

NWIFCA Quarterly Meeting

5th December 2019; 11.00 a.m.

**AGENDA
ITEM
12**

REVIEW OF NWIFCA POLICIES, PROCEDURES & GOVERNANCE

Purpose of Report: To agree Terms of reference and timetable for the review

Recommendations:

1. Note progress with the Review of policies, procedures & governance.
2. Approve the Terms of Reference and timetable at Annex A.
3. Authorise the Chairman to progress the review.

Background

1. At the Authority meeting June 2018 the Chair proposed a review of the Authority's policies, procedures and governance which was supported by Members.
2. In September 2018, a working group was set up to develop the Terms of Reference at Annex A for approval at this meeting.
3. If approved CEO will prepare instructions and invite tenders as soon as possible.
4. The Chair would remind members that the Authority is due to celebrate its 10th anniversary in October 2020. It would seem appropriate for this review to have been completed before this date so that the Authority is well placed to meet the challenges of the next 10 years. A timetable for progressing the review in advance of this anniversary is outlined below.
5. A report on progress will be submitted to the next quarterly meeting of the Authority.

Proposed timescale

Date	Activity and responsibility
January 2020	Prepare instructions to tender (CEO) Agree instruction to tender (Chair, Vice-Chair) Issue invitations to tender (CEO)
February / March 2020	Review tenders (CEO, Chair, Vice-Chair) Issue contract to successful contractor (CEO / FO)
March 2020	Inception meeting with contractor (CEO, Chair, Vice-Chair)
March-April 2020	Review carried out (Consultant)
May 2020	Reporting meeting from consultant (CEO, Chair, Vice-Chair)
May – June 2020	Final report submitted to Authority (Consultant)

**Chairman and CEO
26 November 2019**

ANNEX A

TERMS OF REFERENCE FOR EXTERNAL REVIEW OF POLICIES, PROCEDURES & GOVERNANCE OF THE NORTH WEST INSHORE FISHERIES AND CONSERVATION AUTHORITY

Background

1. The North West Inshore Fisheries and Conservation Authority (NWIFCA) is a statutory body created by the Marine and Coastal Access Act 2009 and the North Western Inshore Fisheries and Conservation Order 2010. The Authority is a Joint Committee of Local Councils.
2. The NWIFCA's District includes the eight local authorities of NE England with coastal boundaries between the River Dee and the Solway Firth. NWIFCA has 30 members including 10 are elected Councilors nominated by the constituent Authorities, 18 members appointed by the Marine Management Organisation (MMO), including one MMO employee and two members of statutory agencies, Natural England and the Environment Agency.
3. As the NWIFCA enters its 10th year of service its Members have felt it is appropriate to initiate a review of its policies, procedures and governance. A proposal for this review was tabled by the Chair of the Authority at a quarterly meeting in June 2018 and endorsed by Members. A working group of Members was established by the Authority in September 2018 to prepare the Terms of Reference at Annex A.

Policy Context for Review

4. All Inshore Fisheries and Conservation Authorities share the same vision:
"To lead, champion and manage a sustainable marine environment and inshore fisheries in its district by successfully securing the right balance between social, environmental and economic benefits to ensure healthy seas, sustainable fisheries, and a viable industry".
5. A performance monitoring framework for all IFCA was agreed with Defra in 2015. This includes five success criteria each having a number of indicators against which the performance of IFCAs should be measured. The following areas are identified for this review:
 - a. Strategy
 - b. Culture
 - c. Relations
 - d. Performance
 - e. Compliance and Accountability
 - f. Officers
 - g. Members of the Authority
 - h. Stakeholders
 - i. Government and government agencies
 - j. Funding partners
 - k. The eight councils
 - l. AIFCA
6. Other criteria, such as the Nolan Principles of public life¹ are also relevant to the officers and members of the Authority, and it would be appropriate for the review to

¹ Available from: <https://www.gov.uk/government/publications/the-7-principles-of-public-life/the-7-principles-of-public-life--2>

consider how the existing policies, procedures and governance of the authority deliver them.

7. The policy context will determine the scope of the review and will be formally agreed between the client and the consultants at an inception meeting at the start of the project.

Objective of Review:

8. The objective of the review that has been agreed by the Members of the Authority is:-
To review the policies, procedures and governance of the North West Inshore Fisheries & Conservation Authority to ensure that they are appropriate for current and future challenges.

Definitions

9. The terms used in the review's objectives are defined below.
10. **Policies:** The courses or principles of action adopted or proposed by the organisation.
11. **Procedures:** Procedures are designed to influence and determine all major decisions and actions and all activities take place within the boundaries set by them. They are the specific methods employed to express policies in action in day to day operations of the organisation.
12. **Governance:** Amongst other things, good governance is achieved through:
 - a. **Strategy** – involving planning and structures, such as strategic and operational planning, organisational structure with defined and appropriate roles and responsibilities.
 - b. **Culture** – relates to leadership and integrity, demonstrated in leadership structure and behaviour, executive oversight of strategic decisions, embodiment of leadership principles, conduct and values, employee engagement and commitment to service delivery.
 - c. **Relations** – communication and reputation, shown in internal and external communication and relationships, striving for a reputation for excellence, working effectively across organisational boundaries.
 - d. **Performance** - effectiveness and efficiency, through performance monitoring and evaluation systems and process, both at an individual and organisational level, as well as performance reporting.
 - e. **Compliance and accountability** – this involves meeting statutory and other obligations, through audit, delegation of authority, and having policies, processes and plans to manage finances, risk, human resources, as well as ethical, equal opportunity, occupational health and safety and record keeping obligations.

Review Process

13. The review will be carried out by independent consultants appointed by the Authority. The consultants will base their review on the following sources:-
 - a. Published documents including IFCA documents and relevant legislation.
 - b. Comparisons of the policies, procedures and governance of NWIFCA with those of other ifcas.
 - c. Interviews conducted with individuals and organisations including:-
 - Funding authorities (all 8 counties within the IFCA District).
 - Members of the NWIFCA.

- Staff and Officers of the NWIFCA including the CEO and other senior staff who have management responsibilities.
 - Stakeholders (e.g. Commercial and recreational fishermen; partner organisations; ngos).
 - Relevant Government organisations (e.g. Defra, MMO, EA).
 - Other ifcas and the Association of ifcas.
14. All individuals contributing to the review process will be given the opportunity to participate in confidence, in accordance with ISO 19001 management system auditing standards.

Proposed Review Methodology

15. There have been discussions at meetings of the NWIFCA around the issues of cost and the concern that officers should not be unduly deflected from their everyday roles. Equally, the Members of the Authority are not remunerated for their participation in Authority activities (apart from the MMO, Natural England and Environment Agency Members). The methodology should therefore use methods that make the best use of the limited time that participants may have available.
16. Accordingly, it is suggested that the chosen review organisation should make use of methods for engagement with officers, members and stakeholders that make the most efficient use of their time to inform a thorough review. These methods could include:-
- i. The option of using a web-based questionnaire, with an assurance of confidentiality
 - ii. Follow up interviews as appropriate.
17. The approach adopted for the review will be agreed between the client and the consultants at an inception meeting at the start of the project.
18. It is the responsibility of the consultant to ensure that the findings presented in the report are objective and verifiable.

Outputs / Deliverables

19. The consultant will make a brief presentation of their findings to a meeting of Members and Officers of the Authority prior to submission of a final report.
20. The consultant will deliver a report in an electronic format (to be agreed) to the Chair of the NWIFCA at the end of the review process. This report will detail the findings of the review and will include the following sections:-
- a. Executive Summary
 - b. Recommendations
 - c. Method Statement
 - d. Findings
 - e. Conclusions
 - f. References & source material
21. The report will not contain any statements or references to material that may compromise the confidentiality of any respondent or participant.