorry/van ensure the threat of fall is removed by using suitable access provisions.
- 9) Be aware at all times of the environment surrounding you, conduct the inspection in a quiet location away from the threat of other traffic/vehicles.
- 10) If following a vehicle, officers must ensure they abide by the Highway Code at all times.
- 11) Do not use your vehicle to block any vehicle in.

- 12) Do not follow vehicles into remote locations where the threat of isolation exists.

SSB1.17 Use of Mobile Phones

General Use

- 1) When working, all officers must ensure that their work issue mobile telephones are switched ON, fully charged, operational and all associated operational software, such as tracking and lone working facilities, fully activated. During work time phones should only be switched off during the following circumstances (Paragraphs (2) to (4)).
- 2) When using a mobile telephone, Officers must ensure that they conform to the Road Vehicles [Construction and Use] [Amendment] [No 4] 2003, which prohibits the use of hand held devices whilst driving. A copy of this regulation and its guidelines is available to all staff
- 3) At all other times Officers shall assess whether the use of a Mobile Telephone could cause distraction which may affect the officer's safety or that of any other person or property. If the officer feels that any such risk is possible then the Mobile Telephone should not be used or switched off.
- 4) When attending Staff/Authority Meeting's, Magistrates Court, Crown Court or Training Sessions etc. Mobile Telephones should be switched OFF. If a possibility of accidental connection exists then the battery of the Mobile Telephone should also be removed.

Message Service

- 1) Officers must ensure that during working hours if their Mobile Telephone is switched OFF a voice mail or message service is functional on their phone.
- 2) During the course of a normal working week (Monday-Sunday) whilst not on duty and the officers Mobile Telephone is switched OFF, provision must be made for a voice mail message service to be functional on their Mobile Telephone.

SSB1.18 Operation of Drones

Pre-Flight Checks

- 1) Environmental conditions must be assessed before any drone activity is undertaken. Check the local weather forecasts before travelling to site and reassessing once at the site and during flight operations.
- 2) Where possible check for any known aircraft that might be operating in the area.
- 3) Only the 'Splash Drone 3+' model should be operated from a vessel.
- 4) Ensure drone and controller batteries are fully charged before flying using battery tester if necessary. It is dangerous to fly the drone with low power. This could result in damage to the battery and risk of the drone crashing.
- 5) Make sure all electrical fittings are fully connected and secured.
- 6) Take care when installing or removing propellers to prevent cutting or scratches to hands.
- 7) Check all propellers to ensure that there is no damage, they are correctly installed and securely fastened.

- 8) Ensure the drone camera is properly secured before each flight. If calibration is required make sure you have sufficient space before completing the process with reference to the appropriate manual.
- 9) Prior to take-off ensure that the drone has a minimum connection to at least 9 satellites
- 10) It is strictly forbidden for any operator to handle a drone whilst under the influence of alcohol or drugs.

Take Off

- 1) During take-off, when operating from land, any drone should be placed in GPS mode and on the ground at a distance of 50m from the operator.
- 2) Ensure due care and attention is paid to sea state and vessel manoeuvres when operating a drone in an offshore environment. The operator must be safely positioned on the boat away from open sides or hazards.
- 3) When powering on the controller make sure all switches are in the upwards position. Test and ensure the controller has a good connection with the drone before take-off.
- 4) Whilst the drone is completing the power on auto check the operator should keep the drone stationary and when operating from land, ensure it is positioned in an open space away from the operator and others.
- 5) The operator should stand upwind and to the side of the drone during take-off and landing or when operating from a vessel, ensure the vessel is positioned upwind of the drone's location.
- 6) During take-off, flying and landing the operator should take note of wind direction and speed in relation to the vessel or location at all times and then plan and proceed accordingly.
- 7) The option of take-off or landing from hand should be generally avoided with other safer options taking preference. Where take-off or landing from hand is carried out the correct PPE including a helmet with face shield and suitable gloves must be worn by the handler. The handler should use an outstretched arm and be cautious to keep to drone away from the body until motors have come to a full stop

Flight

- 1) During flight it is important to constantly monitor the battery voltage as flying conditions like strong winds and fast movements can deplete the battery rapidly. If the battery power falls below 14v the drone should be safely landed and recovered.
- 2) The operator should follow the rules of the UK Drone Code at all times whilst flying.
- 3) In an emergency crash landing the operator should stop the motors by pushing both joysticks down and outwards. This will reduce chance of damage or injury.
- 4) The operator must maintain eye contact with the drone at all times and should not operate the drone in low light or low visibility conditions.

Landing & Post Flight

- 1) When operating offshore the drone should be landed against the wind.

- 2) After landing the operator must ensure the motors have fully come to a stop before handling the drone.
- 3) When operating offshore and retrieving the drone from the sea the operator and or assistant must ensure safe footing is maintained and correct equipment is used (boat hook). Follow Safe Systems of Work Boarding/Disembarking Vessels at Sea (SSB1.4)
- 4) Following any use the drone and camera should be rinsed in fresh water to prevent corrosion paying special attention to the motors, gimbal parts and mounting brackets of the landing gear.

Storage

- 1) If drone is out of action for an extended period the operator should store the drone in dry and ventilated environment in a temperature of 20-28C.

SSB1.19 Medications at Sea

- 1) In certain circumstances, such as chronic illnesses, a duplicate medication should be carried at all times. (E.g. Relief medication such as inhalers that relieve the symptoms of an asthma attack are needed on an ad-hoc basis with little warning) In relation to such medications:-
- 2) (a) One set should be carried in a waterproof container stowed in a secure compartment on satellite and shore launched vessels *and/or*-
 (b) In the case of NEGIII duties, a mutually agreed safe place known to the individual requiring the medicine and the master of the vessel.
 (c) Depending on the medication, a duplicate must be carried on the person requiring the medication at all times. Particularly, if the individual is onboard the land based rib or NEG III satellite vessels undertaking patrols/boardings.
- 3) The Master of NEGIII and/or lead officer in the case of shore launched vessels/NEGIII satellite vessels must be made aware of any medication carried, whether duplicate or not. No sea going duties are to be undertaken unless essential medication is present and in the case of mechanical administering devices (such as an inhaler) are in full working order. Details given should include frequency of self administration and any special requirements pertaining to the medication.
- 4) It is the responsibility of the individual to ensure that he or she has the appropriate medication when undertaking sea going duties and that the master or lead officer is informed.

SSB 2 – Risk Assessments

The following generic risk assessments have been conducted for work activities undertaken by NEIFCA staff. These assessments are held electronically and are detailed in Annex 1 for information. Furthermore the electronic risk assessment is designed to be flexible and as new work activities are undertaken staff, in conjunction with senior managers, are responsible for ensuring any new task is risk assessed before work activity commences.

RA1	Surveying Shellfish Beds	RA11	Patrol Vessels Launching/Recovering RIB
RA2	Inspection of vessels/catch	RA12	Operation of RIB at sea
RA3	Inspection of Premises	RA13	Operation of NEG III at Sea
RA4	Inspection of Person/s	RA14	Driving at Work
RA5	Inspection of Vehicles	RA15	Intertidal Survey Work
RA6	Lone Working	RA16	Operations of Drones
RA7	Surveys	RA17	Operations of Drones
RA8	Launching of RIB with Vehicle and Trailer	RA18	Mandatory Stab Vests
RA9	Patrol Vessels General deck Work		
RA9a	Patrol Vessel Potting		
RA10	Patrol Vessel Engine Room		

SSB3 – COSHH Assessments

Any substances used in day to day operations are detailed within the NEIFCA COSHH Assessments Files which are held centrally at the Town Hall, on the Patrol Vessel NEG III and at storage facilities. Officers must ensure that before using any substances, they must refer to the COSHH Assessment Files and take any necessary precautions as identified within each substances assessment. All new substances must be assessed before use, and the assessment retained in the relevant file.

SSB4- Violence, Challenging Behaviour and Working Alone in Safety

Verbal Abuse and Threats

- 1) All Staff will receive appropriate training on how to deal with difficult situations.
- 2) Any cases of verbal abuse and or threat to any employee must be reported to their Senior Officer and a detailed record will be kept and monitored using a specific report sheet held electronically in the Health and Safety File.
- 3) Where a pattern of threats or abuse is revealed, the Chief/ Deputy Chief will seek the advice of and assistance from appropriate agencies, and take any necessary action.

Physical Assault

The Authority will adopt the following procedure as appropriate where:-

- A physical attack can be reasonably foreseen in the future from a potential aggressor:
- A physical attack has taken place:
 - Call the Police [Ambulance if required]

- ❑ Report the incident to a Senior Officer verbally.
- ❑ Liaise with the police, be prepared to make a Statement, and obtain a crime number.
- ❑ The Senior Officer will decide on any other immediate action thought necessary in the interests of safety.
- ❑ Complete written report regarding the incident.
- ❑ Liaise with Hospital or GP, if appropriate obtaining written evidence of injuries if possible.
- ❑ Counselling will be offered to Staff where necessary.

Lone Working Procedure

This procedure has been developed in order to improve communications and provide support to employees who are engaged in lone working. Although there may be occasions when employees other than lone workers would benefit from using this system, for example, employees working outside normal office hours (2200 – 0400).

Lone working is an integral part of NEIFCA officers/employees operations and, as an employer, NEIFCA recognises that lone workers face particular problems due to the nature of their work and will not require officers/employees to work alone where this results in unacceptable risks. Management must therefore assess the risks its lone workers face and wherever possible should strive to remove or reduce risks to an acceptable level.

To ensure success of this procedure and thus maximise the safety of all NEIFCA officers/employees there needs to be full co-operation of all staff in the implementation of the procedure.

Identifying Lone Workers

NEIFCA management has undertaken a risk assessment of all work activities and identified areas/tasks undertaken in the course of officers duties which pose possible hazards, the consequences of those hazards, the risk factors and the control measures to be implemented in order to reduce the risk to Authority employees.

As part of that risk assessment areas have been identified which pose a possible risk in terms of lone working/workers. It is important to be aware that the risks associated with lone working are not associated only with individuals. Small groups working in remote locations can experience some of the risks associated with lone working- for example, If during a survey on a shellfish bed one of them suffers injury and the group needs to divide to get assistance.

Below is a table, which identifies through the NEIFCA Risk Assessment, areas which are classified as lone working.

Identified Lone Working Activities

LW1 - Surveys on Shellfish Beds
LW2 - Working in Identified locations
LW3 - Working outside of normal office hours 2200-0400
LW4 - Surveys on board fishing vessels
LW5 - Use of Stand Alone Vessels

LW6 - Any situation/location suitably assessed by officer

Shore Based Lone Working Procedure

- 1) Officers/employees must ensure that they carry a reliable means of communication at all times (work issue mobile telephone). All phones must be fully charged, operational and all associated operational software, such as tracking and lone working facilities, fully activated.
- 2) Officers/employees must ensure that before undertaking any lone working procedure (as identified) they have read the relevant NEIFCA Risk Assessment/Safety Services Booklet. Officers/employees must also ensure they have all the relevant equipment identified for the task they are to undertake.
- 3) Lone workers must log on at the beginning of the identified work activity and log off when the activity ends. The procedure laid out below must be used for logging on and off.

Logging On/Off

- 1) During all hours, officers should must log on verbally with their respective senior manager using one of the following numbers:
 - Offshore Operations Manager 07879815464
 - Senior IFCO 077787859736
 - Senior Environmental & Scientific Officer 07810637297
 - First Mate 07867910409
- 2) Once contact has been made then they should be informed of the following information:
 - ☐ Location
 - ☐ Expected activity
 - ☐ Expected finish times
 - ☐ Intended frequency of contact
- 3) The officer must agree the frequency of contact with the contact officer covering the duration of the lone working period.
- 4) Once logged on, lone workers must make contact at the agreed times. FAILURE TO DO SO MAY RESULT IN THE SEARCH PROCEDURE BEING ACTIVATED.

SSB5 – Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR)

Accident and Incident Reporting

All accidents, or incidents involving dangerous occurrences and/or near misses shall be reported. The Operational Support Manager shall ensure that systems and procedures are in place to monitor and record all incidents.

The procedures to be followed for reporting and recording such events are contained within the 2 flow charts:

- 1) Accident Reporting Procedure (HSE)
- 2) Accident Reporting Procedure (MAIB)

These procedures are set down by law for reporting and recording all accidents and incidents either terrestrially (HSE) or at sea (MAIB).

Accident Reporting Procedure (HSE)

NEIFCA accepts that the Health and Safety at Work etc. Act 1974, the Management of Health and Safety at Work Regulations 1999 and the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 and other statutes place a duty on it to ensure that accidents and incidents are recorded and investigated.

All accidents and incidents should be investigated and recorded to ensure future work activities are modified accordingly to ensure a safe working environment. The 'Accident Reporting Procedure (HSE) Flow Chart' contains the relevant procedures to be followed in reporting and recording all accidents and incidents within the terrestrial work environment.

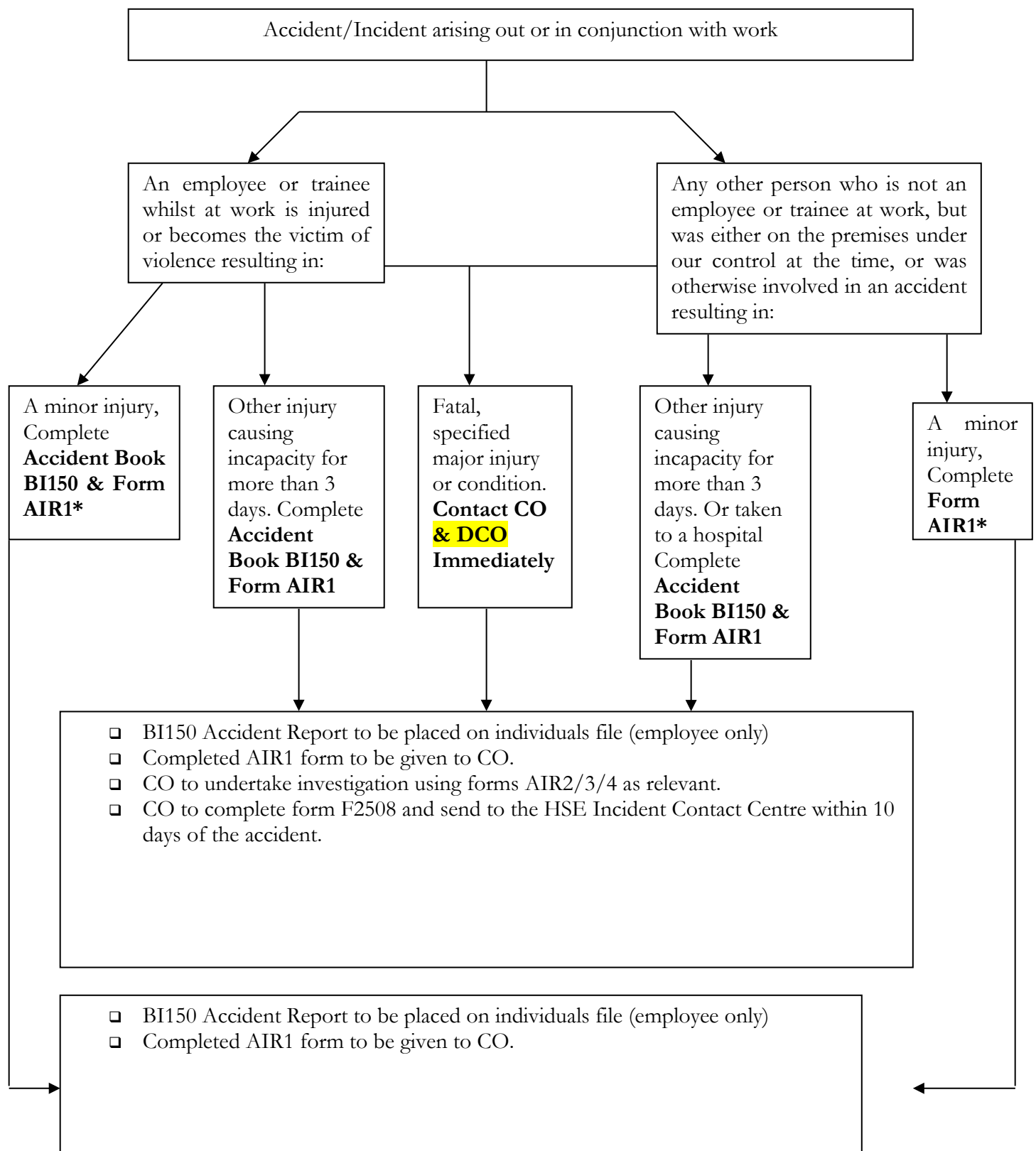
Accident Reporting Procedure (MAIB)

NEIFCA accepts that the Merchant Shipping Act 1995, and the Merchant Shipping (Accident and Reporting Regulations) 2005, place a duty on it to ensure that accidents and incidents are recorded, reported and investigated.

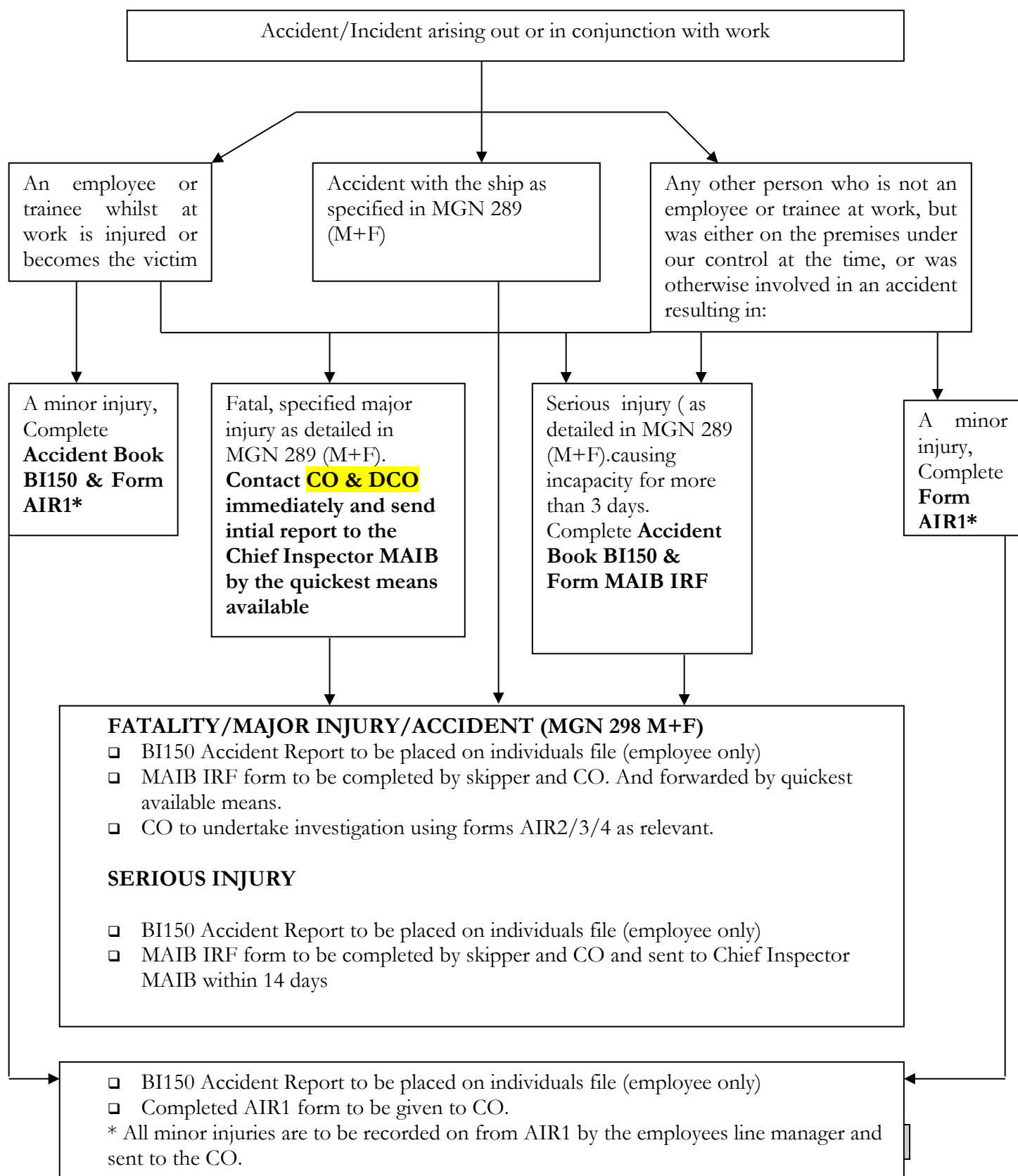
All accidents and incidents should be investigated and recorded to ensure future work activities are modified accordingly to ensure a safe working environment. The 'Accident Reporting Procedure (MAIB) Flow Chart' contains the relevant procedures to be followed in reporting and recording all accidents and incidents within the marine work environment.

ALL RELEVANT REPORTING FORMS ARE HELD ELECTRONICALLY AND WILL BE SUPPLIED TO LINE MANAGERS.

Accident Reporting Procedure (HSE) Flow Chart



Accident Reporting Procedure (MAIB) Flow Chart



Procedure for Assessments

STEP 1

All staff who use a computer are to complete a **'User Assessment Form'**. This is to ascertain if the member of staff is classed as a 'habitual user', and thus falling into the scope of the regulations. 'Non users' need not proceed any further.

STEP 2

If the member of staff is clearly classed as a 'user' then he or she must complete the **'Workplace and Display Screen Assessment Form'**. Once this has been completed it should be returned to the CO.

STEP 3

As CO it is your responsibility to analyse the responses, and as far as is reasonably practicable, address any areas of concern. All assessment forms and details of actions should be retained and kept in the electronic 'Health and Safety' File.

STEP 4

The assessment process must be repeated when any of the following circumstances occur:

- A major change in hardware and/or software
- A major change in furniture, office environment, and/or relocation of the workstation
- A substantial increase in the users time spent at their workstation



Shellfish Potting Surveys

Standard Operating Practice (SOP)

Completed by: North Eastern Inshore Fisheries & Conservation Authority
(North Eastern IFCA)



V2 17 January 2022

North Eastern IFCA Document Control

Title: Potting Standard Operating Practice (SOP)

Version History

Version History			
Authors	Date	Comment	Version
Ian Davies			0.1

Yearly Review

Review		
Document	Date	Comment
Potting Standard Operating Practice	2022	First draft

This document has been produced by North Eastern Inshore Fisheries & Conservation Authority (North Eastern IFCA)

North Eastern IFCA
Town Hall
Quay Road
Bridlington
YO16 4LP

Tel: 01482 393 515 Email: ne-ifca@eastriding.gov.uk

Potting Standard Operating Practice

This practice covers Potting Operations and Data Logging for North Eastern IFCA only

Operation	Deployment and recovery of fishing traps
Equipment	Crustacean and/or Fish traps
Vessel	North Eastern Guardian III
Location	Back deck and wheelhouse

Personnel and Preparation

Total number required	5
Roles	Skipper Slave hauler operator, two persons receiving, clearing measuring and stacking and one person to record.
Communication	Establish communication between all parties including skipper and deck operators Ensure that abort commands are agreed and clearly understood by all parties STOP – Operation suspended but vessel movement through water may continue. OUT OF GEAR – Request to stop all vessel movement.
PPE	Check that all personnel are wearing correct PPE. Minimum for potting operations is gloves, life jacket, waterproof trousers and over jacket, steel toe capped boots and bump/safety helmet for the slave hauler operator.
Safety	All accidents or near misses must be reported

Prior to any operations commencing ensure the safety operating procedure (this document) and the risk assessment are in place. These should be reviewed against the specific conditions and equipment to ensure they are current and relevant.

Potting Standard Operating Practice

I Preparation

- I.1 Complete briefing (toolbox talk) prior to operation to cover safety aspects involved in the activity and each person's role within the process.
It should also be noted that the final decision as to whether a deployment will commence ultimately lies with the skipper. However, if at any point any person, i.e. due to adverse swell conditions, feels it unsafe then operations will stop and the situation reviewed.
- I.2 Data capture operator will synch the time on all computers and laptops to survey time (from the GPS).
- I.3 Skipper to ensure deck cameras are fully functioning and providing an unimpeded view of the after deck.
- I.4 Skipper to ensure hydraulic emergency stop at helm position is fully functioning
- I.5 Slave hauler operator to check that the hauler and all associated fixtures and fittings are fully functioning and in a safe working order.
- I.6 Deck crew to check that the baiting table is erected and safely secured, the railings gate is correctly fitted and secured, all rubber matting and deck protection is in place and secured and a general check for any additional hazards has been completed within and surrounding the working area.
- I.7 Prior to baiting and stacking, check each pot for holes.
- I.8 Bait each pot with the appropriate bait for the survey prior to stacking on deck.
- I.9 Deck crew will stack the pots in the order that they will be deployed. The order will be parlour pot first, two stacks of four and one stack on two on top of the second parlour pot.

2 Hauling pots

- 2.1 The skipper will inform the crew which way the pots will be hauled. Hauling will be either into the wind or tide, whichever has the strongest influence to maintain the vessel back from the gear. It should be noted that the operation of the hauler requires sufficient tension on the rope to enable the sheeves to grip the backline.
- 2.2 One person will be responsible for hauling and operate the hauler.
- 2.3 As the vessel approaches the agreed end, the hauler operator/crew will direct the skipper to the surface marker and when in range will use either a grapnel to pick up the surface marker.
- 2.4 Once secure, the hauler operator will hand haul sufficient rope onto the boat to enable the rope to be passed over the block and then into the sheeves of the hauler.
- 2.5 The rope will then be hauled to the boat. As a leg or splice approaches the block, stop the hauler and lift the leg over the block guide.
- 2.6 Lift the pot by the bridle to the rail then transfer the pot to the table as sufficient rope is brought aboard.

- 2.7 Once the pot is on the table the pot is to be 'unbent' immediately and removed from the leg.
- 2.8 A minimum of two pots in any one fleet will be 'unbent' at any one time and any further adjustments can be made at the discretion of the slave hauler operator and skipper. This will be depend on varying factors such as water depth, tide and any other influencing conditions.
- 2.9 If the tension on the rope increases sufficiently to so stop the hauler turning, stop the hauler and ensure the skipper is aware so the vessel can be manoeuvred so lessen the tension.
- 2.10 If it seems that a pot is fast to the seabed, again, immediately stop the hauler and inform the skipper.
- 2.11 Carry out dynamic planning of how to free the obstructed pot. Any ropes under tension will be transferred to a strong point or fastening on the vessel to enable the obstruction to be freed. If all attempts fail the rope is then to be cut. If cutting the rope is the only option, ensure there is no tension on the rope when it is cut and that all crew other than those needed to safely cut the line remain well back. Once cut free, begin the hauling operation from the other end. Hauling from the other end may require the skipper to operate the engines to prevent the vessel overrunning the gear as it is being hauled.
- 2.12 The slave hauler operator will advise the deck crew when it is safe to 'bend' the pots back into the fleet. This procedure will continue until all the pots have been hauled, cleared and safely stacked for redeployment.

3 Shooting pots

- 3.1 Maintain clear communication between the skipper and deck crew throughout the shooting operation supported by live deck camera footage.
- 3.2 The skipper will alert the deck crew once on location by indicating with two signals on the deck intercom.
- 3.3 Shoot the pots before the tide with the rope kept tight so that the pots are evenly spaced.
- 3.4 On skipper's instruction, the deck crew will deploy the first dahn from the outside of the 'A' frame. This will assist in keeping the deck crew clear of pots, ropes and other associated hazards during the shooting operation. The pots to self-deploy as the rope becomes tight in between pots going overboard.
- 3.5 If all pots start to self-deploy, they must be left to do so. The skipper must be made aware immediately this happens. Once the whole string has deployed it can be hauled following the procedure in section 2.

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Committee
2 December 2021

Chief Officer's Operational Update

Report of the Chief Officer

A. Purpose of Report

To provide members with an operational update covering the period December 2021 to February 2022.

B. Recommendation

That Members note the report.

1. Overview

1.1 NEIFCA

Covid-19 Pandemic

Since the last update provided to members at the Authority meeting held on 2 December 2022 operational Covid-19 contingency planning has started to move into a transition phase towards more normalised activities. At the time of writing this report the government had just announced the lifting of all mandatory restrictions in England but infection rates remain high both nationally and locally and several staff members have now contracted and recovered from the virus although most have been fairly poorly. All NEIFCA operational staff are 'double' vaccinated which has provided some assurance as to the likely impacts on health and wellbeing if they become infected and most have now received a booster jab. An updated set of Covid 19 risk assessments and safe working practices have recently been issued to all staff. These have removed the emphasis on home working, observational activity and travelling singly in work vehicles. The updated guidance places a much stronger emphasis on taking a 'common sense' approach within the work environment going forward. As far as possible ascertaining health and fitness prior to entering the work environment and maintaining the guiding principles of hygiene, washing hands, avoiding facial contact, wearing face coverings in close contact situations and maintaining space and ventilation throughout the working day. Anybody that is unwell either prior to work should isolate at home and anybody who takes ill at work should return home as soon as possible and isolate.

Tees & North Yorkshire Shellfish Mortalities

At the Authority meeting held on 2 December 2021 members received a comprehensive briefing and update on the ongoing shellfish mortality event surrounding the Tees and

North Yorkshire Coast and the associated multi-agency response led by Defra. That update included contributions from key personnel from the Centre for Environment Fisheries and Aquaculture Science (CEFAS), the Environment Agency (EA) and the Marine Management Organisation (MMO). The most recent electronic update on the progression of the investigations was released during February 2022 and was circulated to members at the time and is attached to this report for information. That update identified the most likely cause of the event as a naturally occurring algal toxin. A further independent report, commissioned by the fishing industry and based on a full appraisal of all the data and information collated by the statutory agencies, has identified an anthropogenic derived chemical, pyridine, as the most likely cause of the observed mortalities. Pyridine was excluded at an early stage of the Defra led investigations because it was found in similar concentrations within a shellfish control sample taken off Norfolk and had not been picked up in any water column or sediment sampling surrounding the Tees Estuary. CEFAS Scientists have also advised that given the dilution effects of the North Sea the concentrations of pyridine required to produce such a sustained and widespread impact along the coast would make it a very unlikely cause. Alongside the independent report a formal complaint and vote of no confidence in both myself, the Deputy Chief Officer's response to the event was also received by the Clerk and a subsequent joint NEIFCA response was issued by both the Chair and Clerk. Copies of all associated correspondence were circulated to members at the time.

On the 9 February I represented NEIFCA at a Ministerial briefing meeting alongside colleagues from all the statutory agencies involved in the investigations and local MPs from the affected areas. The overarching consensus from that meeting was that the mortalities had been caused by algal toxin and the supporting evidence was presented alongside an extensive question and answer session.

Following the Ministerial briefing meeting at the beginning of February discussions within the Defra led response group had moved to scaling down the investigations and further developing a plan for next steps and how the affected industry might be supported moving forward. A few days later, however, NEIFCA officers received a new report from a Whitby based skipper that lobsters taken in his catch were displaying symptoms typical of the event including lethargy and 'twitching' behaviour with other specimens moribund in pots. The fishermen provided video footage and live samples of the affected lobsters which were dispatched by NEIFCA to the CEFAS fish disease laboratories in Weymouth for further analysis. Further intelligence reports have also been received relating to the presence of cysts on the livers of cod and whiting caught by recreational fishermen in the Redcar area which may or may not be related to the ongoing event. Weymouth have requested further samples as and when available. The new report from the Whitby skipper indicates that this event is not yet over although, despite the recent storms, no new 'washup' incidents have been reported. Importantly, Defra consider investigations remain ongoing including a commitment to receive further samples for testing and in the medium to longer term further work on the presence of pyridine in shellfish is planned.

NEIFCA operations have now moved from supporting the live investigations to gaining a knowledge and understanding of the extent of the impact that the event has had on local crab and lobster stocks. To inform that work I have asked the Environmental and Scientific Manager, Tim Smith, to produce a resourced forward plan. Elements of that plan will include a desk top review of monthly shellfish catch and effort returns supplemented by further data from the MMO; the completion of questionnaires at the point of landing in key ports; observer trips with fishing vessels operating in the affected area; working pots from NEG III at stations within the affected area and deploying baited and fixed underwater cameras. The resulting analysis and findings from the Authority's work will be

incorporated into a report for further consideration. This work will be developed in tandem with the Whitby Fishing Group and a first ‘face to face’ meeting is planned for 24 February 2022 although discussions have been ongoing with both the Chair and Secretary of the group since November 2021. The Authority’s response plan and associated work will also be considered at the next meeting of the Science Advisory Group scheduled for 4 March 2022.

1.2 **National**

The Environment Act received Royal Assent on 9 November 2021 establishing long term targets for air quality, water biodiversity, resourced efficiency and waste production. The act also established a new independent agency, the Office for Environmental Protection which will be charged with monitoring compliance against the legislation.

In terms of fisheries, current work streams continue to focus on the development of national fisheries management plans, a statutory requirement under the Fisheries Act. This work remains at an early stage and Defra have opened a number of working groups with key fishing industry sectors to facilitate direct engagement and input. In parallel, the national Association of IFCA’s is currently developing a range of projects aimed at galvanising the IFCA response to national work streams including fisheries management plans.

At the beginning of June 2021, Defra announced the government’s intention to advance the designation of a small number of Highly Protected Marine Areas (HPMAs). Consultation is now expected to commence on a list of potential pilot sites sometime this month (March 2022). Whilst it is possible, officers are not currently anticipating that any of these potential sites will be located within the NEIFCA district.

Under Section 183 of the 2009 Marine and Coastal Access Act the Secretary of State is required to report on the conduct and operation of IFCA’s at the end of every relevant four-year period. Defra have notified that such a report is required this year and will shortly be communicating plans on how that process will be facilitated. Since the inception of IFCA’s during 2010 two similar reports have been completed.

1.3 **Summary of meetings and events attended**

Humber Stakeholder Liaison Meeting	3 rd December 2021
Defra Shellfish Mortality Working Group	7 th December 2021
National Association of IFCA’s Members Forum	7 th December 2021
Humber Estuary Relevant Authorities Group	8 th December 2021
IFCA Chief Officer’s Group	9 th December 2021
National Association of IFCA’s Directors Meeting	14 th December 2021
Whitby Fishing Group	14 th December 2021
NEIFCA Staffing Meeting	16 th December 2021

CEFAS Seafood Innovation Meeting	20 th December 2021
Defra Shellfish Mortality Working Group	22 nd December 2021
Defra Shellfish Mortality Working Group	4 th January 2022
Defra Shellfish Mortality Working Group	11 th January 2022
IFCA Chief Officers Group	12 th January 2022
MMO NE Region TCG	12 th January 2022
Defra Shellfish Mortality Working Group	18 th January 2022
Defra Shellfish Mortality Working Group	25 th January 2022
Defra MAFCO Meeting	26 th January 2022
Defra Shellfish Mortality Working Group	1 st February 2022
Defra Shellfish Mortality Working Group	8 th February 2022
Ministerial Meeting Shellfish Mortalities	9 th February 2022
Science Advisory Group Pre-meeting	10 th February 2022
NEIFCA Budget Meeting	15 th February 2022
North East Regional Fisheries Group	15 th February 2022
IFCA Chief Officers Group	16 th February 2022
Defra Shellfish Mortality Working Group	22 nd February 2022
Whitby Fishing Group	24 th February 2022
Defra Shellfish Mortality Working Group	1 st March 2022
NEIFCA Science Advisory Group	4 th March 2022
Defra Shellfish Mortality Working Group	8 th March 2022
National Association of IFCA's Members Forum	8 th March 2022

Crab and lobster deaths along the North East coast – briefing document

February 2022

Summary of what has happened

- Dead and dying crabs and lobsters were washed ashore along parts of the North East coast between October and December 2021. The first reports were received by the Environment Agency (EA) in October, with reports of impacted crabs out to around 4/5 nautical miles.
- Crabs and lobsters were the only species that appear to have been affected by the incident. Dying crabs and lobsters displayed characteristic 'twitching' and lethargic behaviour.
- Defra took on overall responsibility for the Investigation from the EA, coordinating a multi-agency response, involving the EA, Cefas, NEIFCA, MMO, FSA and the UK Health Security Agency (UKHSA) to investigate what could have caused the event.
- A range of testing was undertaken after the incident had occurred, looking at potential causes including chemical contamination, phytoplankton blooms and disease. Activities in the area, such as discharges and dredge activity, were also considered but no link has been established.
- No conclusive explanation for the incident has been found, but more details of testing and modelling undertaken are set out in the document below. A harmful algal bloom may have caused the incident, with lines of evidence pointing to this.
- There is currently no evidence of a food safety risk from healthy fish and crustacea, including crabs and lobsters caught off the North East coast.
- Businesses should continue to ensure that food placed on the market is safe to eat and meets the relevant requirements in relation to food safety and hygiene.

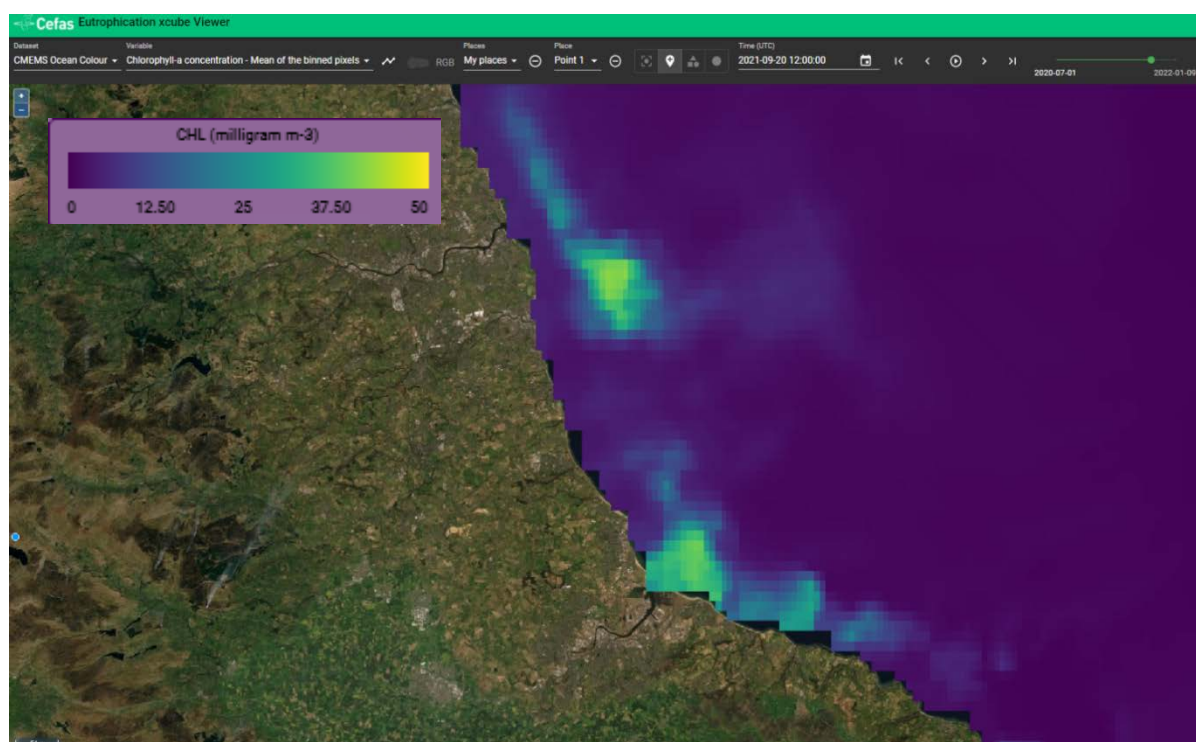
Latest updates – February 2022

- **Cyanide:** Sediment and water samples collected by the EA from the impacted area around Teesside in early October have now been screened for free cyanide. Results from these samples were below the detection limit of the test.
- **Pyridine:** The chemical pyridine was identified in the crab tissue from impacted areas. Further investigations by the EA established that pyridine was not present in water and surface sediment samples collected off the Tees, but was also detected at low to high levels in crab from non-impacted areas. As such, the presence of pyridine in crab is likely to be linked to biological processes (and not necessarily from the environment). More detail can be found in the section on pyridine below.
- **Dredging:** Cefas completed an indicative 2D tracking model of the potential sediment plume from the dredge disposal site. The model indicates that the plume extents are relatively confined along the tidal excursion at the disposal site and do not have the same geographic extent that would be consistent with the known mortalities.
- **Recent survey activity:** The EA's survey vessel, the Humber Guardian, undertook further testing (benthic invertebrate samples and epifaunal trawls) in the Tees bay area on 18 and 19 Jan. Onboard assessment of the samples showed no obvious impact on animals present in the area. In the epifaunal trawls, healthy swimming crabs (*Liocarcinus holsatus*) were present at 3-4 of the sites.

- At depth phytoplankton samples were also taken and have been sent to Cefas for analysis.
- The EA also commissioned preliminary rocky shore intertidal surveys, by Aquatic Environments, to coincide with low spring tides on 20 and 21 January. Having visited six shores it appears that there has been a significant impact on the 'true crab' intertidal populations. No shore crabs or swimming crabs were recorded within the known zone of the event, whilst healthy populations were seen outside the area. Shore hermit crabs and possibly squat lobsters appear to have been less affected by the event, as their populations appear to be recovering and they were found (sometimes in good numbers) on the shores in the south of the area. From the limited observations made on these single post-event visits, it appears that the rest of the 'rocky shore' ecosystem has survived intact. For example the limpet, barnacle, periwinkle and dogwhelk populations, all keystone species, seem to have been relatively unaffected by the event, as healthy populations were recorded on all of the shores.
- **Algal bloom:** Satellite data from two online platforms ([Eutro Viewer \(cefas.co.uk\)](https://eutroviewer.cefas.co.uk) & [s-3 EUROHAB](#)) show that an algal bloom occurred along the coastal area in question from 20 to 26 September (as shown in Figure 1) at high values, but persisting until 1 October, a week prior to the onset of the mortality event.
 - The bloom has unusually high values of chlorophyll (>40 mg/l) for the time of year, and sea temperatures were higher than normal (>15 °C until 26 September).
 - These conditions are conducive to the formation of a particular species of large biomass Harmful Algal Bloom (HAB) called *Karenia mikimotoi*. It has previously been implicated in lobster mortalities in the USA, by causing a crash in near bed dissolved oxygen.
 - Medium/high values of *Karenia mikimotoi* were detected in samples off the Beadnell Bay in early September. Low numbers were found in water samples at depth collected around Teesside in November.
 - Estimates of the effect such a bloom could have on reducing oxygen levels (as the microbial breakdown of dead bloom consumes oxygen) indicate that they could be locally significant and cause mortality directly under the bloom areas – but that effects would not persist beyond the storm that occurred on 6 October. This storm would then bring crabs or lobster that have died inshore, but the bloom would not be expected to last beyond this time.
 - Initially, samples of frozen dead crab and lobster were screened for two classes of marine algae-produced neurotoxins (ASP and PSP) which are known to have impacts on animal health within the marine food web. There was no evidence for these marine neurotoxins (domoic acid and saxitoxins) being present in the samples received at levels which would cause a concern.
 - Further samples of frozen dead crab and lobster from the early washup (8 October) were sent to the Cefas laboratory to be screened for additional algal toxins in light of the new information on the presence of the *Karenia* algal blooms. Additional analysis of the material (collected on 8 October, of dead crab and lobster from beaches) was conducted for toxins in the crab tissue (hepatopancreas / brown meat). Samples were subjected to methanolic extraction to assess the potential presence of brevetoxins – natural lipophilic toxins which have been reported in other countries as produced by various *Karenia* species of phytoplankton. Whilst brevetoxins were not detected, other lipophilic toxins were detected and quantified, specifically the diarrhetic

shellfish toxins okadaic acid and dinophys toxin 2. The significance of these findings in the context of the mortality event is not yet fully understood.

Figure 1- Image of algal bloom in impacted area and to the north on 20 September 2021



Next steps

- The various agencies will continue to collaborate and bring together the evidence that has been collected during the investigation.
- Government scientists will continue to study the long-term effects of the incident and the agencies will work with local fishers to address any concerns they may have.
- Stakeholders will receive future updates where relevant, via meetings and stakeholder/media briefings.
- The public and industry can report any dead or dying crabs and lobsters, or any other incidents of concern via the contact details below.
 - The public can contact the Environment Agency helpline on 0800 80 70 60
 - Industry should contact NE IFCA on:
 - 01482 393 515 or
 - ne-ifca@eastriding.gov.uk

What are the results of the investigation so far?

Pyridine

- As per the update at the top of this document, pyridine was identified in the crab tissue from impacted areas using a novel screening technique. The method provides a starting point only and was employed to screen for any indication of a contaminant that could provide a lead for further investigation.
- The EA used an adapted accredited water screening methodology developed for the identification of substances including Pyridine. In response to the seriousness of this incident the method was adapted for the screening of biota (flora and fauna) and sediment to provide as much information as possible about any potential chemical

pollution. It has to be recognised that the outputs are indicative as this is not a fully established/tested analytical method.

- Concentrations are regarded as 'low', 'medium' and 'high' relative values (across the samples) for interpretation purposes. The indicatively high concentrations in the first impacted crab samples immediately initiated several lines of investigation by the Environment Agency:
 - **Line of investigation 1:** It was assumed that pyridine was the cause and a potential source of the contaminant was sought. This included taking a formal water discharge sample (9/11/2021). No pyridine was found present. No source could be identified. (Note: As the impacted area and length of time of the Incident increased, with no dilution mitigation, a contaminant source became increasing improbable)
 - **Line of investigation 2:** Literature searches for information including the ecotoxicology and background levels of, and impact of, pyridine in crabs and lobsters, were carried out.
 - **Line of investigation 3:** Comparison crabs from outside the known impacted area were sourced to provide an indication of the 'background' levels of pyridine in crab tissues. Comparison crabs were obtained from St. Mary's Lighthouse, North Shields, Norfolk Wash (Eastern IFCA), Cornwall, and analysed using the same indicative screening technique. Levels found ranged from low to medium.
 - **Line of investigation 4:** Pyridine was analysed for in other materials in the area – water, sediment and blue mussels. Pyridine was detected at low levels by the screening method in blue mussels but not in the sediment samples. Pyridine was not detected in the water samples (note: the water screening methodology is an established and accredited lab method). Pyridine is readily soluble in water, and considered to be "mobile" in soil/sediments.
 - **Line of investigation 5:** A laboratory pyridine standard was obtained to validate that the screening technique was identifying pyridine. It has been confirmed that the substance detected was indeed pyridine but the 'concentrations' remain indicative only. A fully validated analytical method would need to be developed to obtain accurate concentration measurements.
- Some literature, and the presence of pyridine in the comparison crabs, may suggest that pyridine is linked to biological processes in the crab tissue, rather than being the cause of the mortalities. Further research into pyridine in crabs (and development in testing methods) is needed to confirm whether biological processes are of significance.

Other chemical pollution and sewage

- The EA do not consider chemical pollution and sewage as likely causes, and EA analysis of water quality detected nothing of concern that could cause this impact.
- They have tested using both traditional and innovative screening methods to analyse samples of water, sediment and crab looking for traces of contamination. They screened for over 1,000 potential chemical contaminants and found no anomalies or levels of contaminants that could lead to an event of this scale.
- Environment Officers also reviewed environmental permits and scrutinised industrial sites in the Teesside area and found no evidence of abnormal discharges that could lead to altered water quality.
- Cefas has also tested for signs of heavy metals in the crab tissue. They have found no clear indications of heavy metals being present in the samples received at levels which would cause concern.

- Sediment and water samples collected by the EA from the impacted area around Teesside in early October have now been screened for free cyanide. Results from these samples were below the detection limit of the test.
- The screening technique used provides a starting point only and was employed to screen for any indication of a contaminant that could provide a lead for further investigation.

Licensed activity (including dredging)

- MMO has reviewed activity that has an MMO marine licence (or deemed licence) and is not aware of any licensed activity that has taken place in the vicinity that would result in mass crustacean mortality.
- Licensed disposal of dredged sediment to designated disposal grounds is not likely to be the cause. All dredged material licensed for deposit at sea undergoes rigorous regulatory testing, in line with international guidance, to ensure that deposit of such material will not cause harm to marine life.
- Disposal of dredged material at sea can only be undertaken following significant testing of sediment samples for a suite of contaminants to ensure the material to be deposited meets these international guidelines.
- Material from ongoing (year-round) dredging operations is deposited in the designated Inner and Outer Tees disposal grounds off Teesmouth and there is no evidence to suggest that these deposits did not meet the required standards.
- The contaminants screened by the EA included those that dredging material is tested for, before sediment is licensed to be deposited at sea.
- Cefas completed an indicative 2D tracking model of the potential sediment plume from the dredge disposal site. The model indicates that the plume extents are relatively confined along the tidal excursion at the disposal site and do not have the same geographic extent that would be consistent with the known mortalities.

Disease and toxins

- Cefas have analysed crab samples for signs of infectious disease and naturally occurring marine harmful algal toxins.
- It has found no clear indications of marine neurotoxins (domoic acid and saxitoxins) being present in the samples received at levels which would cause concern.
- There is also no evidence from the samples that there is an infectious disease agent responsible for the mortalities observed and Cefas therefore do not believe that an aquatic animal disease is the likely cause of this event.

Health and safety

- There is currently no evidence of a food safety risk from healthy fish and crustacea, including crabs and lobsters caught off the North East coast.
- Businesses should continue to ensure that food placed on the market is safe to eat and meets the relevant requirements in relation to food safety and hygiene.
- Members of the public fishing in the affected area should not handle or consume unhealthy fish or crustacea found dead or dying, including crabs and lobsters.

Questions

Is this an ongoing issue? Should levels of catch, more instances of dead or dying shellfish, and other issues continue to be reported and how?

- Anecdotal evidence suggests that dead and dying crabs and lobsters are no longer being found in significant numbers, but local industry and the public should continue

to report any instances. This will help us get a better picture of what is still happening.

- The public can report via the EA phone line
- Local industry can do this through the NEIFCA office

Has dredging been ruled out as the cause? What testing has been done to reach this conclusion?

- Dredging has been ruled out as a likely cause. Samples of dredge material must meet the highest international standards protecting marine life before it is permitted to be disposed of at sea. If samples analysed for contaminants do not meet the standards, the disposal to sea of that material will not be licensed.
- Nothing in the testing of sediment prior to disposal or evidence from EA sampling suggests a chemical contaminant is a cause. Testing of sediment at the Inner Tees disposal site has already taken place in April 2021 and there was no evidence of significantly elevated contaminants in sediment at locations around and within the disposal site.
- Sediment that is proposed to be dredged in the Tees Estuary is tested and sampled across the footprint of the area to be dredged at least every three years prior to disposal.
- Cefas completed an indicative 2D tracking model of the potential sediment plume from the dredge disposal site. The model indicates that the plume extents are relatively confined along the tidal excursion at the disposal site and do not have the same geographic extent that would be consistent with the known mortalities.

Will the disposal of dredged sediment be stopped?

- No. The MMO uses the best available evidence to inform its decision making. There is no evidence to suggest that the disposal of dredged sediment responsible for the crab and lobster mortality – this has been tested in accordance with international (OSPAR – Oslo/Paris convention (for the Protection of the Marine Environment of the North-East Atlantic)) obligations.

Has cyanide in the sediment/water been tested for?

- Sediment and water samples collected by the EA from the impacted area around Teesside in early October have now been screened for free cyanide. Results from these samples were below the detection limit of the test.

Is it only crabs and lobsters affected? What about other species?

- The incident only appears to have affected crabs and lobsters. Reports of other animals, including octopus, limpets and shrimp found dead in the area appear to be unconnected and are more likely to be a result of storms and bad weather in the area.
- Please continue to report instances of dead or dying animals through the helpline or NEIFCA representative so we can investigate.

Are there links to seabird deaths reported earlier in the year?

- The seabird death incidents were during late August and September and cases have significantly reduced since then. Investigative work to understand the cause is ongoing.

What about dogs which have been reported as falling ill recently?

- Defra and the Animal and Plant Health Agency are aware of these reports and are liaising with veterinary organisations, academia and animal charities. At present no specific cause has been identified by the private vets involved in treating dogs affected.
- If a pet shows clinical signs, then the owner should seek veterinary care from their own private veterinary practice

And seals?

- There is no evidence linking reports of dead seals to the investigation on crab and lobster deaths in the North East.
- If a member of the public observes a seal they deem in danger or distress, they should contact an appropriate helpline for advice and assistance (e.g. the RSPCA hotline in England and Wales; SSPCA hotline in Scotland; and USPCA in Northern Ireland, or the British Divers Marine Life Rescue on 01825 765546).
- The APHA Disease of Wildlife Scheme in conjunction with a network of collaborators from across GB undertake surveillance for new and emerging diseases in seals, however, large die-offs can occur for many reasons, including storm surges, food shortages, trauma, predation or disease outbreaks.
- The APHA Wildlife Expert group has commented that they have carried out post mortems on seal samples, taken from a range of sites in Great Britain, over the last year and not seen any evidence of an emerging disease.
- We will continue to engage with wildlife experts and remind the public not to approach dead or sick seals.

How are you measuring the impact on shellfish stocks in the area?

- We are continuing to work with fishers in the areas. Any information provided – especially in comparison to previous years' catch – will help us get a better picture of the impact on stocks. Please report this via your NE IFCA representative.

Are you sure that crabs and lobsters are safe to eat and sell? What about eating species which feed on crab/lobster?

- There is currently no evidence of food safety risk from fishery products caught off the North East coast, but is unsafe to eat any dead or dying animals, including crabs or lobsters, that are found.
- Businesses should continue to ensure that food placed on the market is safe and meets the relevant legislative requirements in relation to food safety and hygiene.

How are you sure that disease is not the cause?

- Cefas has taken further samples from the area recently, to investigate whether an aquatic animal disease is the cause of this incident. There is no evidence in the samples analysed that there is an infectious disease agent responsible for the mortalities.

What about compensation/support for the industry?

- The priority of the government is to investigate and understand the cause of the issue. At this stage, while investigations into the cause are ongoing, we are not considering financial support.

What about the possibility of natural causes?

- Mass crustacean mortality events can occur from natural causes. For example, a mortality event was evident off the Kent coast in Dec 2011 that was linked to unseasonal low temperatures.
- As referenced above, a harmful algal bloom may have caused the incident, with lines of evidence pointing to this.