

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

EXECUTIVE MEETING

Bridlington Spa, South Marine Drive, Bridlington, YO15 3JH

2 September 2021

COMMENCING 09:30 am

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 meeting held on 5 March 2021 as a correct record *(pages 2 to 4)*

Items for Decision

4. Strategic and Operational Risk Register – Review - *(pages 5 to 17)*
5. NEIFCA Updated Staffing Handbook – *(pages 18 to 19)*

Items for Discussion

6. NEIFCA Health & Safety Policy & Safe Working Practices 2021/2022 – Review - *(pages 20 to 21)*
7. Budget Monitoring 2021/2022 *(pages 22 to 25)*

Items for Information

8. NEIFCA Annual Report 2020/2021 – *(page 26)*

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**05 MARCH 2021****Present**

Councillor Ron Allcock
 Dr Stephen Axford
 Councillor Edward Bell
 Councillor Tony Randerson
 Prof Mike Elliott
 Councillor Chris Matthews
 Mr Nigel Proctor
 Mr Gary Redshaw

Representing

North Lincolnshire Council
 MMO appointee
 Durham County Council
 MMO appointee
 MMO appointee
 East Riding of Yorkshire Council
 MMO appointee
 MMO appointee

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

Due to the restrictions associated with the Covid-19 pandemic, the meeting took place via a 'Zoom' conference dial in, the meeting commenced at 09:30.

1.	<u>APOLOGIES</u>
	Apologies for absence were received from MMO appointee Carter.
2.	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.
3.	TO TAKE NOTES OF THE MEETING HELD ON 12 NOVEMBER 2020 AS A CORRECT RECORD
	Resolved – That the minutes of the meeting held on 12 November 2020 be approved as a correct record and signed by the Chairman.
4.	NEIFCA ANNUAL PLAN
	The Chief Officer presented a report for members to review the Annual Plan for the year 2021/2022. The Chief Officer discussed with members the ambitious programme of work and the key areas of focus for the year. Members discussed training and in particular gaining greater insight into 'day to day' operational activities. It was agreed that an event in September 2021 should be arranged to meet with staff and to visit the Authority's offices and assets at Whitby.

	Members were asked to forward any further comments on the plan to the Chief Officer by the 15 March for consideration.
	Resolved – (a) The annual plan for 2021/2022 was reviewed. (b) Members authorised the draft of the accompanying annual report, summarising the Authority’s main activities and outputs during the 2020/2021 year.
5.	REVENUE BUDGET 2021/2022
	The Treasurer presented a report to inform Members of the draft budget for 2021/22. Members were informed that the 1% levy increase approved at the Authority Meeting on 18 December 2020 had been incorporated into the budget, which fully funded the revised staffing structure following the completion of the organisational review. The Chief Officer had been required to identify savings of £20,000 and this had mainly been achieved through a reduction in the travel & subsistence budgets.
	Resolved - a) That the draft budget for 2021/22 be approved b) That the level of general reserves is maintained at £228,450 (18%) of the annual levy c) That the £23,000 supplementary budget for external projects, fully funded by external income is added to the 2021/22 budget
6.	BUDGET REPORT 2020/2021
	The Treasurer presented a report to advise Members of the budget position at the end of month 09 (December) in 2020/21. At the end of December 2020, the Authority had net expenditure of £668,786 against an expected £810,368, underspending by £141,582. The forecast outturn underspend was £248,270 mainly due to employee underspends due to vacancies and patrol vessel underspends. Members agreed that due to the uncertainties surrounding the COVID-19 pandemic, the decision to transfer any underspends to either the General Reserve or the Renewals Fund should be postponed until June 2021. Retrospective approval was sought for the inclusion of a dynamic vessel stabilisation system and higher specification charting and radar plotting system for the new vessel totalling £31,318, fully funded from in year underspends.
	Resolved – (a) That the budget monitoring position is noted. (b) That the inclusion of a dynamic vessel stabilisation and charting and radar plotting system in section 3.3 is retrospectively approved, funded from in year underspends. (c) That any underspend at the year-end be transferred to either the Renewals Fund or the General Reserve, the decision on this to be taken at the June 2021 Authority meeting.
7.	RISK MANAGEMENT STRATEGY & STRATEGIC OPERATIONAL RISK REGISTER REVIEW
	The Clerk presented a report which included a revised Risk Management Strategy for adoption and to inform members that in accordance with the Strategy, a review of the Strategic and Operational Risk Registers had also been undertaken and was reported for approval. Members discussed the presentation of the report and suggested that the Strategic Risk Register should be colour coded and a visual ‘heat chart’ included as part of future reporting.
	Resolved – (a) That the revised Risk Management Strategy be adopted and the revised Strategic and Operational Risk Register be approved.

	(b) The presentation of the report to be altered in line with comments received by Members at the September review.
8.	NEIFCA HEALTH & 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 December 2020 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.
	Resolved – Members noted the report.
9.	NEIFCA BYELAWS UPDATE
	The Chief Officer presented a report To update members on all current fisheries byelaw work streams. Members were informed that on the 12 February 2021 the Byelaw XXXII Fish, Mollusc and Crustacea Byelaw 2019 had been confirmed by Defra. This new byelaw regulation was formally made by the Authority on 5 December 2019 to replace an emergency byelaw which re-instated long-standing minimum landing sizes for a wide range of fish and shellfish species across the NEIFCA district. The new regulation was made jointly with Northumberland, Eastern and Kent and Essex IFCAs.
	Resolved - Members noted the report.
10.	NEW CABIN RB & PATROL VESSEL REPLACEMENT UPDATE
	The Chief Officer presented a report to update members on progress with the build and commission of the new 9.5m Cabin rigid inflatable boat (RIB) and the replacement of the main vessel. Members were informed that the build of the 9.5m cabin RIB was been managed and overseen by the Deputy Chief Officer, Ian Davies. Despite periodic impacts caused by the ongoing Covid 19 pandemic, the build was progressing well. The main super structure was complete and the internal 'fit out' was well underway including wiring, ancillary pipe work and electronics. The next phase would be the installation of the main engines. The Clerk and Chief Officer updated members on a forthcoming meeting with DEFRA officials to discuss external funding support for the replacement of the main patrol vessel. The Chairman suggested that there should be some publicity and a press releases focusing on the sea trials and delivery of the new 9.5m cabin RIB.
	Resolved - Members noted the report.
11.	ANY OTHER BUSINESS
	The Chief Officer thanked Cllr Bell for his time served as a member of the Authority.
	The meeting closed at 10:40.

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Committee
2 September 2021

Strategic & Operational Risk Register – Six Monthly Reviews

Report of the Clerk.

A. Purpose of Report

To inform members of the Executive Committee 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.

B. Recommendation

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

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 every six months and reported to the Authority (Minute 17 refers). In accordance with these recommendations the Risk Management Strategy and Operational Risk Registers were reviewed, updated and reported to members on 5 March 2021. (Minuted item 7 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 over the last six months and affected the key risks identified within the Registers. The risks have been reviewed and the changes are highlighted in bold within the attached registers. 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 March 2022. The identified risks have also been ranked in order of significance and colour coded (highest residual risk score red to lowest green).

2.2 In the main, identified strategic and operational risk have largely remained unchanged since March 2021, although the primary risk areas relating to funding particularly for a replacement

patrol vessel remain. Some risk areas identified previously have reduced such as contractual risk associated with the build and commission of the new 9.5m Cabin RIB. In terms of the Operational Risk Register some degree of elevated environmental risk has been identified resulting from observed increases in the intertidal gathering of shellfish although this risk relates primarily to specific locations at the Tees Estuary, Redcar and Filey Brigg.

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

Contact Officer

Caroline Lacey, Clerk of the Authority
Ext 3000

Background Papers

Strategic Risk Register
Operational Risk Register

NORTH EASTERN INSHORE AND CONSERVATION AUTHORITY - STRATEGIC RISK REGISTER

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	Specialist staff and skills shortages. Sickness absence. Triggers include:- (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 (3x2)	Recruitment processes expedited to fill vacancies when they arise.	Organisational review recommendations agreed on 18 December 2020 and implemented. Recruitment processes to fill current vacancies now in the final stages. 4 out of the 5 current operational vacancies now have 'preferred candidates' secured subject to final screening checks.	Chief Officer & Deputy Chief Officer & Operational Support Manager.
NEIFCA 2	A reputation for smart and prudent stewardship.	Financial Reputation	Failure to manage the Authority's assets, caused by:- <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)	Asset Management Plans - including audit and survey result to target investment and maintenance at high priority areas. Patrol Vessel renewal fund and replacement project ongoing. Maintenance programme. Risk assessments. Inspections and surveys. Insurance.	6 (3x2)	Review and define inspection survey programme. Ensure compliance with the programme. Review health and safety arrangements. Review adequacy of sums insured and compliance with insurance policy conditions. Operating a close monitoring regime on investment priority criteria. Strengthen asset management and control.	Allocation of funds to the Renewals Fund made as part of the annual budget setting increased to £100K. Sixth monthly review of asset registers. Vessel and vehicle replacement plans in place. New 9.5m cabin RIB delivered. Chief Officer and Clerk jointly working to access external funding support.	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 (3x2)	Reviewed on a quarterly basis by reporting to the Authority.	Organisational review recommendations agreed on 18 December 2020 and implemented. Recruitment processes to fill current vacancies now in the final stages. 4 out of the 5 current operational vacancies now have 'preferred candidates' secured subject to final screening checks.	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 (3x2)	Reviewed on a quarterly basis by the Authority.		Chief Officer & NEIFCA Senior Management Team

Risk No	Strategic Objective	Category of Risk	Risk	Gross Risk Score	Control Action	Residual Risk Score	Further Action Required	Update	Risk Owner
NEIFCA 5	A reputation for smart and prudent stewardship	Reputation/legal	<p>Failure to deliver revised fisheries management policies within Marine Protected Area Sites which fall within the Authority's jurisdiction.</p> <p>Procedural delays in the formal making of regulations.</p>	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.
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

Risk No	Strategic Objective	Category of Risk	Risk	Gross Risk Score	Control Action	Residual Risk Score	Further Action Required	Update	Risk Owner
NEIFCA 7	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 8	A reputation for smart and prudent stewardship	Reputation	Loss or damage to reputation through poor press and public relations Poor management and or use of social media outlets.	6 (2x3)	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.	4 (2x2)	Reviewed on a quarterly basis. Daily management of social media feeds in terms of content and comment.	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 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

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>	9 (3x3)	<p>Maintenance of current funding levels to the vessel renewal account including allocating an additional £20K 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 2020/2021 financial year with further savings likely 2021/2022 re-allocated to the vessel renewal reserves.</p> <p>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 partner agencies to support their front-line services and primary service delivery could have a negative impact on the delivery of IFCA statutory duties and responsibilities.</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.</p>	6 (3x2)	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</p>

		<p>UK exit from the European Union.</p> <p>Delays in implementing the NEIFCA review. Covid-19 impacts on staffing resources.</p>		<p>Expedite the implementation of the NEIFCA organisational review. Strict adherence to Covid-19 risk assessments, associated safe working practices and national guidance.</p> <p>Recruitment processes to fill current vacancies now in the final stages. 4 out of the 5 current operational vacancies now have 'preferred candidates' secured subject to final screening checks.</p>				<p>assessments and safe working practices.</p>
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Risk Number	Process Risk Category	Risk Identification Risk	Risk Analysis 1-8 = Low 8-10 = Medium 10-20 = High	Risk Control Control Action	Residual Risk 1-8 = Low 8-10 = Medium 10-20 = High	Monitoring		
						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 2021/2022.	9 (3x3)	Increase of 1% in 2021/2022 levy with further increases advised. Monitoring systems. Systems to capture spend. Regular budget holder meetings. Internal Audit. Regular reviews of the appropriate level of reserves.	6 (3x2)	Treasurer, Clerk and Chief Officer.	Monthly.	Budget financial reporting.
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 (3x2)	Clerk and Chief IFC 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 new General Data Protection Regulations which came into force at the end of May 2018 could lead to fines and reputational impacts.	6 (3x2)	Key staffed trained and familiar with new GDP regulations. Data Protection Officer role agreed, 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.	4 (2x2)	DPO Clerk Chief Officer Support Officer	Monthly	Formal complaint or report to ICO
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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	Financial reputation, technical.	Volatility of global oil/fuel markets and national tax changes. Markets remain unstable	6 (3x2)	Regular monitoring of fuel spends included within quarterly reports to Authority. Additional provision made within annual precept.	4 (2x2)	Chairman, Clerk, Deputy Clerk, Chief Officer and Deputy Chief	Monthly.	Budget financial review & reporting
7	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
8	Financial reputation.	Failure to deliver projects through lack of resources or investment. Loss of funding and grants resulting in inability to proceed with projects. Change in legislation resulting in inability to generate funds. Reputation for inability to utilise grants awarded. Continued risk level due to ongoing national MPA management programme. Future funding implications of the UK exit from the EU.	3 (1x3)	Budget setting and monitoring process. Procurement policy followed. Appropriate resources available to undertake the project. Skills and knowledge of staff. With regard to supporting national projects ensure maintenance of dialogue and a proactive approach. Business Cases considered with full whole life costs of projects made	3 (1x3)	Clerk and Chief Officer.	Monthly	Performance monitoring reports. Budget reports. Legislative changes. Government funding initiatives. Authority decisions. Contract variation slippage.
9	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.	6 (2x3)	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 RIB successfully delivered during May 2021 no current major projects live.	2 (1x1)	Chairman, Clerk and Chief IFC Officer.	Monthly.	Procurement processes. Legislative changes. Contract variations. Timetable slippage.

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	<p>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.</p> <p>Habitat damage caused to sensitive intertidal areas due to influxes of shore gatherers.</p> <p>Covid-19 impacts on supporting resources.</p>	9 (3x3)	<p>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.</p> <p>Timely use of emergency byelaw making procedures when necessary.</p> <p>Working closely with the MMO and Defra to ensure adequate protection remains in place.</p>	6 (3x2)	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
2	Environmental	<p>Impacts on fish and shellfish stocks through non-compliance with regulations.</p> <p>Prohibition on landing egg bearing lobsters.</p> <p>Impacts in intertidal areas rising due to influxes of shore gatherers.</p>	9 (3x3)	<p>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. New intelligence gathering system established to better inform targeted enforcement activity.</p> <p>Strengthening enforcement procedures and techniques.</p>	6 (3x2)	Chief, Deputy Chief and IFC Officers	Monthly	Intelligence reports. Surveillance. Routine observations and complaints

				Activities impacted by Covid-19 restrictions Maintaining a high level of communication and active joint working with key partner agencies.			
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Risk Number	Process	Risk Identification	Risk Analysis	Risk Control	Residual Risk	Monitoring		
						Risk Category	Risk	1-8 = Low 8-10 = Medium 10-20 = High
3	Environmental	Impacts on fish and shellfish stocks through over-exploitation Pressures on stocks, particularly crustacea remain high although work is continuing on revised management measures. Impacts in intertidal areas rising due to influxes of shore gatherers.	9 (3x3)	Detailed monitoring of stock health. Development of dedicated management plans and strategies. Tailored management provisions. Sound enforcement. Fisheries accreditation schemes. National coordination. Maintaining a high level of communication and active joint working with key partner agencies. Fishing activities impacted by Covid-19 restrictions.	6 (3x2)	Chief & Deputy Chief Officers and Environmental & Scientific Officers	Quarterly & monthly	Non achievement of stock indicators. Declining catches and fleets. Complaints and comments.
4	Environmental	Impacts on other marine species such as sea birds, cetaceans and other organisms associated with fishing activities	4 (1x4)	Monitoring through fishing permit and catch and effort schemes. One off studies and assessments. Timely use of emergency byelaw making procedures when required. Fishing activities impacted by Covid-19 restrictions.	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 Meeting
2 September 2021

NEIFCA Updated Staffing Handbook

Report by the Clerk & Chief Officer of the Authority.

A. Purpose of Report

To provide a final draft version of the updated NEIFCA 'Staffing Handbook' for members review and approval.

B. Recommendations

1. That subject to any further recommendations the updated version of the NEIFCA Staffing Handbook is approved.
2. That the handbook is subject to regular review, as a minimum, annually, with any proposed changes considered by the Executive Committee.

1. Background

- 1.1 The NEIFCA Staffing Handbook provides information and guidance on the Authority's staffing policies and procedures and is referenced within its main terms of employment. The Staffing Handbook is subject to regular revisions and updates, in the main, to ensure compliance with ever changing national employment legislation and improve and strengthen governance.
- 1.2 This latest version of the NEIFCA Staffing Handbook has been extensively updated to incorporate recent changes following the implementation of the 2020 organisational review. This work has been carried out by senior officers within the East Riding of Yorkshire Council (ERYC) Human Resources Team in consultation with the Chief Officer.
- 1.3 Additional policies covering equality, flexible working, parental and adoption leave and bereavement support have been added to comply with various recent changes in employment legislation since the last refresh. Other policies surrounding staffing codes of conduct, harassment and bullying, grievance, disciplinary and dress codes at work have also been refreshed and updated in line with current employment legislation. New guidelines relating to safeguarding have also been included for the first time to support interaction with young and vulnerable people who may engage with Officers via work exchange or apprenticeship schemes or academic secondments. These had been developed previously but not formally incorporated into the Handbook at the time.

- 1.4 All additional policies and amendments incorporated into the revised Handbook have been adopted from existing ERYC policies which have previously been subject to Trade Union consultation and agreement.
- 1.5 The revised staffing handbook was circulated electronically and in hard copy to all NEIFCA and key Trade Union representatives on 1 July 2021 alongside an executive summary of the key changes made. An initial deadline of 30 July 2021 was set for receipt of any comments and feedback. Following communications with some staff members the deadline was extended until Friday 20 August 2021.
- 1.6 The first draft of the Handbook was provisionally approved by the Authority at its meeting held on 14 July 2021 pending consideration of any further comments received from staff and or Trade Union representatives. Authority members delegated authority to the Executive Committee to consider any such comments and finalise the Handbook (Minute 81 refers).
- 1.7 Although no comments or feedback were received from staff or Union representatives within the specified consultation timelines two staff members emailed feedback and comment to the Chief Officer on Tuesday 24 August 2021. That feedback is currently being reviewed and considered and additional guidance is also been sought from ERYC HR and a further update will be provided at the meeting.
- 1.8 An active process of regularly reviewing and updating the Handbook will also be implemented to ensure it remains up to date and ‘in tune’ with both ever changing employment legislation and NEIFCA operating practices. As a minimum this will take place annually with any updates reported back to the Executive Committee.

Contact Officer

David McCandless, Chief Officer
Ext 3690

Background Papers

2021 NEIFCA Staffing Handbook

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive meeting
2 September 2021

Health & Safety Policy & Safe Working Practices 2021/2022 - Review

Report by the Chief Officer.

A. Purpose of Report

To inform members of the completion of the six monthly 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 sixth monthly basis.
- 1.3 Since the last review reported to the Executive Committee on 5 March 2021 I am pleased to advise that there have been no notable incidents or accidents to report to members and as part of this standard six-monthly review all the standard Safe Operational Working Practices and supporting risk assessments have again been fully reviewed with no changes to report.
- 1.4 Over and above the standard operational risk assessments and associated safe working practices, NEIFCA officers have continued to respond rapidly to the unprecedented impacts and risks associated with the global Covid-19 pandemic to ensure the protection and well-being of all staff and compliance with all current 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 continue to be strictly

followed by all staff alongside the standard safe operational practices when working. These additional systems are dynamic, subject to daily review and are amended to take account of any changes in risk and or governmental advice.

- 1.5 The 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.

Contact Officer

David McCandless
Chief Officer
Ext. 3690

NORTH EASTERN INSHORE FISHERIES AND CONSERVATION AUTHORITY

Report to: Executive Meeting
2 September 2021

BUDGET MONITORING 2021/22

Report by the Treasurer

A. Purpose of Report

To advise Members of the budget position at the end of month 03 (June) in 2021/22.

B. Recommendation

- i. That the revenue budget monitoring position is noted.
- ii. That the capital budget overspend is fully funded from in year underspends.
- 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 June 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 30 June 2021

- 2.1 Appendix A summarises the expenditure and income for the Authority for the three months to June 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 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):

- Employee underspends of £85,361 - underspends on salaries of £91,231 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. The recruitment process is underway and the forecast outturn assumes all posts will be filled by 1 October 2021;
- Patrol vessel overspends of £16,342 mainly due to £24,218 increased vessel insurance costs relating to the new Cabin RIB offset by savings of £7,876 on rent.
- Supplies and services overspends of £13,484 mainly due to £6,720 expenditure on new lobster tags and £2,730 on database development.

2.3 It is anticipated that the outturn position will 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 is proposed that any underspend is transferred to the Renewals Fund towards the replacement of the patrol vessel.

3. Capital Expenditure to 30 June 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. Approval is sought for the overspend to be fully funded from in-year underspends.

Contact Officer

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Principal Accountant, East Riding of Yorkshire Council

Stephen Chandler
Treasurer

Background Papers: NEIFCA Monitoring File

NEIFCA Budget Monitoring Report as at June 2021

	<i>Approved Budget</i>	<i>Profiled Budget to Month 3</i>	<i>Actual to Month 3</i>	<i>Variance to Profile</i>	<i>Projected Outturn</i>	<i>Variance to Projected</i>
	£	£	£	£	£	£
EXPENDITURE						
Employee Expenses						
Pay,NI and Superannuation	722,580	180,645	134,180	-46,465	631,349	-91,231
Other Employee Costs	64,120	17,179	24,483	7,304	69,991	5,871
Premises	15,740	8,285	8,477	192	18,820	3,080
Transport						
Patrol Vessel Running Costs	188,920	45,346	51,416	6,070	205,262	16,342
Vehicle Running Costs	31,440	5,860	6,510	650	30,338	-1,102
Travel and Subsistence	18,500	4,625	4,573	-52	18,968	468
Supplies and Services	97,560	25,689	33,865	8,176	111,044	13,484
Support Services	94,420	1,873	-2,858	-4,730	94,420	0
	1,233,280	289,502	260,647	-28,854	1,180,192	-53,088
INCOME						
Grants and Contributions	-38,000	-3,944	-2,717	1,227	-45,091	-7,091
Other Income	-9,780	-2,445	0	2,445	-4,000	5,780
	-47,780	-6,389	-2,717	3,672	-49,091	-1,311
NET EXPENDITURE	1,185,500	283,113	257,931	-25,182	1,131,100	-54,400

	<i>Approved Budget</i>	<i>Profiled Budget to Month 3</i>	<i>Actual to Month 3</i>	<i>Variance</i>	<i>Projected Outturn</i>	<i>Variance to Projected</i>
	£	£	£		£	
NET EXPENDITURE						
Central / Headquarters	419,430	82,424	91,297	8,873	428,762	9,332
Land Based Operations	129,760	32,440	30,420	-2,020	126,466	-3,294
Offshore Operations	508,680	129,636	118,010	-11,626	484,685	-23,995
Environment	127,630	31,908	11,498	-20,409	91,187	-36,443
Grant Aided Projects	0	6,705	6,705	0	0	0
	1,185,500	283,113	257,931	-25,182	1,131,100	-54,400

	<i>Approved Budget</i>	<i>Profiled Budget to Month 3</i>	<i>Actual to Month 3</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 Meeting
2 September 2021

NEIFCA Annual Report 2020/2021

Report by the Chief Officer.

A. Purpose of Report

To provide a copy of the 2020/2021 NEIFCA Annual Report for members information.

B. Recommendation

1. That members note the report.

1. Background

1.1 Section 178 of the 2009 Marine and Coastal Access Act places a statutory duty on Inshore Fisheries and Conservation Authorities (IFCA's) to prepare and publish an annual report on their activities.

1.2 At the meeting of the Authority held on 14 July 2021 members received the first draft of the Annual Report covering the period 1 April 2020 to 31 March 2021. Members were invited to provide any comments or feedback on the report by 30 July 2021. No comments were received and the final draft report is attached for members information.

Contact Officer

David McCandless
Chief Officer
Ext. 3690

Background Papers

NEIFCA Annual Report 2020/2021