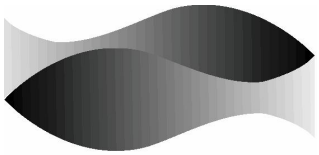
Developing environmental management standards for the seafood industry

Ocean Watch Australia Ltd
Seafood Services Australia Ltd

SEAFOOD SERVICES
AUSTRALIA



Australian Government
Fisheries Research and Development Corporation

FRDC Project No. 2000/146

Developing environmental management standards for the Australian seafood industry.

Final Report of the FRDC Project No. 2000/146

Prepared by Christine Soul (Ocean Watch Australia Ltd) and Jayne Gallagher (SSA Ltd), Draft Report submitted August 2003. Report finalised July 2004.

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OBJECTIVES

1. To provide a framework and support to enable fisheries in Australia to determine and achieve an appropriate level of environmental accreditation/certification through implementation of an environmental management system relevant to each fishery underpinned by a commitment to continual improvement.
2. To expand the capacity for SeaNet to provide expertise and assistance to industry groups in improving their management practices and in positioning themselves to implement appropriate environmental management systems and standards for their fisheries.
3. To develop a support tool to guide decisions on appropriate environmental management systems ie. a "SeaQual Green Chooser"
4. To develop nationally and internationally recognised prerequisites for environmental management standards adopted by fisheries throughout Australia.
5. To identify, document and disseminate environmental best practice technologies and techniques to fisheries.

NON-TECHNICAL SUMMARY

OUTCOMES ACHIEVED

The principal outcomes of the project are:

- A framework and support to assist the Australian seafood industry (fishers and aquaculture operators) commit to continual improvement in managing the environmental aspects of their activities, develop and implement environmental management systems (EMS) to suit their needs and aim for the desired level of accreditation and certification;
- Increased capacity of the SeaNet fisheries environmental extension service to provide expertise and assistance to industry groups to develop a systems approach to environmental management and improve environmental management practices;
- Experienced industry champions able to motivate and lead other industry groups through the process of developing and implementing EMS;
- Identifies an industry stewardship role in natural resource management; and
- Strengthened partnership between stakeholders (government, industry, research, environment and community groups).

OUTPUTS ACHIEVED

Support materials in the form of:

- The "Seafood EMS Chooser" provides advice on developing and implementing an appropriate EMS;
- The "Seafood EMS Step by Step Guide" to support EMS facilitators and industry participants in developing and implementing EMS;
- Five case study reports that outline the results achieved by each individual case study;
- Evaluation report of the case studies and materials detailing the hurdles and benefits of developing an EMS; and
- Demonstration EMS models to guide new EMS initiatives.

Environmental management systems in the seafood industry are gradually gaining acceptance as a means by which industry operators can pursue and demonstrate sustainable development outcomes at the enterprise, regional and/or fishery level, and assist to build community confidence in the way that Australian fisheries resources are managed and accessed.

In response to this, the Fisheries Research and Development Corporation (FRDC) funded Ocean Watch Australia Ltd (Ocean Watch) and SSA Ltd (SSA) to develop a framework and guidance material to assist industry groups and individual enterprises to adopt a systems approach to environmental management. This project was managed by Ocean Watch on behalf of the Australian Seafood Industry Council (ASIC).

The environmental management systems framework and guidance material, including the "Seafood EMS Chooser" and "Seafood EMS Step by Step Guide", were developed and refined through a case study process involving industry associations whose members participate in wild capture fisheries.

The five industry associations that formally participated in the case study process were:
- Queensland Rock Lobster Industry Association (QLD);
- Hawkesbury Trawl Association Inc (NSW);
- East Gippsland Estuarine Fishers Association Inc (Vic);
- Abalone Industry Association of South Australia (SA); and
- South West Rocks Beach Haulers Association Inc (NSW).

Other industry groups and individual enterprises contributed in a more informal manner. The case study process was facilitated by SeaNet, the environmental extension service for the Australian seafood industry administered by Ocean Watch, whose officers provided face to face assistance to participating industry associations in the form of background research and documentation of management system components. This case study process also produced examples of 'live' EMS components, including a risk assessment, Environmental Action Plan, policy and code of conduct, providing a foundation upon which the participating industry associations can further develop and implement their management systems.

KEYWORDS: Environmental Management Systems

ACKNOWLEDGMENTS

Australian Seafood Industry Council (ASIC) played a key role in ensuring established industry networks were used to gain input and feedback from industry groups throughout Australia.

The project team is grateful for the assistance and support of the following industry associations that contributed to the project case studies. These included the Hawkesbury Trawl Association, NSW, South West Rocks ocean beach haulers, East Gippsland Estuarine Fishers Association Inc., Vic, Abalone Industry Association of South Australia, SA, and Queensland Rock Lobster Association Inc., QLD

BACKGROUND

Community awareness of environmental issues is at an all time high, resulting in governments and industry increasingly being required to demonstrate that appropriate measures are in place to ensure environmentally responsible behaviour.

Significant progress is being made at the Commonwealth and State levels to bring fisheries onto an ecologically sustainable footing. Indeed, a broad range of environmental management measures have been implemented over the past decade to address key environmental impacts, such as bycatch reduction and the impacts of fishing on marine wildlife, habitats and the physical environment. Despite these efforts, it seems little progress has been made with respect to enhancing the public's confidence that fisheries are well managed and fisheries resources are sustainable.

In recognition of this, the seafood industry has been actively searching for new tools to enable it to not only continually pursue improvements in environmental performance, but to clearly demonstrate to the public that it is operating within standards that the public itself has helped to develop.

There is currently a significant groundswell of support for industry-driven initiatives that will ensure:

- the industry's environmental, social and economic performance continues to improve to meet and, where possible, exceed community expectation; and
- for transparency and accountability in the measurement and reporting of environmental performance.

This has been triggered by industry-driven initiatives such as:

- The development of the Southern Fishermen's Association (SFA) environmental management plan titled 'W*ild fisheries with a future'*, and the associated FRDC project 1999/147 titled *'Greening Australia's Fisheries – a national strategy for application of environmental management systems in the Australian seafood industry'*.
- The establishment of the global Marine Stewardship Council (MSC) certification program, providing a third-party eco-certification process and eco-label for wild capture fisheries. The first fishery receiving MSC certification was the Western Rock Lobster Fishery in 1999, with a number of other Australian wild capture fisheries currently undergoing pre-assessment.
- Bribie Island Commercial Fishers' Association environmental management plan, based on the model provided by the SFA.
- Queensland fishing industry's commitment to develop environmental management systems.
- The commitment of other fisheries to develop an environmental management plan based on the SFA model, including the Victorian Bay and Inlets Fishery.
- The creation of the National SeaNet Extension Program, funded by the Natural Heritage Trust, to facilitate the move to ecologically sustainable fisheries through the extension of improved fishing gear, technology and methods.
- The development of a National ESD Reporting Framework for Australian Fisheries.

NEED

The seafood industry is acutely aware that the community is becoming increasingly sceptical about assurances from industry and government regarding the state of the environment generally and in particular, the environmental performance of industries that interact with the natural environment.

The aim of this project was to develop environmental management standards to assist in:

- achieving significant cultural change within the fishing and associated industries;
- focusing the industry clearly on continual improvement of its environmental performance;
- documenting and demonstrating environmental performance and practices; and
- gaining international and domestic recognition that the industry is operating within environmental standards appropriate for the marine environment.

This was to include an environmental management system (EMS)[1] framework that provided realistic and achievable options for environmental accreditation/certification for each of the diverse range of fisheries in Australia. Further, it was recognised that such a framework needed to be supported by tools and expertise to assist the implementing organisation to develop an EMS suited to their fishery and to help them commence the journey of continual improvement in environmental performance.

The EMS framework and associated tools build on initiatives such as *Greening Australia's Fisheries*, the SeaNet environmental fisheries extension program and the SeaQual Australia approach to food safety standards to ensure that research outcomes relating to environmental performance were adopted and understood by industry within an appropriate context.

At the outset of the project, nationally recognised environmental management standards for Australian fisheries had not been established. However, during the course of the project, a number of statutory environmental management measures for Australian fisheries were introduced by the Commonwealth Government[2] and some State governments (ie. NSW[3]) that established legally binding standards for the management process and performance/outcomes of fisheries management. Furthermore, during the course of this project, the National ESD Reporting Framework for Australian Fisheries (FRDC 2000/145) was developed, which provided a framework for reporting progress with respect to ESD objectives.

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[1] An EMS is a management tool intended to assist an organisation to achieve environmental and economic goals by using a structured approach to assess and control environmental risk and create an in-built system of maintenance and review. The basic elements of an EMS include the creation of an environmental policy, setting of objectives and targets, implementing a program to achieve these objectives, monitoring and measuring its effectiveness, correcting problems, and reviewing the system to improve it and the overall environmental performance. Simply put, EMS is a management process that follows a *Plan–Do–Check–Review* cycle, operating in similar ways to quality assurance systems. The basic premise of an EMS is that better management of the environmental aspects of an organisation and continual review will lead to better environmental performance and continual improvement (Tibor, 1996). The value of an EMS applied to the fisheries context lies in its capacity, when effectively implemented, to deliver continual improvement in environmental performance, demonstrate how this is being achieved and embed the seed of cultural change towards environmental issues within the implementing organisation (eg. at the fishery-wide, local or enterprise level).

[2] Following the removal of the blanket exemption of marine species from export controls under *Wildlife Protection Act (Regulation of Exports and Imports) 1992* (Cth), a new statutory environmental assessment process was introduced for all Australian marine capture fisheries with an export component. These new statutory provisions, now included in the *Environmental Protection and Biodiversity Conservation Act 1999* (Cth) (EPBC Act), resulted in the development of an environmental management standard and assessment process, *viz.* the '*Guidelines for Ecologically Sustainable Management of Fisheries*'. Similarly, strategic environmental assessment requirements were introduced for all Commonwealth managed fisheries under the *EPBC Act.*

[3] As a result of amendments made to the *Fisheries Management Act 1994* (NSW) and *Environmental Planning and Assessment Act 1979* (NSW) in 2000, each of the eight commercial fisheries in NSW must undergo an Environmental Impact Assessment and have in place a Commercial Fishery Management Strategy by December 2003.

OBJECTIVES

1. To provide a framework and support to enable fisheries in Australia to determine and achieve an appropriate level of environmental accreditation/certification through implementation of an environmental management system relevant to each fishery underpinned by a commitment to continual improvement.
2. Expand the capacity for SeaNet to provide expertise and assistance to industry groups in improving their management practices and in positioning themselves to implement appropriate environmental management systems and standards for their fisheries.
3. To develop a support tool to guide decisions on appropriate environmental management systems ie. a "SeaQual Green Chooser" (herein referred to as *Seafood EMS Chooser*)
4. To develop nationally and internationally recognised prerequisites for environmental management standards adopted by fisheries throughout Australia.
5. To identify, document and disseminate environmental best practice technologies and techniques to fisheries.

METHODOLOGY

SSA and Ocean Watch were responsible for the delivery of the project outputs. SSA was responsible for managing the development of the *Seafood EMS Chooser* and associated guidance material and for the standards development process. Ocean Watch was responsible for administering the project and the day-to-day management of the SeaNet extension officers who facilitated the case study process to trial the guidance material produced by SSA. SeaNet extension officers provided the face-to-face assistance in using the guidance materials and ensured that the industry's EMS development was soundly based upon their identified needs.

There were a number of components to the methodology of this project. These are described below.

1. Projects and initiatives related to the development of environmental management standards were identified and linkages with them established. The principal initiatives considered in the development of the EMS framework and tools included:

    - The statutory environmental standards and assessment process set out in the administrative guidelines titled 'Guidelines for Ecologically Sustainable Management of Fisheries' under the *Environmental Protection and Biodiversity Conservation Act 1999*;
    - The National ESD Reporting Framework for Australian Fisheries (FRDC Project 2000/145) developed during the course of this project;
    - FAO Code of Conduct for Responsible Fisheries;
    - ISO14000 series, the Standard and guidelines for Environmental Management produced by the International Standardization Organisation;
    - 'Greening Australia's Fisheries – a national strategy for the application of environmental management systems in the Australian seafood industry' (FRDC project 1999/147);
    - Principles and Criteria of the Marine Stewardship Council certification programme; and
    - National Strategy for Ecologically Sustainable Development

2. An action planning process was developed based on the work being done under the FRDC Project No. 1999/147 titled 'Greening Australia's Fisheries – a national strategy for the application of environmental management systems in the Australian seafood industry' to assist each case study fishery identify:
    - A desired level of certification;
    - A timeframe in which this level of certification would be achieved; and
    - Key milestones to facilitate continual improvement.

The extent to which this work could build on the *Greening Australia's Fisheries* project (FRDC No. 1999/147) was restricted by the delayed publishing of the findings. Despite this, the Principal Investigator of 1999/147 made a considerable contribution to the project, providing advice to project staff, participating in the workshops and reviewing initial draft documents.

3. The *Seafood EMS Chooser* and associated guidance material was developed to provide the necessary information to industry to assist participants make informed decisions about EMS and the standards best suited to their particular circumstances. A consultant with expertise in environmental management and with ISO14001 certifier accreditation, Mr Hugh Wyndham of Golder Associates, was engaged to advise on the development of the *Seafood EMS Chooser* and associated guidance material. The consultant participated in workshops and reviewed the initial drafts of the *Seafood EMS Chooser* and associated guidance material (ie. *Step-by-Step Guide*).

   At the outset of the project, it was proposed that the *Seafood EMS Chooser* and the associated guidance materials would be trialed by five of the case studies already engaged in road-testing the 'National ESD Reporting Framework for Australian Fisheries' developed under FRDC 2000/145. The aim of this approach was to demonstrate the complementary relationship between the ESD reporting framework and an EMS framework. However, this did not occur and the five industry case studies were instead identified by the SeaNet officers and/or State peak industry bodies based upon the demonstrated commitment of the industry associations to drive the EMS process.

   This change in methodology was largely attributed to the fundamental difference between the two relatively new processes of ESD reporting and industry EMS development. The ESD reporting framework represents a 'top-down' process driven and/or implemented by managers and scientists, whereas this project promoted an industry-driven or 'bottom-up' approach to EMS adoption. Although one case study, the Abalone Industry Association of SA, did present the opportunity to trial the incorporation of the ESD reporting process within the EMS framework, it was generally considered it was too premature to effectively link both processes at this time.

4. Rather than establishing a new SeaNet position to conduct the case studies as originally planned, the existing SeaNet Officers in NSW, Queensland and Victoria were engaged to conduct the case studies. This approach capitalised on and enhanced the existing networks and experience of the SeaNet Officers in each State and expanded the capacity of SeaNet to facilitate EMS initiatives in the seafood industry beyond the completion of the project.

   The case study process was evaluated using semi-structured telephone interviews conducted by SSA in February 2002.

5. Originally, it was proposed that an Environmental Management Standards Committee would be formed to develop standards that comply with JAS-ANZ policy 2/99, and that a JAS-ANZ Technical Committee would be established to develop audit criteria and agree on performance levels. It was envisaged that these committees would address issues such as actions for non-compliance and an equivalence framework would be developed to ensure that customer needs are met through a single audit. However, it became evident during the course of this project that it was too premature to commence the standards development process and that this would be pursued by SSA in the future, building on this project (FRDC 2000/146) and other related projects and initiatives.
6. Awards for Excellence in Environmental Management were developed to encourage and reward leadership in environmental management.
7. Two workshops were held involving representatives of key government agencies and industry groups. The workshops, held in Brisbane in February and September 2001, resulted in general

agreement of the framework of the *Seafood EMS Chooser*, review of subsequent drafts, identification of some case studies and related ESD initiatives. The ESD reference group, a consultative forum reporting the former Standing Committee for Fisheries and Aquaculture, was also used as a referral point for this project and as a means of identifying linkages with other relevant ESD-related projects.

RESULTS & DISCUSSION

Seafood EMS Resources

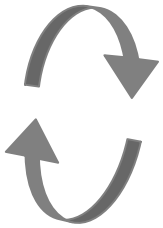
Seafood EMS Brochure

Two Seafood EMS brochures were produced to introduce fishers and aquaculturists to the EMS process and facilitate self-exploration of needs and aspirations as they relate to environmental management. The brochures were distributed to industry participants and government officers via industry organisations, conferences, direct mail-out and the SSA website. Copies of the two Seafood EMS brochures developed as part of this project are presented in *Appendix 3.*

Seafood EMS Chooser

The *Seafood EMS Chooser* provides introductory information on environmental management systems (EMS) to assist decision-making. It provides an overview of each of the key steps involved in EMS development and implementation cycle. The pre-release edition of the *Seafood EMS Chooser* published in November 2002 for comment by stakeholders is presented in *Appendix 4.* 600 copies of the document were printed for distribution.

Seafood EMS Chooser will be supported by checklists, templates, worksheets and examples for the following eight steps:



1. *Vision – Where you want to be*
2. *Current assessment – where you are now*
3. *Scope – what activities to cover*
4. *Environmental policy – make a commitment*
5. *Action plan – make it happen!*
6. *Implement – do, monitor, correct*
7. *Audit, certification and review – confidence!*
8. *Report – tell your story*

EMS Step-by-Step Guide

The *EMS Step-by-Step Guide* was developed to provide detailed guidance for persons facilitating the EMS development process, particularly in relation to collective EMS approach for localised fishing industry groups. The draft version of the *EMS Step-by-Step Guide* developed as part of this project is presented in *Appendix 5*. Finalisation of the content and layout of the guide has formed the basis of the Facilitators Resource Kit being developed by SSA under FRDC Project 2001/303.

EMS Website

SSA has established the *Seafood EMS* website (www.seafoodems.com.au), which is dedicated to the promotion of EMS adoption by the Australian seafood industry. The *Seafood EMS Resources* developed as part of this project and other related projects undertaken by SSA Ltd are disseminated through this website, and links have been established to other related sites, including Ocean Watch.

EMS Inventory

The EMS Inventory, established and maintained by SSA, is presented on the Seafood EMS website. The inventory aims to provide a current list of the EMS initiatives within the Australian seafood industry as a means of facilitating the dissemination of EMS experiences and models. Current information on the majority of the initiatives listed in the EMS Inventory can be located on the website www.seafoodems.com.au

'Road-Testing' the Seafood EMS Resources

The *Seafood EMS Resources* were developed and trialed through an iterative process involving 'grass-roots' industry experience and knowledge. Five industry groups were formally engaged to 'road-test' the *Seafood EMS Resources*, with many other individual fishers and industry groups contributing to this process in a more informal manner. SeaNet facilitated the case study process during the period of March – December 2001.

The five industry organisations that contributed as case studies included:

1. Hawkesbury Trawl Association Inc (Estuary Prawn Trawl Fishery, NSW)
2. South West Rocks beach haulers (Ocean Beach Haul Fishery, NSW)
3. East Gippsland Estuarine Fishers Association Inc (Bays and Inlet Fishery, Vic)
4. Abalone Industry Association of SA (Abalone Fishery, SA)
5. Qld Rock Lobster Industry Association Inc (Rock Lobster Fishery, Qld)

Following is a summary of the EMS development process undertaken by each of the five case studies. Each summary provides a brief explanation of the following:

- ***EMS aim*** describes the industry groups' aspirations and aims in relation to EMS.
- ***Key documentation*** describes the key EMS documentation produced through the case study process. Documentation is a critical component of an EMS, as it not only guides the organisation's operations and activities, but also forms the standard against which its performance will be assessed.
- ***Capacity*** describes the capacity of an organisation to undertake the EMS development and implementation process, taking into account institutional and organisational capacity (ie. formalised decision-making process, skills, time, financial resources, etc).
- ***Facilitation process*** describes the nature of support provided to the organisation by SeaNet.
- ***Integration*** describes the extent to which the case study process was integrated with the formal fisheries management regime.
- ***Future activities*** describes EMS activities undertaken since the case study.

CASE STUDY 1
Industry group: Hawkesbury Trawl Association Inc (NSW)
EMS aim: Improve public perception about the trawling operations in the Hawkesbury River, particular in response to the potential for new closed area restrictions. Raise concerns regarding river health. Differentiate product at market.
Key documentation: HTA Code of Conduct, HTA Environmental Action Plan
Capacity: No formal industry institutions existed. An Incorporated Association was established as part of the case study to represent trawl fishers who operate in the Hawkesbury River. The Association comprises 35 members (with 70% membership of active trawlers) and a Management Committee with responsibility for the EMS development process. Membership fee to finance production of EMS documentation.
Facilitation: Progressive NSW SeaNet Officers facilitated the overall process. EMS development tasks were divided between the members of the Management Committee on the basis of their existing skills. The SeaNet Officers assisted individuals with their specific tasks (as required), facilitated Management Committee meetings, and edited all documents. Association workshops were run by the Management Committee to encourage members to comment on draft documents. A public launch of the EAP was held in November 2001.
Integration: The preparation of the Environmental Impact Statement and Fishery Management Strategy for the

fishery in 2001-2002 occurred in parallel to the case study, with limited formal integration between the two processes. Whilst consistency between the processes was pursued by the inclusion of a MAC member on the Management Committee, duplication is evident and acknowledgement by NSW Fisheries was limited.
Future activities: The EAP is currently being revised by the HTA to include performance indicators to allow performance with respect to the action plan to be audited. The HTA is developing additional promotional material about the fishery, and intends to hold public information days in the future.

CASE STUDY 2
Industry group: South West Rocks ocean beach haulers
EMS aims: 1) Promote and provide relevant information on EMPs, in particular the Green Chooser model, to interested fishers living and or operating in the vicinity of South West Rocks; and 2) To evaluate the response of fishers to the models and concepts presented.
Key documentation: Report on the response of fishers to the EMS concept and models.
Capacity: Macleay River Fishermen's Co-Op has approximately 49 licensed operators. The Green Chooser model was presented to 13 beach haulers, two crab trappers and the Chair and Manager of the Co-Op. No other organisational structure, other than the Co-Op, existed to take on the responsibility of developing the EMS model beyond the work undertaken by Frank Lee.
Facilitation: Frank Lee from the Bribie Island Commercial Fishers' Association
Integration: n/a
Future activities: Any future activity will be subject to the availability of resources to appoint a person to co-ordinate any such project in the region.

CASE STUDY 3
Industry group: East Gippsland Estuarine Fishers' Association Inc.
EMS aims: Improve public perceptions about the fishing industry and improve environmental performance.
Key documentation: Environmental policy (draft), environmental risk assessment, gear types documented
Capacity: Existing industry association structures used. Responsibilities delegated within industry association. Time and resource constraints.
Facilitation: SeaNet Victoria facilitated the case study, which principally involved conducting risk assessment workshops with Association representatives and the fishery's scientist, undertaking the necessary background research and preparing the documentation. Progress was impeded by the time constraints placed on key industry participants by other issues, namely marine park proposals and blue-green algae outbreak.
Integration: EGEFA will amalgamate with the recently established EcoFish Victoria, and EMS outputs will be incorporated into the broader EcoFish Victoria EMS.

CASE STUDY 4
Industry group: Abalone Industry Association of SA Inc.
EMS aims: EMS development
Key documentation: Fishery practices documented
Capacity: Existing industry association structures used, but responsibilities were not formally delegated in relation to the EMS development process, other than that of the role of SAFIC.
Facilitation: SeaNet was responsible for documenting fishery practices and coordinating the ESD Reporting Workshop facilitated by Dr R Fletcher (FRDC Project 2000/146) and attended by key stakeholder groups. SAFIC was responsible for the preparation of key EMS documents and industry liaison.
Integration: Limited

CASE STUDY 5
Industry group: Qld Rock Lobster Association Inc.
EMS aims: To develop a Code of Practice
Key documentation: Completed scoping questionnaire, Code of Practice (first draft)

Capacity: Industry association established a working group of 3 members with responsibility for the process.
Facilitation: Qld SeaNet Officer facilitated the initial scoping process. Documentation was undertaken by the Association's working group. Remoteness of working group members impeded communication.
Integration: Development of the fishery management plan and statutory environmental assessment process occurred in parallel to the Code development, with little integration

Case study evaluation
SSA Ltd evaluated the five case studies to gain feedback on the process and the hurdles and benefits gained through EMS adoption. This information assisted with the refinement of the *Seafood EMS Chooser* and the identification any additional resource requirements. A total of 10 people from the case studies (fishers, SeaNet facilitators, and industry association officers) were interviewed. This evaluation concluded that a facilitator played a critical role in the case study process, motivating participants, undertaking background research and documenting the system. A copy of the case study evaluation report prepared by Karen Christensen (the then EMS Coordinator, SSA Ltd) is presented in *Appendix 3.*

Awards and recognition program

SSA Ltd co-sponsored the inaugural National Seafood Industry Environmental Management Award 2001 presented at the Seafood Directions Conference 2001. This awards program aims to encourage leadership in environmental stewardship and management. The 2001 environment award was presented to Mr Philip March, with 'runner-up' prize awarded to the Western Australia Rock Lobster Fishery.

BENEFITS AND ADOPTION

The direct beneficiaries of this project are those commercial fishers in Australia that are investigating and adopting EMS approaches. The project deliberately focused on guidance material that would assist primary producers (wild-catch and aquaculture) to develop and implement a collective approach to environmental management initiatives. It is acknowledged that while some activities can potentially accrue more immediate benefits to particular sectors, long term benefits from improved practices and enhanced development opportunities in one sector will eventually accrue to all sectors of the seafood supply/demand chain.

The adoption of the guidance material is and will continue to be facilitated through the SSA Network, the EMS Officer and the SeaNet Officer networks.

FURTHER DEVELOPMENT

Related programs and resources
SSA Ltd has taken a lead role in extending the concept of the 'Green Chooser' further and developing it into the 'Sustainable Seafood Program' – a national framework for the seafood industry to develop and implement EMS. To achieve this end, SSA in collaboration with a number of seafood industry organisations, has gained additional sources of funding to undertake the following activities:

- The establishment of a training resource and information service to underpin the successful adoption of EMS by the Australian seafood industry (FRDC Project 2002/303). This project will provide necessary training resources to up-skill persons engaged in EMS in the seafood industry, and in particular those engaged in EMS work funded under the FRDC's EMS Initiative
- ' Sustainable seafood – an integrated business approach' (FarmBis AAR387). This project aims to develop electronic training resources to underpin the successful operation of the Sustainable Seafood Program.
- EMS – National Case study Programme, which involves a full EMS case study for SA Rock Lobster and Pearl Producers Association.

Other *Seafood EMS Resources* under or planned for development by SSA Ltd to complement and extend the outputs of this project include:

- Seafood EMS PlanTemplate available on CD
- Seafood EMS Step-by-Step Guide for Facilitators
- SSA Fact Sheets

The National SeaNet Environmental Fisheries Extension Program will continue to play a lead role in facilitating the adoption of EMS by the industry and utilising the existing and developing resources. Facilitating the development of EMSs by the fishing industry will continue to form the basis of SeaNet's activities and outputs, in conjunction with promoting the adoption of sustainable fishing practices. To complement the above mentioned initiatives being undertaken by SSA, SeaNet will provide commercial fishers with up-to-date information, resources and options for fishery specific approaches to EMS adoption within Australia's commercial fisheries.

Issues for further consideration

Promoting key EMS elements for improved performance and accountability

Many industry-driven environmental management initiatives are currently being referred to as EMS, even if they are not strictly EMS initiatives (cf. Seafood EMS Inventory). Whilst there is merit in promoting industry-driven environmental management initiatives, it is recommended that environmental management initiatives which are considered EMS in the strict sense (ie. comprise the key EMS elements that are fundamental to realising improved performance and accountability in fishing operations and associated management systems) be identified and promoted. Key elements of EMS are defined in, *inter alia*, the ISO14001 Standard. There is also value in distinguishing those EMS that incorporate ESD objectives and indicators (where such objectives have been defined and accepted by the key stakeholders). Applying such criteria to initiatives listed in the SSA's *Seafood EMS Inventory* will help to extend the focus beyond the 'plan' stage of the EMS cycle to the 'do', 'check' and review' stages, and to promote the incorporation of ESD objectives and indicators within the management cycle.

The application of this approach is illustrated here in the context of a Code of Practice. A Code of Practice on its own, and which is not implemented within a structured management system, may be insufficient to provide an organisation (ie. industry body) and its stakeholders with the assurance that its performance not only meets, but will continue to meet, legal and other requirements. However, the incorporation of the Code within a structured management cycle (ie. EMS) may assist the implementing organisation to measure, monitor and demonstrate the implementation and performance with respect to its objectives, and revise the Code accordingly to continually improve. This may be achieved by incorporating the following elements into the Code:

- indicators for measuring performance with respect to objectives;
- an implementation plan that allocates responsibilities, resources and timeframes;
- a scheduled monitoring program to measure adoption and performance with respect to Code's objectives;
- a scheduled audit of adoption and performance of the Code; and
- a scheduled review of the Code.

Relationship to the ESD Reporting Framework and fishery management systems

The complementary relationship between the 'ESD reporting framework' (FRDC Project 2000/145) and EMSs was identified from the outset of this project. This relationship has been described by Chesson *et al* (2000, p9) as follows:

> *While the ESD reporting framework and EMSs are closely interrelated they are not the same, nor are they alternatives. They complement each other. The ESD reporting*

framework focuses on ESD outcomes by developing operational objectives and indicators to monitor and evaluate performance. The EMS focuses on how management will achieve those outcomes [in a systematic manner on an on-going basis]. An EMS requires the statement of an environmental plan, how this plan will be implemented, how performance will be monitored and evaluated and how management will be changed in response. Outputs from the 'ESD reporting framework' therefore provide essential inputs to an EMS. It is anticipated that the act of reporting through the ESD reporting framework will lead to the development of appropriate EMSs to improve performance.

Theoretically, the integration of the ESD reporting framework (ie. objectives and indicators) within an EMS framework may provide a means of pursuing and demonstrating performance of a fishery (at the local or sector level) with respect to ESD. However, in practice, the interface between the two processes may be less than seamless. This may be largely attributed to the fact that the ESD reporting framework has been applied as a 'top-down' process by researchers and managers through the centralised fisheries management processes. Whereas, this project promotes an 'industry-driven' or 'bottom-up' approach to EMS adoption and accords fishers with a primary role in stewardship and management. Clearly, the extent to which complementary relationship between the two processes may be established will be influenced by the nature and effectiveness of the co-operative management arrangements in place for the fishery/locality under consideration, or the willingness and capacity to develop effective co-operative management arrangements.

Further, EMS is promoted as voluntary in nature. However, in the context of the ESD reporting framework and existing management systems, the scope for voluntary management measures may be extremely limited, given the prescriptive nature of the majority of the fishery management frameworks in Australia and the predetermined nature of management objectives and responses within the EMS framework.

PLANNED OUTCOMES

The planned outcomes of the project, as per the Agreement were:

1. Continuous improvement of the Australian seafood industry's environmental management performance.
2. Improved public image and profile of Australia's seafood industry.
3. Increased adoption by the seafood industry of R&D results relevant to environmental management.
4. Increased security of access for commercial fishing activities throughout Australia.
5. Increased business and market confidence in the future in the industry, particularly in relation to maintaining and increasing export market penetration.
6. Increased community and government confidence in the sustainability and environmental responsibility of the seafood industry.
7. Significant cultural change within the industry whereby fishermen view or consider issues relevant to their operations within the context of environmental management.
8. Increased transparency and accountability for fishing industry operations and fisheries management.
9. Effectively addressing environmental management issues internal to the industry that will ensure a much stronger focus on addressing external environmental impacts on fisheries, eg. water quality, habitat degradation, etc.
10. These benefits will accrue to Australian catching sector, the broader Australian seafood industry, government and community groups, seafood consumers, fisheries and the environment.

The extent to which this project has contributed to the achievement of these extremely ambitious outcomes is clearly difficult to determine due to the limited timeframe in which this project, which

involved a large element of facilitating cultural change, was undertaken. Some comments are outlined below relevant to how the proposed outcomes have been met.

Planned Outcome	**Comment on progress**
Continuous improvement of the Australian seafood industry's environmental management performance.	The Green Chooser project was one of a number of initial projects to increase industry's awareness about the incorporation of the principles of ESD into commercial fishing and aquaculture activities. Through the involvement of industry in the case studies, industry's awareness about these concepts was increased and so assisted towards this outcome.
Improved public image and profile of Australia's seafood industry.	The project was not able to measure this outcome, however, it became clear through the case study process that increased involvement by fishers with local their local community assisted to improve the community's understanding about commercial fishing activities.
Increased adoption by the seafood industry of R&D results relevant to environmental management.	Again, this project could not measure this outcome, however, the activity of information gathering for the purpose of developing an EMS will increase industry awareness of relevant R&D information and therefore support their adoption of improved practices.
Increased security of access for commercial fishing activities throughout Australia.	Due to the 'bottom-up' approach of the Green Chooser, increased security of access could not be claimed to have been achieved. However, this project has identified areas of focus in need of additional resources to assist achieve this outcome.
Increased business and market confidence in the future in the industry, particularly in relation to maintaining and increasing export market penetration.	The timeframe of this project was too short for such an outcome to be measured.
Increased community and government confidence in the sustainability and environmental responsibility of the seafood industry.	The timeframe of this project was too short for such an outcome to be measured.
Significant cultural change within the industry whereby fishermen view or consider issues relevant to their operations within the context of environmental management.	Again, the timeframe of this project was too short to measure this outcome, however, it was observed that those fishers involved in the case studies did improve the understanding of industry with respect to the need for improved environmental management.
Increased transparency and accountability for fishing industry operations and fisheries management.	The timeframe of this project was too short for such an outcome to be measured.
Effectively addressing environmental management issues internal to the industry that	Whilst the Green Chooser model can be used to identify external impacts upon the health of

will ensure a much stronger focus on addressing external environmental impacts on fisheries, eg. water quality, habitat degradation, etc.	commercial fisheries, it was identified that this alone does not support fishers in gaining greater attention from government to address these impacts.
These benefits will accrue to Australian catching sector, the broader Australian seafood industry, government and community groups, seafood consumers, fisheries and the environment.	The timeframe of this project was too short for such an outcome to be measured.

CONCLUSION

The Green Chooser was successful in achieving the stated objectives of providing a framework for commercial seafood operators achieve their desired level of environmental certification relevant to their business operations. The involvement of SeaNet was also instrumental in assisting industry groups understand and commence the development of such an initiative. However, it must be stated that the achievements of this project were limited due to the time constraints of the project, in that the introduction of such initiatives requires much more time, particularly with respect to achieving cultural changes within industry.
The project, if considered as a pilot study, was successful in identifying that the development of such tools for industry needs to be accompanied by a high level of on-ground support to assist fishers understand and work through such a process. Additionally, the project demonstrated that this level of support was also required to assist in co-ordinating and writing the required EMS documentation.

Whilst the Green Chooser project was not successful in achieving all the stated outcomes, it was successful in commencing the development of materials required by industry to assist with the development of an EMS and identified the resources required to facilitate industry's adoption and increased understanding about the need for such initiatives.

APPENDICES

APPENDIX 1

PROJECT TEAM & STAFF

Principal Investigator & Co-investigators

Philip March (PI)	Ocean Watch Australia Ltd
Rick Fletcher	WA Fisheries Department
Jayne Gallagher	SSA Ltd
Bryan Pierce	formerly of SARDI

Project management

Jayne Gallagher	Business Development Manager, SSA Ltd
Ted Loveday	Managing Director, SSA Ltd
Christine Soul	Executive Officer, Ocean Watch Australia

Case study facilitation

Denis Ballam	Extension Officer, SeaNet (Queensland)
Matt Fox	Extension Officer, SeaNet (Victoria)
Katie Gill	Program Manager & Extension Officer, SeaNet (New South Wales)
Nicole Middleton	Extension Officer, SeaNet (New South Wales)
Frank Lee	Commercial fisher & Consultant to Ocean Watch Australia

Development of Seafood EMS Resources

(In order of involvement)

Fiona Curley	Project Officer, SSA Ltd
Karen Christensen	EMS Coordinator, SSA Ltd
Jill Brown	Project Officer, SSA Ltd

APPENDIX 2

Evaluation of the 'Seafood EMS Chooser' Case Studies

(Component of FRDC Project No. 2000/146, also known as the Green Chooser project)

By Karen Christensen, EMS Coordinator, SSA Ltd, *June 2002*

BACKGROUND

The Green Chooser Project is about providing support to the seafood industry to manage environmental, financial and social issues. It gives commercial fishers and aquaculturists the tools to develop an Environmental Management System (EMS).

The project, funded by the Fisheries Research and Development Corporation, is being undertaken by SSA Ltd (SSA) and Ocean Watch Australia (OCEAN WATCH). SSA is developing a series of booklets to help operators choose an EMS that suits their business. Ocean Watch Australia provided the extension arm of the project by running a number of case studies to trial the material produced by SSA.

There were six case studies involved in the project:

1. Hawkesbury Trawl Association, NSW
2. South West Rocks Beach Haulers Association, NSW
3. East Gippsland Estuarine Fishers Association Inc., Victoria
4. Abalone Industry Association of South Australia, SA
5. Queensland Rock Lobster Association Inc., QLD
6. Gulf of Carpentaria Commercial Fishermen Inc., QLD

Expectations on what participants hoped to achieve varied with each case study. Results ranged from completing a risk assessment and identifying major environmental threats to forming an Association and developing an Environmental Action Plan.

The material used in the trial consisted of:

1. An introductory brochure that describes some of the benefits of environmental management
2. 'The Green chooser' that outlines the tools for developing an EMS
3. The 'Step by Step Guide for Developing and Implementing your Environmental Management System – For Facilitators'.

The case studies were evaluated through a survey with ten participants interviewed by telephone. A copy of the questionnaire can be found in appendix 1.

RESULTS

DEMOGRAPHICS

1. All case studies were from wild capture fisheries. Businesses with a turnover of more than $20million were largely export-based where as operations with a turnover of less than $1million targeted the domestic market.

PARTICIPATION

2. Most participants were approached to join the case study through a SeaNet Officer. Others heard about the project through an Industry Association, SSA Ltd or through discussions amongst industry members on how environmental concerns were being tackled in another fishery.

3. The role played by industry members in the case study varied and included facilitator, industry leader and industry participant. All agreed that it was essential to have a 'driver' to motivate participants and keep the project moving. An industry champion was necessary to oversee the process and allocate tasks.

   SeaNet Officers acted as a facilitator in all case studies except for one where the industry wanted to drive the project themselves. However this Officer was on hand to provide guidance when

requested. Facilitators undertook a number of tasks including organizing meetings, obtaining resource materials, undertaking research and preparing draft documentation.

EXPECTATIONS

4. Outcomes participants hoped to achieve by participating in the case study fell into the following categories (these are in priority order):
    - Raise community support/awareness
    - Operate more efficiently
    - Reduce environmental impacts
    - Gain a competitive edge in the market place
    - Begin the process for organizing the fishery to comply with Environment Australia (EA) requirements
    - Develop a code of practice

Several participants were concerned with the public perception of their industry and consequently raising community support was the most highly sought objective.

Members commented that the case study had been useful for bringing people together and thinking about what needed to be done to comply with Environment Australia requirements for exporting product.

DIFFICULTIES

5. A number of hurdles were encountered during the project. These hurdles and ways in which they were overcome are listed in the table below. It was suggested that if the exercise was repeated, roles should be clearly defined from the start and members should run the process at their own pace.

Hurdle	Solution
Time commitment. Lack of volunteers to undertake tasks. People tied up with their business	Project put on hold until fishing season ceases in June
Voluntary people trying to earn a living at the same time	Helpful to have someone with secretarial skills who could undertake administration tasks such as write letters etc. The facilitator helped with this role for the case study.
Industry apathy – why should we change? Difficult to get "old hands" motivated	Choose young fisherman to be involved as it is their future. The comment was made that it shouldn't be older fishermen making decisions for younger fishermen. All participants were given tasks
Commitment from members	Commitment grew through participating in the project. Members were surprised how the project could help satisfy parts of the community and environmental interest groups. Some members started to collect environmental data (water temperature) for monitoring purposes, and experiment with ways of using less fuel.
Distance and communication (cost of travel)	Restricted the number of face-to-face meetings and kept in touch by telephone. One member commented that contributing in a financial sense helped encourage commitment and ownership of the process.
Not knowing future, hard to find extra energy to develop something new	Members continued on with the case study despite circumstances and found the process extremely worthwhile – resulted in positive feedback from the local community.
Communicating information	Improved computer skills - learnt how to use e-mail
Lack of defining roles in the planning phase of project	The SeaNet Officer was happy with any involvement from industry and didn't push members to take on tasks. The comment was made that it would have been better to define roles at the start of the project.

Support and guidance

Need and access to material

6. Best practice examples followed by guidance materials were the resources most wanted and accessed. Participants made the comment that the more examples made available, the better. Support from a SeaNet Extension Officer was also highly rated and templates considered very useful in the early stages of developing an EMS.

   Background information was sought from Fisheries Agencies and to a lesser extent, Research Agencies. A number of suggestions for future training were made. These are listed in section 8.

Content of material

7. In general, participants felt that the content of the material was good. The introductory brochure was helpful in "getting people going". The checklists in the Green Chooser were very helpful. However, the Step by Step Guide was too theoretical and in places, difficult to understand. The material could be made less academic and simplified – "there is a lot to digest". The comment was made that readers need to feel "comfortable from the first page".

   Copies of the draft material were easy to access. The Step by Step Guide is perhaps more of a reference tool but it was suggested that all participants should have access to a copy.

Format of material

8. Participants felt that the guidance materials could be provided in varying forms. Printed workbooks and personal assistance from SeaNet Officers were the most popular. Electronic (CD) and web based material would be useful for those with access to this technology. Workshops and training were also considered important. Any workshop or training however, would have to be held when members were available – not during the height of the fishing season.

   It was suggested that training would be useful in the following areas:
   - Leadership
   - Public speaking
   - Basic computer skills (word processing and using e-mail)
   - Secretarial skills (writing letters, typing)
   - Working with the media (writing media releases)
   - How to run a meeting (roles of treasurer, secretary etc.)

   Participants felt comfortable talking about environmental management and did not suggest training in this area. However, participants were keen to extend their skills in unfamiliar areas such as in computing and public speaking.

   It was suggested that it may be more efficient to link training in with TAFE courses rather than run specific sessions on these topics. It was pointed out that family partners could be involved – often wives handle much of the paperwork for the business.

   It was also pointed out that a cassette may be a good way of disseminating information on Environmental Management Systems. Members could listen to tapes whilst out fishing for example.

RESOURCE REQUIREMENTS

9. In most cases, 5 to 20 hours per week per individual were devoted to the case study. This applied to both SeaNet Officers and industry participants. In a couple of instances this peaked at 20 to 40 hours per week for the person driving the project.

10. Wives made a valuable contribution to the project and at times, spent up to 5 hours per week assisting. Roles ranged from general administration to helping set up a website.

11. Generally 5 or more people took part in the case study. For example, with one case study 5-7 people were on the committee and these people regularly attended meetings. However draft documentation was sent out to all Association members for comment (60 to 70 people).

12. As expected computer, fax and phone were the most heavily used resources in each case study. Printing, postage and phone calls and travel/accommodation costs were significant. The comment was made that printing can be very costly and funds hard to raise with a small Association.

13. In all case studies the value of the resources used was estimated between $5,000 and $10,000.

14. Plans for the future for industry members include:

    - Finalizing a code of practice as a basis on which to build ISO 14000.
    - Reviewing the management plan to see if goals are being achieved. "It's a living document".
    - Looking at using the plan as a marketing tool (highlight the fact that product is caught under environmental friendly conditions as stated in the plan).
    - Finalising the plan. The plan is currently out for consultation with local councils, environmental groups, chamber of commerce etc.
    - Repeating the project with another fishery
    - Updating the environmental policy so it becomes a working, audited and internationally recognized document.
    - Launching and placing the plan on the website as a means of informing the community of activities
    - Conducting a pamphlet drop to let the community know the work industry has been undertaking in the environment area.

15. General comments from industry members
    The process of developing an EMS was seen as very valuable. It gave members confidence in tackling issues concerning public perception of their industry. The industry members had to work as a team to achieve their aim2s and this "brought the river together". There was a general feeling that the time is right for industry groups to develop an EMS to suit their operations.

    The assistance SeaNet Officers provided was seen as very valuable. In a number of the case studies, officers helped draft documentation in a form digestible and acceptable to the wider community but still meaningful to industry members.

    If the project was repeated, it was suggested that the industry champion could start in a comfortable environment - at the beach with the fishermen for example. By going through the fishing gear, members could easily see the connection between fishing and the project.

16. General comments from seanet officers
    One of the hardest parts was getting people motivated. It was extremely valuable getting another industry member who has been through the process to talk to the fishermen. It was pointed out that developing an EMS can be a slow process with people busy running their own business. The process should not be rushed and the pace should be dictated by industry.

RECOMMENDATIONS

a) An Extension Officer can provide a valuable role in facilitating the process by organizing meetings, undertaking research and preparing draft documentation (in a form appropriate for a public audience).

b) The process should start in an environment where members are comfortable and can relate to such as where the fishing takes place.

c) An industry champion is necessary to motivate participants, allocate roles and oversee the project.

d) Best practice examples are extremely helpful when developing an Environmental Management System for the first time.

e) All guidance material should be made clear, concise and user-friendly.

f) The introductory brochure is a good aid to start people thinking about environmental management.

g) Guidance materials could be provided in varying forms (these are in priority order):
    a. Printed workbooks
    b. Personal assistance from SeaNet Officers
    c. Web-based material
    d. A cassette tape to listen to whilst out fishing

    Training would be useful in the following areas:
    e. Computer skills (to learn about word processing and using e-mail)
    f. Public speaking
    g. Secretarial skills (to learn how to write letters)
    h. Media skills (to learn how to write media releases)
    i. How to run a meeting (to understand the roles of treasurer, secretary etc.)

    It may be best to link in with the TAFE system rather than run separate courses.

h) Wives of fishermen could be targeted when offering training, distributing materials and building the SSA networks.

i) Members should develop and implement the system at their own pace.

j) Assign roles early on in the process. All interested members should be given a task that is achievable and contributes to the project.

k) Ask an industry member who has been through the process to talk to fishermen considering developing an EMS.

APPENDIX 3

SEAFOOD EMS BROCHURE

A great future in seafood!

- ✓ a profitable business
- ✓ a healthy fishery and environment
- ✓ good community relations

MAKE IT HAPPEN!

To have a great future in seafood you need to minimise all the risks to your business investment. It is not enough to consider only the financial aspects. Other aspects of your business carry risk.

Think about your reliance on healthy fish stocks and the other natural resources you use. The state of fish habitats, water quality and many other environmental factors affect your business. The need to meet obligations set by environmental laws — including strategic and environmental assessments — is also becoming significant.

What about the "people factor"? Think about how your business can be dragged down by a negative public image. The amount of community support for your industry affects your access to the resources you need.

These factors — financial, environmental and social — are often referred to as the "triple bottom line". All three are inter-connected, and all three can affect your ability to stay in business for the long term.

We can help you to manage the risks that affect the triple bottom line of your business. To start, we've prepared a questionnaire on the panel. The questions cover some of the areas that are important to having a future in the seafood industry. Check out how your business rates now.

Bruce Miller

FINANCIAL

ENVIRONMENTAL

SOCIAL

A profitable business

	Yes	Maybe	No
1. I strive to consistently meet my customers' requirements.	☐	☐	☐
2. I consider there are long-term risks to my business that go beyond current financial, profit and loss factors.	☐	☐	☐
3. I understand my legal obligations and have systems in place to help me continue to comply with them.	☐	☐	☐
4. To reduce risk in my business and safeguard my investment, I tackle environmental matters.	☐	☐	☐
5. I look at ways of value-adding my product, and making my operations more efficient.	☐	☐	☐

Dennis Sasson, Lochman Transparencies

K. Hopson, Great Southern Stock

A healthy fishery and environment

	Yes	Maybe	No
1. I take a serious interest in environmental matters relating to the long-term health of my fishery.	☐	☐	☐
2. I strive to continually improve my practices and minimise my impacts on the environment.	☐	☐	☐
3. I take part in activities aimed at reducing the environmental impacts on my fishery.	☐	☐	☐
4. I help collect environmental data so that we can measure our progress towards sustainability.	☐	☐	☐
5. I am confident that my right to fish or to carry out aquaculture will not be restricted by the ecological sustainability of my industry.	☐	☐	☐

Good community relations

	Yes	Maybe	No
1. I am actively involved in raising the community's awareness of my industry's environmental performance.	☐	☐	☐
2. I try to respond to community expectations of my industry.	☐	☐	☐
3. I work with other people in the seafood industry and the community to achieve common environmental goals.	☐	☐	☐
4. I am satisfied that the media coverage of my industry is mostly positive.	☐	☐	☐
5. I am confident that the community will support my claim to continue to use the natural resources on which my business depends.	☐	☐	☐

Jiri Lochman, Lochman Transparencies

HOW DO YOU RATE?

Is there room to improve?
New opportunities to uncover?

When you go on to the next stage and consider your options, it's a good idea to keep in mind the answers you gave in the questionnaire, and to plan your action around them.

WHATEVER YOUR NEEDS AND MOTIVATIONS ARE ...

- **Just staying in business**
  - Securing your right to fish or farm
  - Maintaining a market for your product
- **Making higher profits**
  - Uncovering inefficiencies and continually improving processes
  - Making opportunities for value-adding
  - Gaining a competitive edge in the market place
- **Feeling good**
  - Enhancing your reputation
  - Building a business worth passing on to your children
  - Improving your industry's morale and self esteem

... YOUR BUSINESS CAN BENEFIT FROM A FOCUS ON ENVIROMENTAL MANAGEMENT.

You can choose whether to go ahead on your own or to team up with others in your fishing community and industry to achieve common goals.

TO FIND OUT HOW, CONTACT SEAFOOD SERVICES AUSTRALIA OR OCEAN WATCH AUSTRALIA!

We're here to help you with information and advice on the wide range of environmental management approaches available, including:

- environmental codes and management systems;
- public reporting;
- environmental certification;
- eco-efficiency opportunities;
- improving fishing gear, technology and methods with the help of SeaNet environmental extension service;
- community communication; and
- other sources of help.

Brian Gilkes, Great Southern Stock

To get you started, you'll receive an information pack. It contains a guide to environmental management options for the Australian seafood industry — called the *Green Chooser* — and other information gathered from government and non-government sources. These will help you to further refine your needs and to choose the way ahead for your business or industry group.

Contact Seafood Services Australia or Ocean Watch Australia now!

SEAFOOD SERVICES AUSTRALIA

Freecall 1300 130 321

E-mail ssa@ssaust.com

OCEAN WATCH AUSTRALIA

Telephone 02 9660 2262

E-mail ocean@oceanwatch.org.au


A great future in seafood!

Make yours a great future in seafood!

"It is not the strongest species that survive,
nor the most intelligent, but the ones
most responsive to change."

— Charles Darwin

Published by Seafood Services Australia Ltd as a service to the Australian seafood industry with funding by the Fisheries Research and Development Corporation. FRDC project 2000/146, 'Developing environmental management standards for the Australian seafood industry', conducted by Ocean Watch Australia Ltd. Case studies and delivery by SeaNet.

FISHERIES RESEARCH & DEVELOPMENT CORPORATION

SEAFOOD SERVICES AUSTRALIA

OCEANWATCH
FOR THE FUTURE OF OUR MARINE ENVIRONMENT

SEANET
smarter fishing for industry

Seafood Services Australia Ltd is a company established by the Fisheries Research and Development Corporation and the Australian seafood industry. The company works with the industry to develop and commercialise new knowledge, processes and technology.

Front cover: Alex Steffe, Lochman Transparencies. Inset: Clifford Young. Full page: Eva Boogaard, Lochman Transparencies. DESIGN ANGEL INK

APPENDIX 4

SEAFOOD EMS CHOOSER

Take your pick! — the Seafood EMS Chooser

…to help you to decide on the environmental management system that you need for your business or fishery

SEAFOOD SERVICES
AUSTRALIA

A CATALYST FOR SUSTAINABLE DEVELOPMENT OF THE SEAFOOD INDUSTRY

Take your pick! — the Seafood EMS Chooser

…to help you to decide on the environmental management system that you need for your business or fishery

SEAFOOD SERVICES
AUSTRALIA

A CATALYST FOR SUSTAINABLE DEVELOPMENT OF THE SEAFOOD INDUSTRY

This publication was developed by Seafood Services Australia Ltd and Ocean Watch with funding by the Fisheries Research and Development Corporation through project 2000/146: Developing environmental management standards for the Australian seafood industry

commonly known as the

"Green Chooser" project

Take your pick! — the Seafood EMS Chooser

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Contents

"It's not the strongest species that survive, nor the most intelligent, but the ones most responsive to change"

Charles Darwin

Welcome to your future!

To get ahead and stay ahead in this competitive world, businesses need the latest and best knowledge. They need to be innovative. They need the benefits of adopting the best and most efficient industry practices. One way of building sustainable businesses is to use environmental management systems (EMSs) to improve — and demonstrate — good environmental performance. EMSs are fast becoming a cornerstone of the seafood industry's development.

This book helps to de-mystify concepts involved in EMSs and continual improvement processes. It presents an EMS model to help seafood businesses and organisations to choose and implement an EMS to suit their needs.

The EMS model is based on the philosophy of continual improvement — that is, recognising current levels of performance, and then systematically working towards realistic and achievable improvements for the future.

The resources developed by Seafood Services Australia Ltd and Ocean Watch under the FRDC-funded *Green Chooser* project have been customised for use by seafood businesses and organisations of all types and sizes. They include:

- This easy-to-follow guide to help you to choose and implement an EMS suitable to your circumstances. The easy to follow step-by-step Seafood EMS model has been tested and refined through many seafood industry case studies.
- A range of special resources, listed on pages 38–39, have also been specially designed for the seafood industry and have been continually improved as more and more seafood businesses have adopted EMSs and share their lessons and success stories.

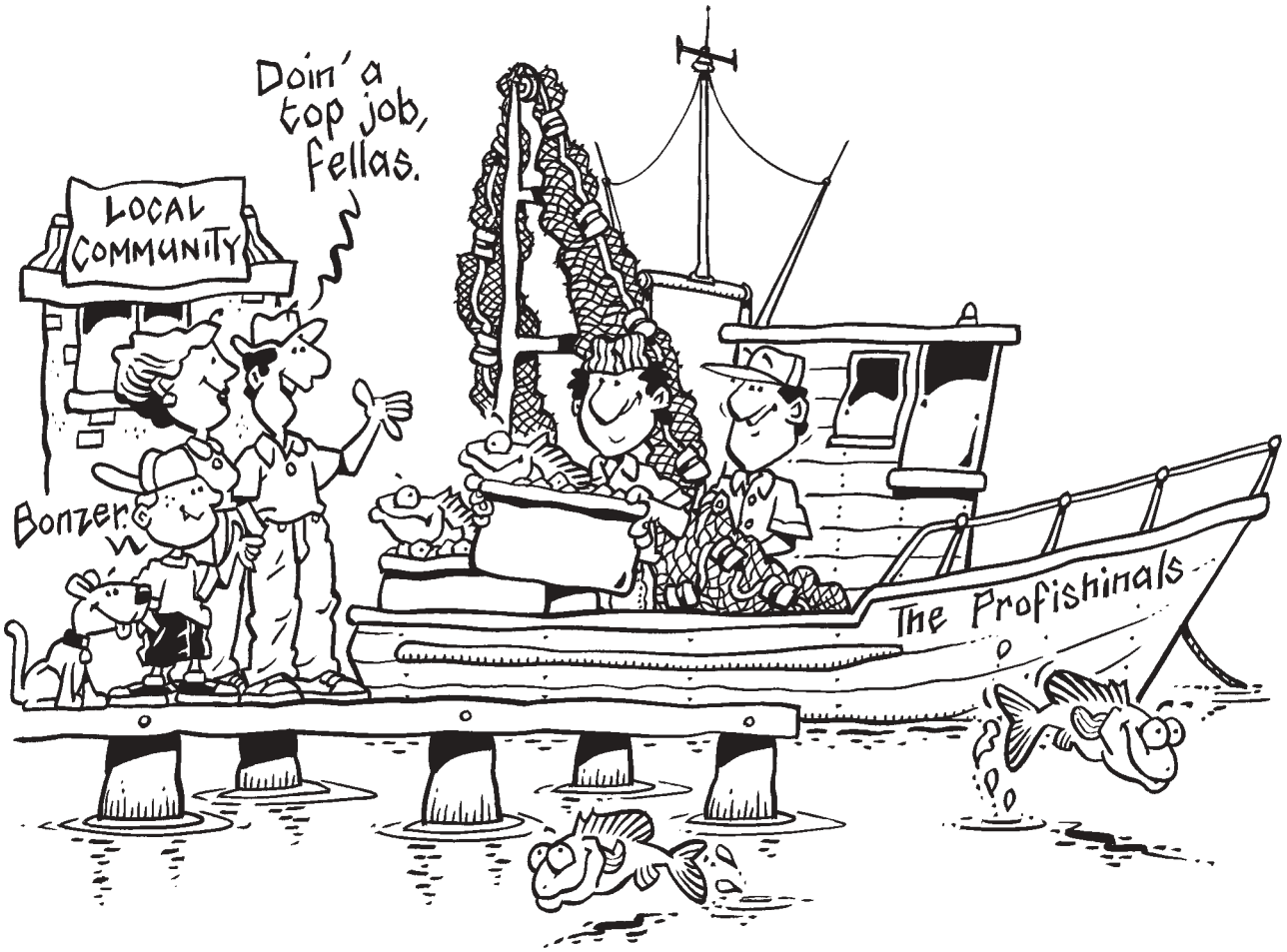
Case studies have demonstrated that people embarking on a journey of continual improvement will achieve much more progress towards their vision for the future than those who attempt the "high-bar", or "do it all now" approach. They also highlighted that with appropriate resources, information and support, most seafood businesses soon embrace continual improvement with tremendous vigour and commitment.

Underpinning this publication is a wealth of seafood EMS resources, including the accompanying Seafood EMS CD-ROM, easy-to-use workbooks, information, practical tips, examples, and eight workbooks to guide each step of the Seafood EMS process.

SSA and Ocean Watch extend sincere thanks and appreciation to the many people who contributed to the Green Chooser project. Our special thanks go to the fishers and their families and employees whose efforts and commitment during the case studies showed how it makes good business sense to adopt a strategic, whole-of-business approach to managing environmental and business risks and capitalising on opportunities.

Christine Soul
Executive Officer, Ocean Watch

Ted Loveday
Managing Director, Seafood Services Australia



Improve your environmental performance — and demonstrate it!

All cartoons by Paul Lennon ©SSA 2002

Why focus on the environment?

- **Improve your bottom line — save time and money**

- **Secure access to fisheries and aquaculture sites**
  Demonstrate that you use natural resources in a responsible and sustainable way

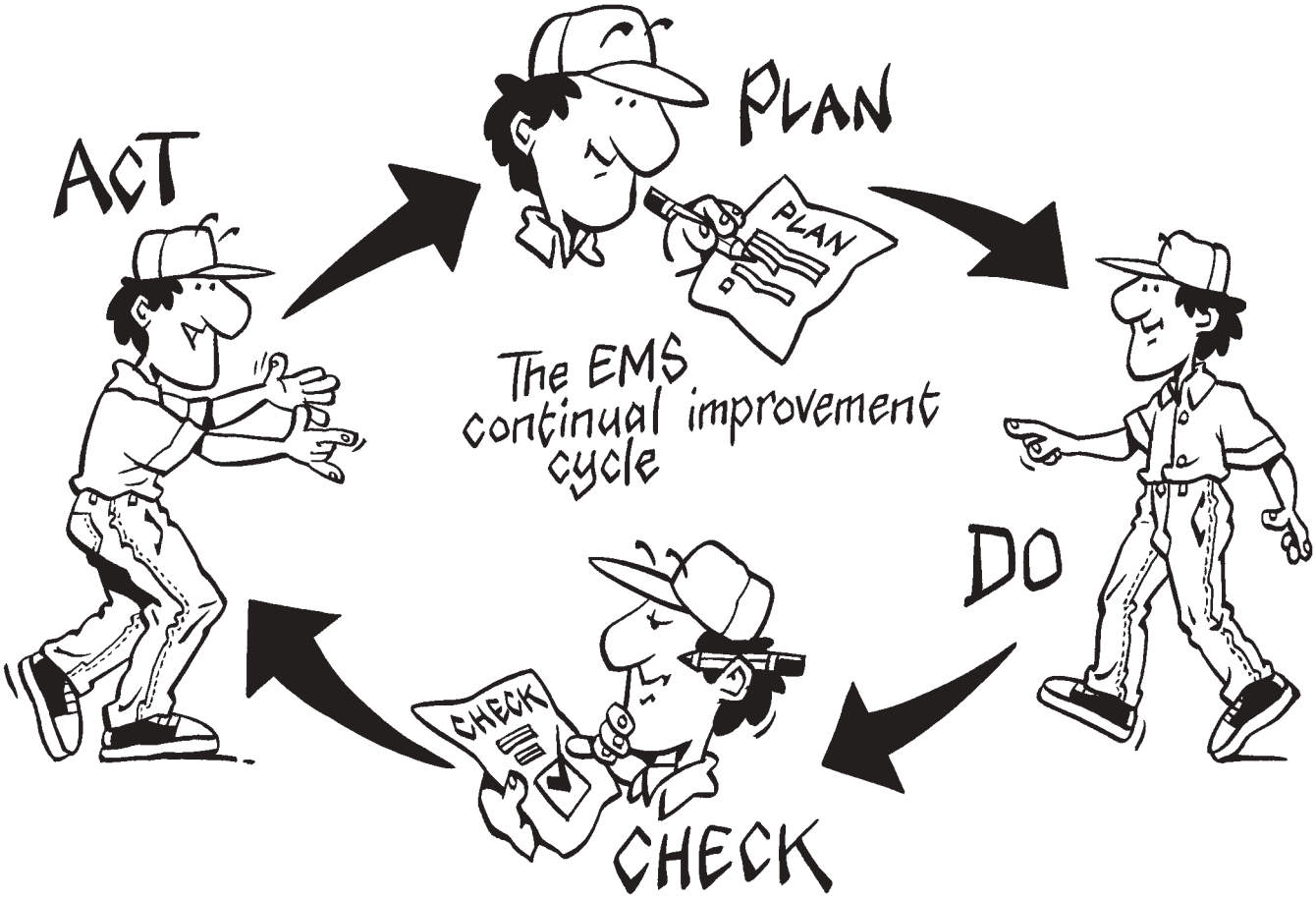
- **Gain community support — locally and nationally**
  Good environmental performance is the key

- **Have a competitive edge in the market**
  Best environmental practice will help secure market access

- **Gain a reputation as a responsible operator**
  Have more influence in debates relevant to your industry

- **Comply with relevant laws**

"Environment" is used to describe the surroundings in which we all operate — air, water, soil, land, natural resources, flora, fauna, humans and their interactions, including economic and social as well as ecological interactions.


PLAN
PLAN
ACT
The EMS continual improvement cycle
DO
CHECK
CHECK

What is an EMS?

An environmental management system (EMS) is a process used to manage environmental impacts, risks and opportunities.

The great thing about an EMS is that you can design it to suit your own circumstances. There is no stock standard EMS. An EMS can be designed to:

- manage a particular environmental risk — for example, the environmental impacts of a certain fishing method or aquaculture activity
- focus on more efficient use of your resources — less waste = more profits
- integrate environmental management into an existing management system — for example, a system for managing food safety or quality

An EMS may be:

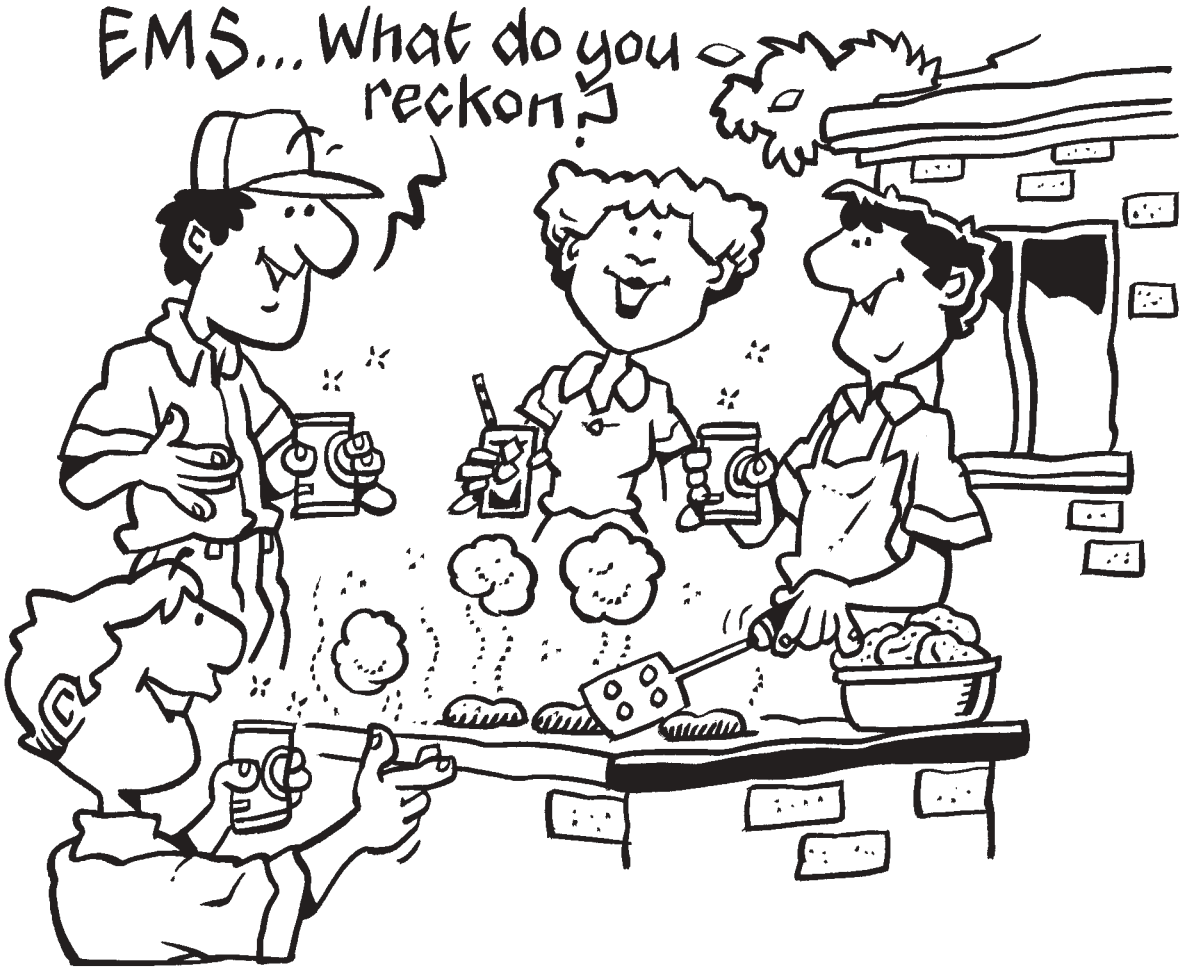
- as simple as a code of best practice, or
- as comprehensive as a third-party certified system complying with international standards such as ISO 14000 or the Marine Stewardship Council

An EMS may cover:

- an **individual business**, such as an aquaculture business or a fishing vessel
- several businesses with common interests, such as the members of an **industry association**
- all businesses in a particular fishery or aquaculture **sector**

Design your EMS to suit your own goals and priorities

ISO stands for the International Organization for Standardization. ISO has developed internationally accepted standards for quality management (ISO 9000 series) and environmental management (ISO 14000 series).



Talk with your mates about how an EMS could help you.

Developing your Seafood EMS

Frequently asked questions

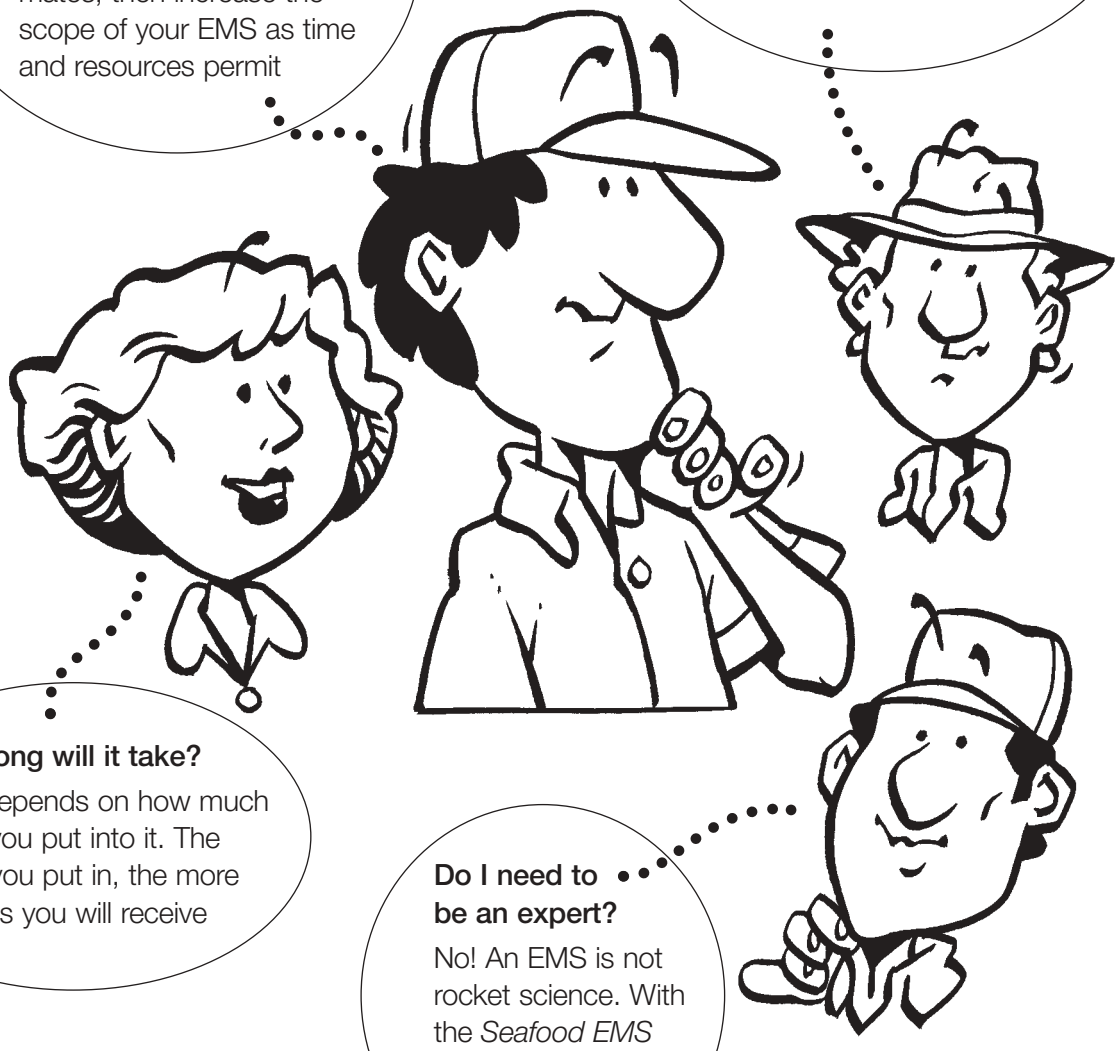
How much will it cost?

You may start by addressing issues that only need time and input from you and your mates, then increase the scope of your EMS as time and resources permit

How will EMS benefit me?

It will help you to:

- increase business security
- improve efficiency
- increase profits
- reduce environmental impacts
- improve community relations

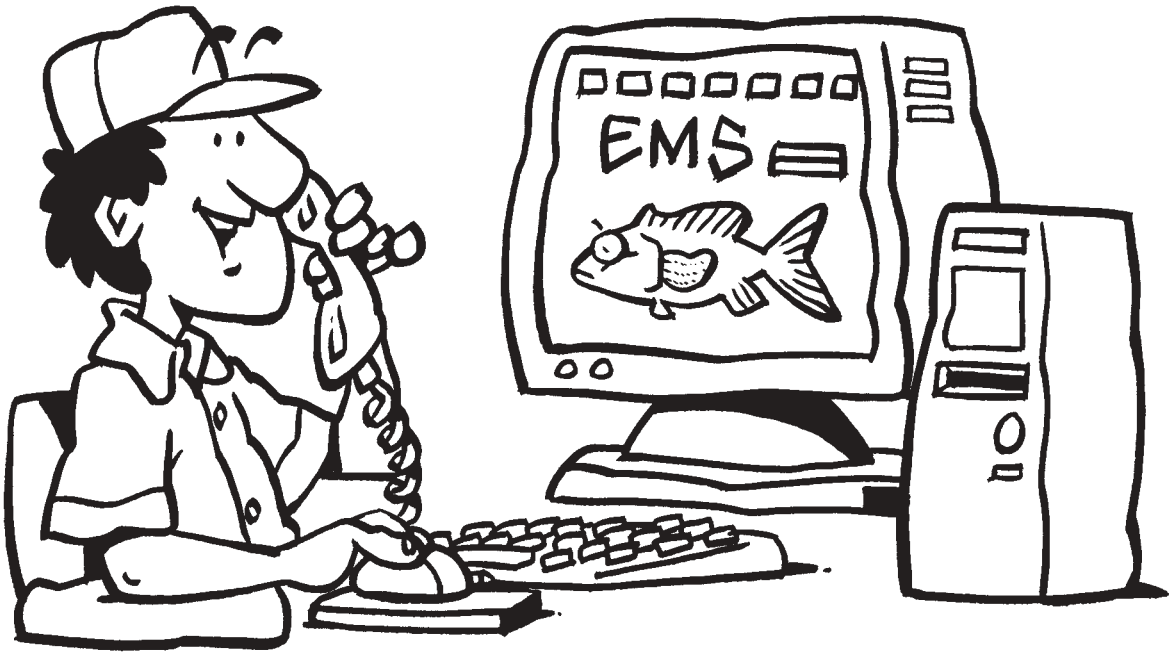


How long will it take?

That depends on how much effort you put into it. The more you put in, the more benefits you will receive

Do I need to be an expert?

No! An EMS is not rocket science. With the *Seafood EMS Resources*, you can make it happen!



Go to www.seafoodems.com.au

Look at what other seafood industry organisations have done.

Contact them to ask how they did it, and what the benefits are.

The Seafood EMS Resources — to help you …

The *Seafood EMS Resources* are designed especially for the seafood industry. The resources help to simplify EMS jargon and are customised for use by seafood businesses and organisations. They will help you use your time and resources efficiently — to save you time and money. The great thing is you can start putting your EMS together from day one. Details of these resources are on pages 38–40.

Seafood EMS resources

Seafood EMS Chooser

Seafood EMS Workbooks

Seafood EMS website

SSA Fact Sheets

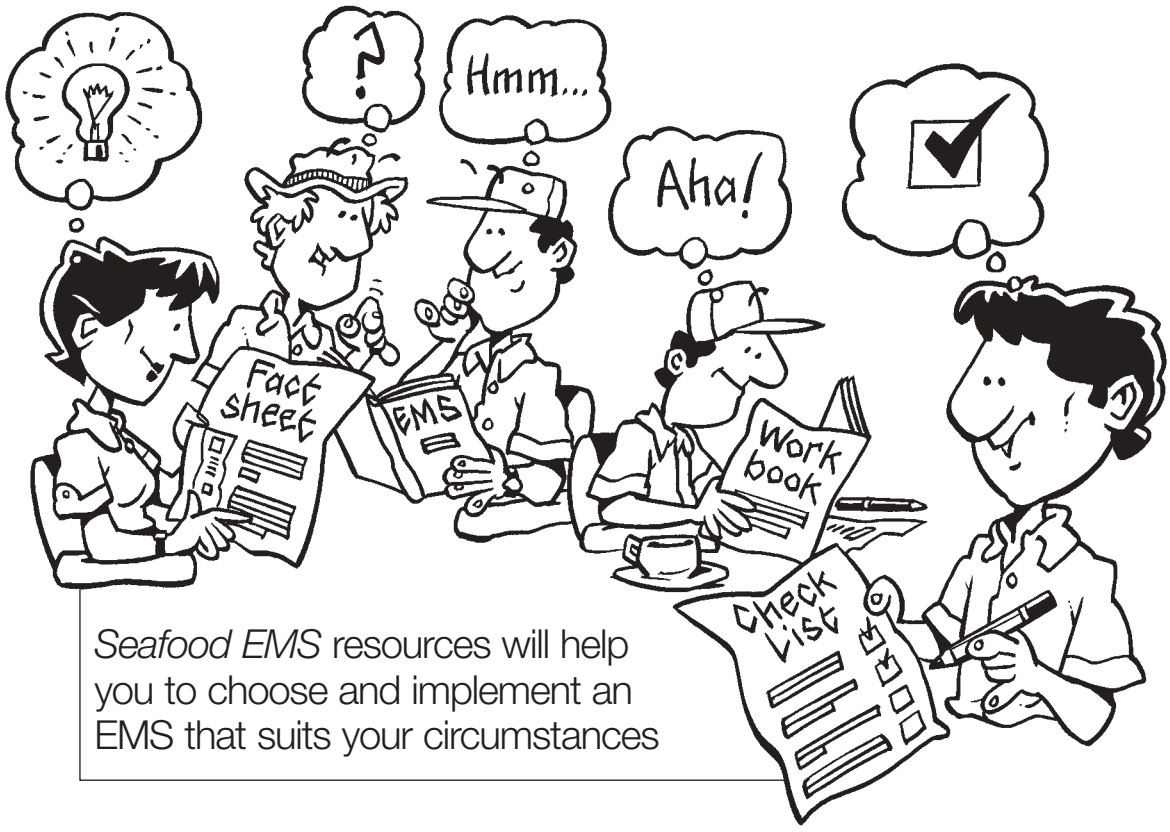
Seafood EMS Plan Template on

Seafood EMS Step by Step Guide

Seafood EMS Inventory

Seafood EMS CD

Community Communications Guide



Seafood EMS resources will help you to choose and implement an EMS that suits your circumstances

Eight easy-to-follow steps

1. Vision
Where do you want your industry to be in 5 or 10 years?

2. Current assessment
Where are you now — strengths, weaknesses, opportunities, threats?

3. Scope
What activities should your EMS cover? What resources are needed? Form an EMS team!

4. Environmental policy
Make a commitment!

5. Action plan
Make it happen!

6. Implement
Take action; monitor and correct

7. Audit, certify, review
Transparency = Confidence! Continually improve.

8. Report
Who to tell; how and when?

The eight Seafood EMS steps

The diagram opposite shows the sequence of the *Seafood EMS* steps. This book includes one-page summaries of each step explaining how this step contributes to your EMS. The summaries also include some very helpful hints.

Working through the steps — key points to remember

- start at step 1 (vision)
- don't skip any steps — they are all important to a successful EMS outcome
- refer to previous steps as required — that's all part of the process
- the one-page summaries list resources to help you with each step
- follow the instructions, read the helpful hints, look at the ideas and examples, and use the checklists and worksheets
- record the outcomes from each step in the corresponding workbook — this information will help you create your EMS Plan.

The EMS Plan

Your EMS Plan includes the key information that you generate under each *Seafood EMS* step, as well as other important information about your industry.

the easy way ...

- download the EMS Plan Template from the Seafood EMS CD
- insert the information you generate under each step into the appropriate section of the template — this will give you a draft EMS Plan
- decide what other information you want to include and how to gather it
- when you are reasonably happy with your draft EMS Plan, have it reviewed by someone outside your group — someone not pushing their own barrow
- finalise your EMS Plan.

See page 40 for more information and tips on creating and maintaining your EMS Plan, and ideas on how to make the best use of this valuable resource.

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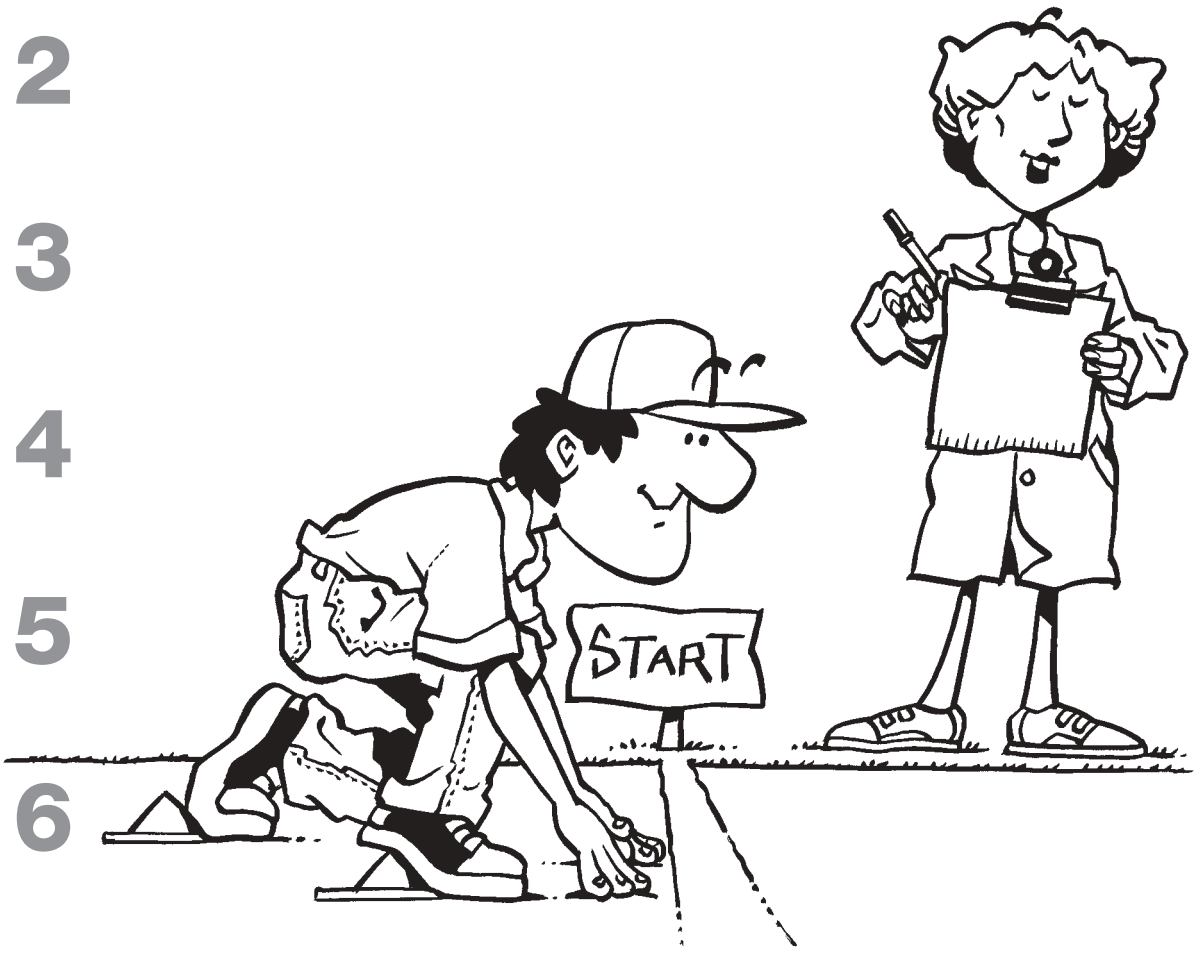


The eight *Seafood EMS* steps

Getting started

Everyone whose activities are likely to be covered by your EMS needs to have ownership of it. Hold a **workshop** and get them involved. The purpose of the workshop is to give everyone an understanding of the process and to start working through the EMS steps.

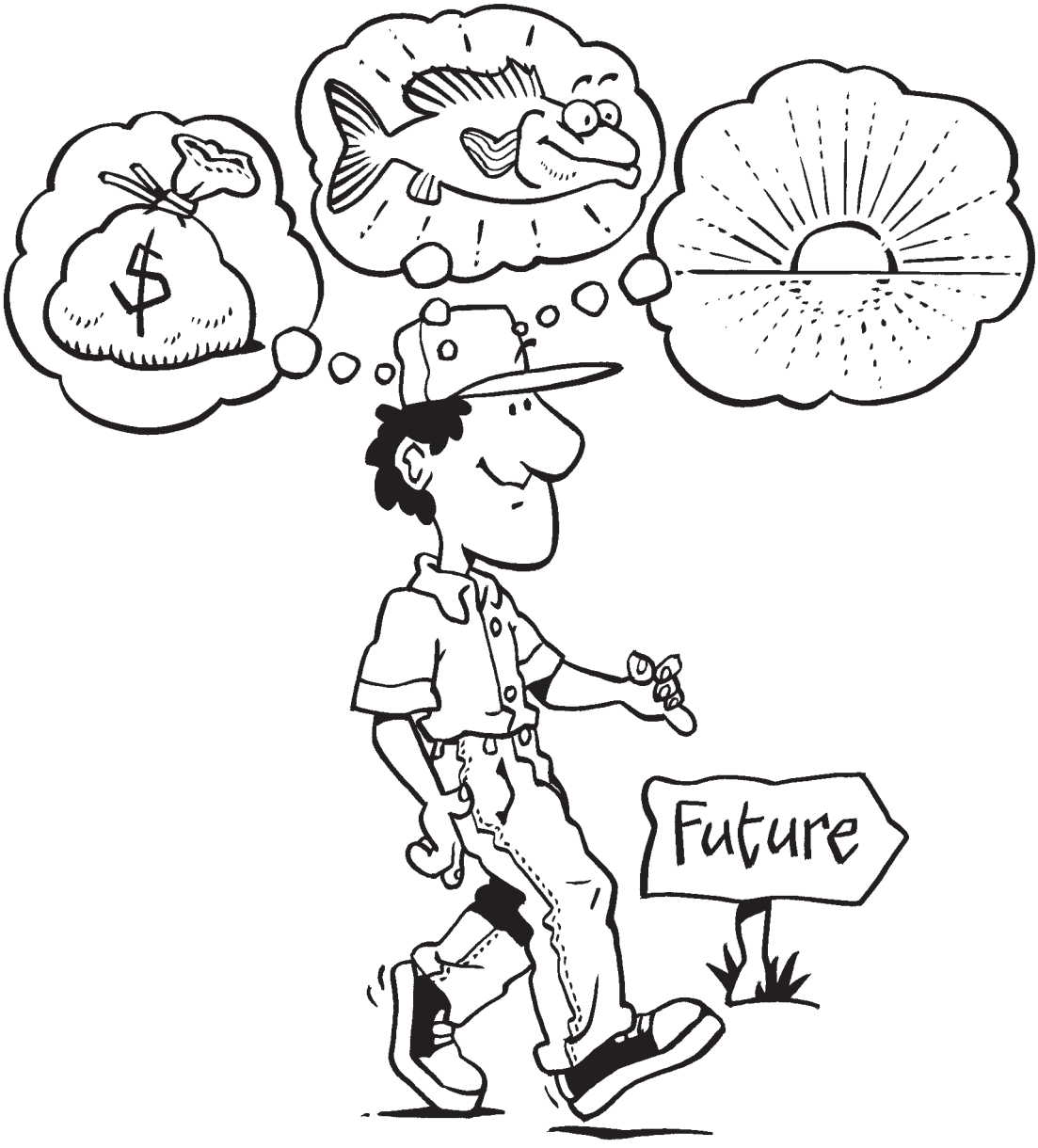
SSA can help you with the workshop in a number of ways:

- provide professional presentations about the Seafood EMS process
- advise on funding programs that may be able to help
- arrange for key people to attend — industry and government — to gain their support

SSA will also list your EMS process on the *Seafood EMS Inventory* (www.seafoodems.com.au).

Turn your EMS into reality — follow the eight Seafood EMS steps

If you don't know where you're going, you could end up anywhere!



Step 1: Vision — where you want to be

After this step you will have:

A clear statement describing what you want your industry to look like in the future.

Why have a vision?

Defining your vision is the essential first step in developing an EMS. It will help you determine the activities your EMS needs to cover (step 3).

Your vision gives you a solid base to achieve future cooperation on a range of issues, particularly when the going gets tough — focusing on your vision is a great way work through difficult issues.

Most importantly, before you start on your EMS journey you need to know where you want to go. Your vision is your destination. In later steps you work out who needs to come too and decide on the roadmap to get you there.

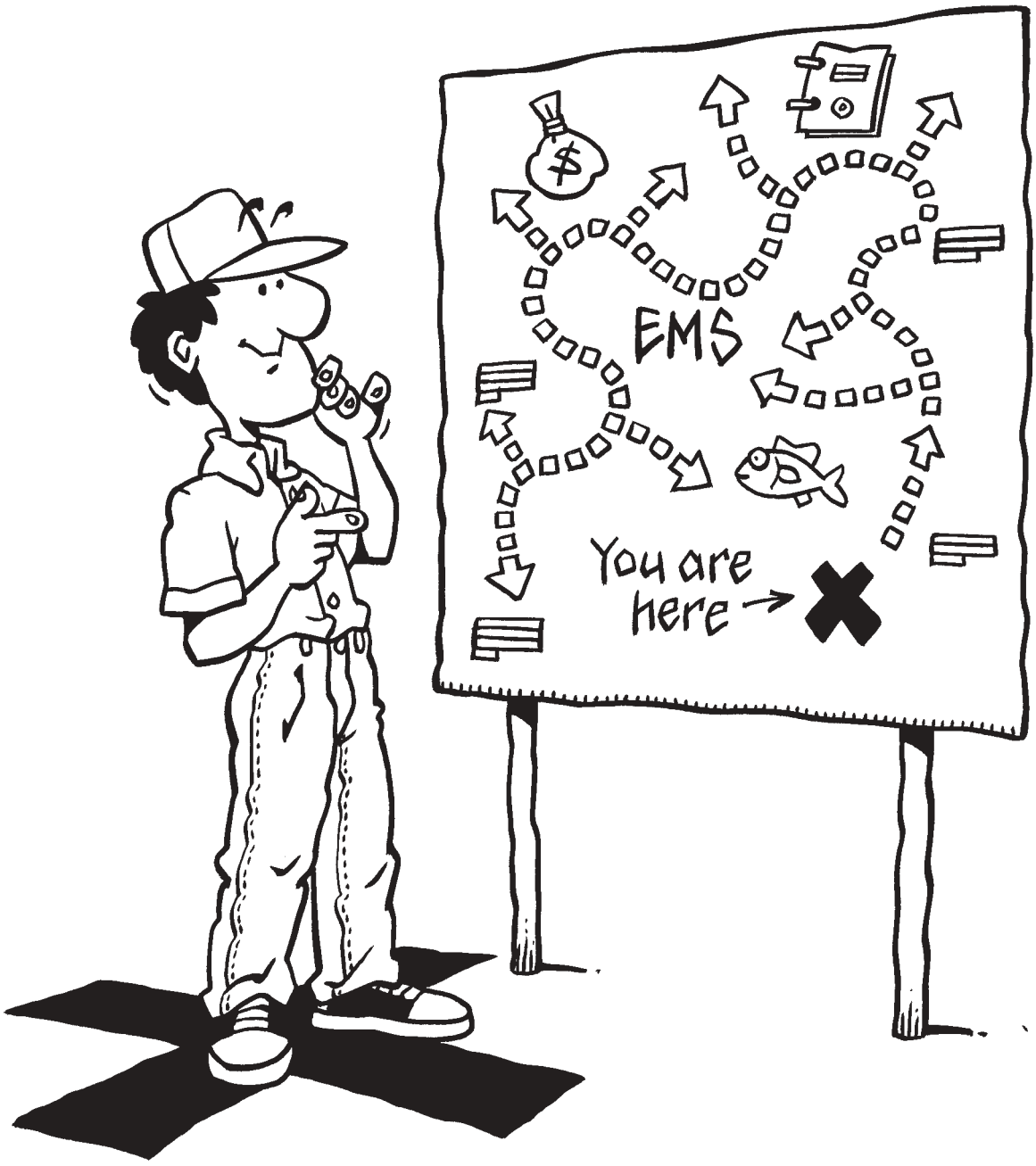
Helpful hints

- this step is about **where** you want to be — **what** you want your industry to look like in say, 5 or 10 years
- try to step back from today's challenges — describe the key characteristics of your future industry (e.g. profitable, secure resource access, public support, etc)
- think broader than the environment — consider economic and social issues
- avoid getting into the detail of **how** you will achieve your vision — you will work that out in later steps, and how to do it in bite sized chunks
- don't get hung up on making your vision statement perfect the first time round — there will be plenty of opportunities to fine tune it later (e.g. step 3)
- the best vision statements are brief and concise — use dot points — for others to share your vision they need to understand it
- your vision does need to be credible — it should be reasonably achievable in the timeframe you decide
- everyone whose activities will be covered by your EMS needs to share your vision — hold a workshop and invite them along
- remember this is your vision — you need to be happy with it
- your vision statement is the first key piece of information for your EMS plan.

Resources to help with this step

Pages 38 and 39 show what these icons stand for

You need to know your starting point — and what bridges you may have to cross along the way.



Step 2: Current assessment — where you are now

After this step you will have:

A list of your industry's strengths (what you are doing well), weaknesses (what you need to do better), opportunities (to progress towards your vision) and threats (things that might get in the way).

Why assess your current position?

You need to identify the issues that may impact positively or negatively on your industry. Then you can start planning to close that gap between where you are now and where you want it to be in the future.

List these issues and allocate each issue a 'high', 'medium', or 'low' priority. You will then be ready to decide on actions to close the gap (Step 3).

Helpful hints

- this step is about **where** you are now — don't get distracted by debates about **why** you are there, or **how** you will fix it (that happens later)
- remember, a threat is often an opportunity in disguise
- think broader than just the environment — also economic and social aspects
- consider the public's perception of your industry, and your image in the media
- consider your impacts on the environment, and the impacts of others
- list the laws that are relevant to your industry, and any that may be of concern
- put all issues on the table — sweeping any under the carpet will cost you in the long term
- remind yourselves of your common vision if the going gets tough
- identify the things you are doing well
- scan the horizon for future opportunities to forge a more secure industry
- this step will generate information that will be very useful for developing your EMS Plan — particularly the 'good news' stories.

Resources to help with this step

Pages 38 and 39 show what these icons stand for

Others need to come on your EMS journey.

Step 3: Scope — what activities to cover

After this step you will have:

A description of the activities that your EMS will cover.

Why define a scope?

Your scope defines what activities your EMS will cover. It clarifies the activities that you accept direct responsibility for and those that you do not. Include all of **your** activities that may have an existing or future impact on the environment. Do **not** include activities that you have no control over — and cannot change yourself.

The Hawkesbury Trawl Association has a good model (http://www.hawktrawl.net). Its EMS covers only licensed commercial fishermen who are members of their Association. Initially, you should stick to the activities you know you can control — you can revisit and broaden your scope later. Remember, the broader your scope, the more issues your EMS will cover and the more resources you will need.

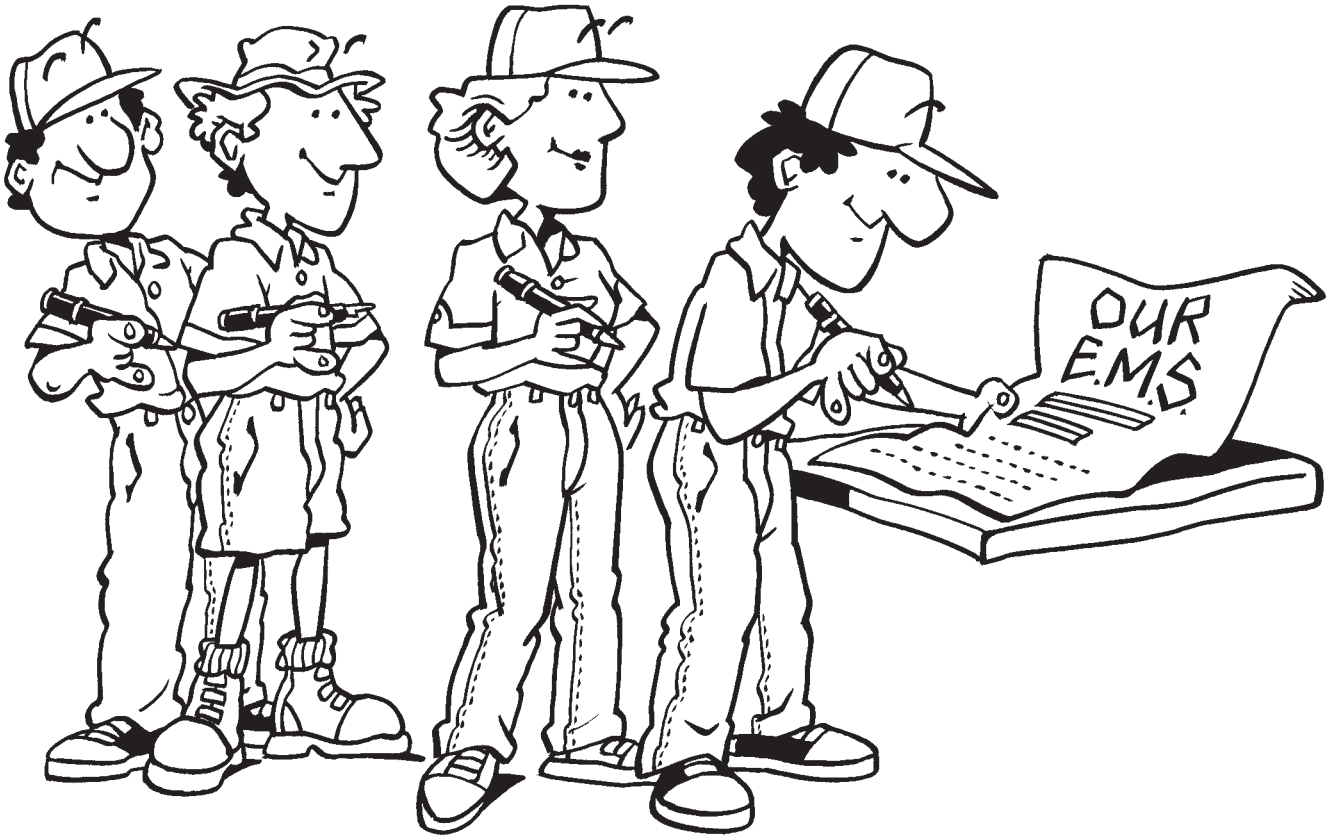
You also need to give your EMS some legs. Identify and support your industry champions. Form an EMS team to make sure it happens. Think broadly about your communication strategy. Consider whether you need to form an association. Consider what other resources you will need.

Helpful hints

- be concise — avoid confusion about what your EMS covers and what it does not
- don't confuse your scope with your priorities — your EMS should cover all of **your** environmental impacts, even if you decide to address only priority issues for now
- look at the workbook or CD for some good examples — modify them to suit you
- the list of priorities created under step 2 will help identify relevant activities
- list the activities not covered by your EMS that you want to influence — these issues will help focus your communication strategy
- you need a core group of people who are keen to make it happen — let others get involved when they better understand what you are doing
- you may need to revise your vision when you determine your scope (step 1)
- see pages 36 to 44 for information and advice.

Resources to help with this step

Pages 38 and 39 show what these icons stand for



Make a commitment to achieving your vision

Step 4: Environmental policy — make a commitment!

After this step you will have:

A statement of your commitment to managing your environmental impacts.

Why have a policy?

Your policy statement gives a focus for the environmental efforts of your organisation. It also establishes a framework for your specific actions (step 5).

Importantly, your policy statement is your commitment to close the gap between where you want to be in the future (step 1) and where you are now (step 2).

Helpful hints

- this step is about **making a commitment** — don't get bogged down trying to work out actions to deliver on your commitment — that happens in step 5
- keep your policy brief and concise, so everyone understands it
- think of what you **want** to achieve — not just what you think you can achieve
- you should commit to addressing impacts and opportunities identified in step 2
- your commitments should be reasonably achievable — over-commitment may result in a loss of credibility
- don't commit to changing activities that you have no control over — however, you may wish to commit to 'influencing' those activities
- road test your policy statement with some 'friendly', 'objective' external interest groups before launching it — address any **legitimate** concerns they raise
- ensure everyone in your group signs onto your policy statement
- the launch of your policy is a good opportunity for positive publicity — to demonstrate your environmental commitment to the public
- you should briefly re-visit your vision and scope to make sure they remain compatible with your policy

Resources to help with this step

Pages 38 and 39 show what these icons stand for

If you want it to happen —
you have to make it happen!

Step 5: Action plan — make it happen!

After this step you will have:

A list of actions to be taken, by whom, and by when. A communication strategy. Resources to make it happen.

Why have an action plan?

You need to turn your environmental policy into concrete actions. Your action plan gives you the blueprint for doing this. It also helps everyone involved to understand their responsibilities and provides the basis for a powerful communication strategy.

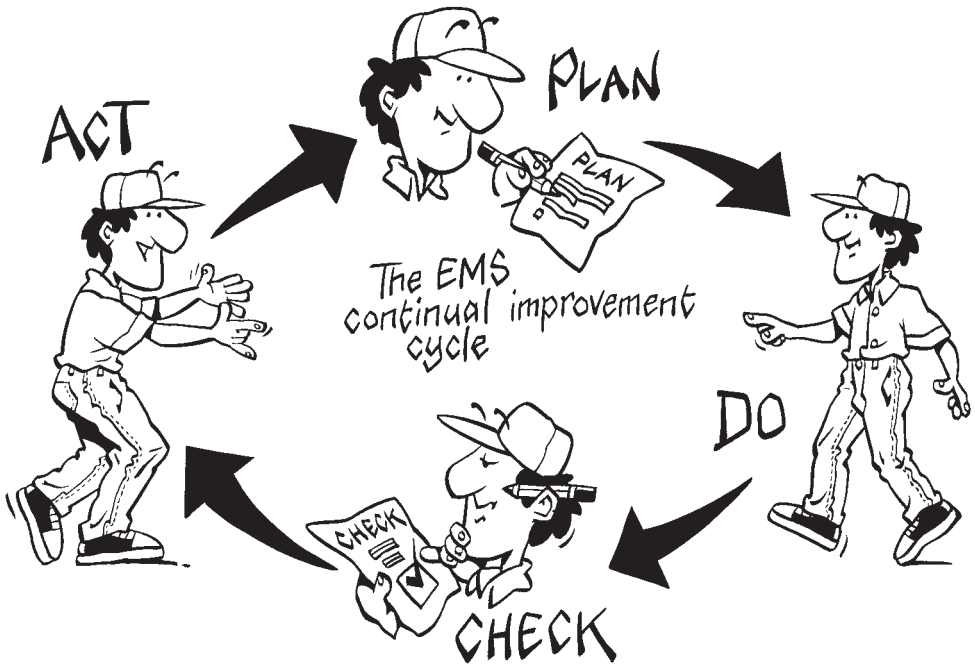
This step will also help you identify the people and resources you need to turn your actions into reality.

Helpful hints

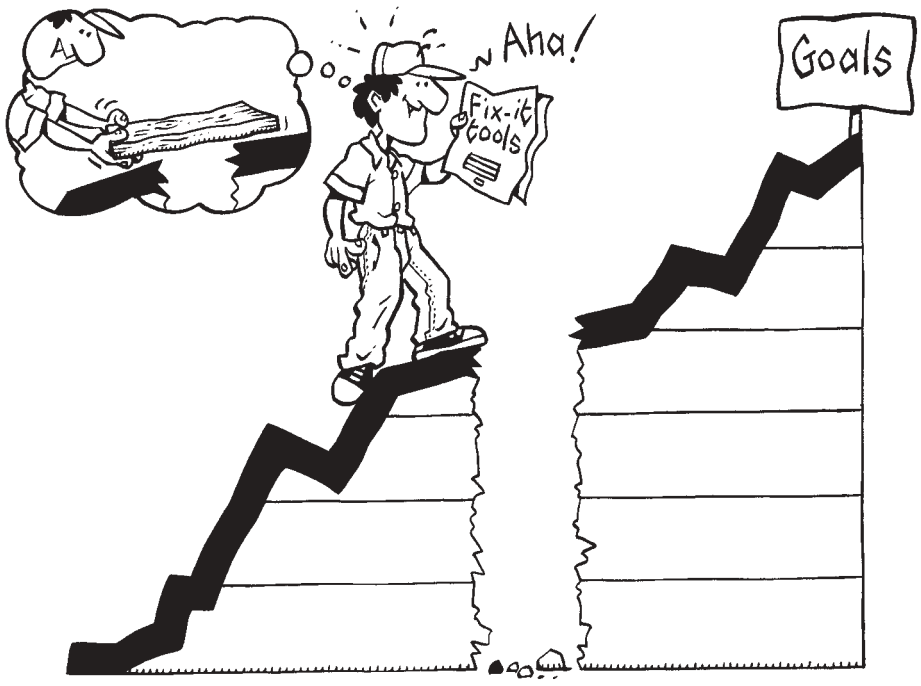
- your action plan turns your policy into concrete actions
- involve everyone in your group — this will make sure they understand what is happening, and inspire others to come on board
- decide actions to address each 'high' priority issue on your list from step 2
- look at codes of practice and ideas used by others to tackle similar issues
- nominate someone to be responsible for making each action happen — even if several people are involved in doing it — set a realistic completion date
- match your completion dates with your resources
- utilise each individual's strengths — work out how to acquire the skills needed
- work out a communication strategy
- address 'high' priority issues first, then 'medium' and 'low' if resources permit
- give all key people a copy of your action plan — a good plan will help others to understand what you are trying to achieve and what their roles are

Resources to help with this step

Pages 38 and 39 show what these icons stand for



Do it — check it — fix it.
Know what works — and …
be ready to fix what doesn't!



Step 6: Implement — do, monitor, correct

After this step you will have:

A program that monitors the actions being implemented and prompts you to change them if they are not achieving the outcomes you want.

Why monitor and implement corrective actions?

When you implement your action plan, check to make sure it is achieivng the results that you want. If what seemed like a good solution does not work, you need to know! You also need to work out alternatives that can be implemented quickly.

For example, a code of practice may not work because some people ignore it. Your corrective action could be to make sure everyone is aware of the reasons for the code of practice, and consequences for the industry if they don't follow it.

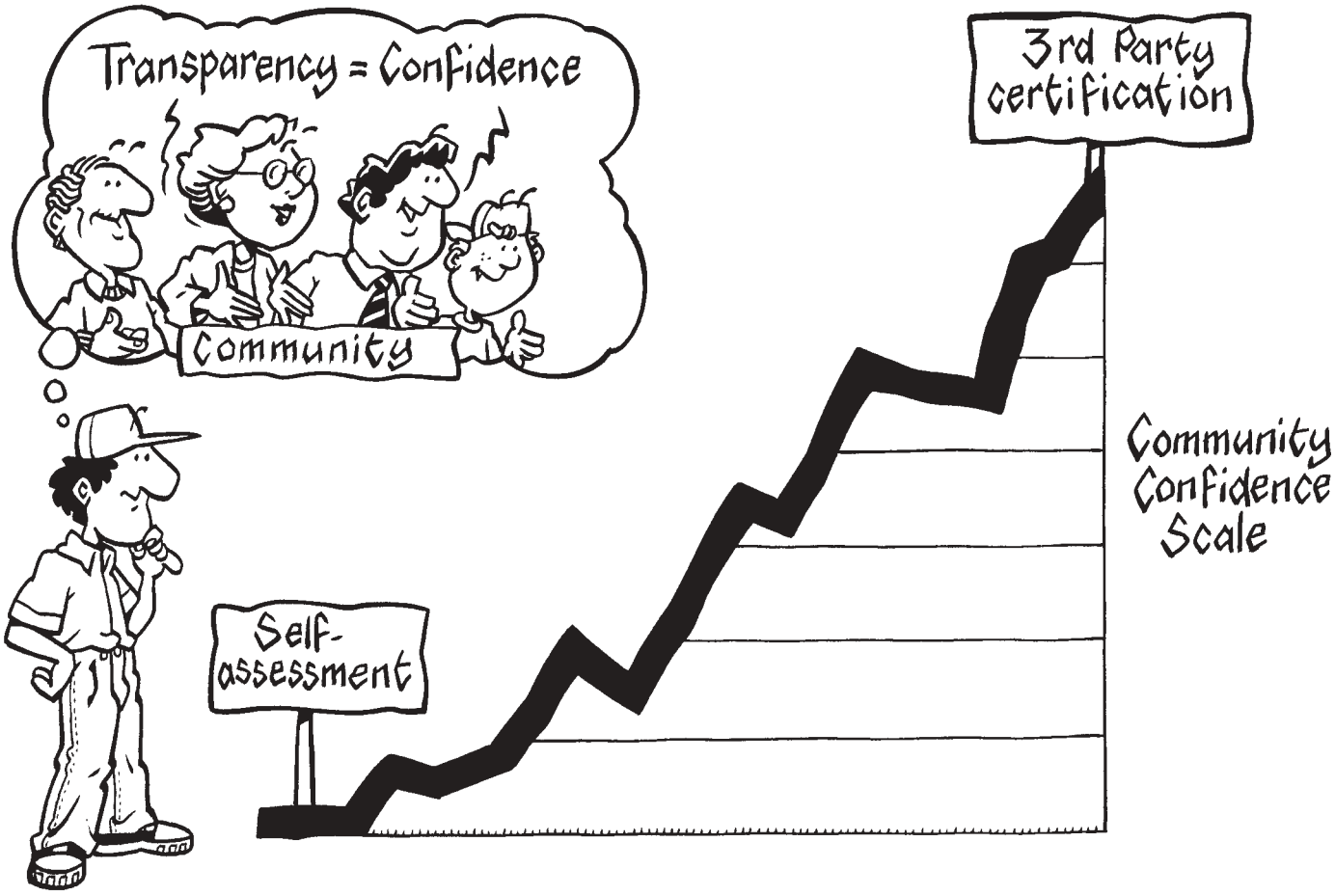
You could also divert any public criticism away from your members by publicly promoting the code of practice as the standards that they work under.

Helpful hints

- this step is about making sure your actions work
- monitor priority actions and change them as circumstances require — what worked six months ago may not work now, because conditions change
- have a list of alternative actions that you can quickly implement if needed
- stick to monitoring those actions that your group is responsible for — prioritise actions to monitor and allocate time and resources accordingly
- you don't have the time or resources to monitor actions that other organisations are responsible for — instead, keep them accountable for doing their job
- use the *Seafood EMS Inventory* — look at what has and hasn't worked for others
- public opinion is a good indicator of whether your communication strategy is working
- involve the community as much as possible — this will help build your credibility — it will also ensure public opinion is based on quality information
- review your priorities and action plan regularly — to keep focused on key issues

Resources to help with this step

Pages 38 and 39 show what these icons stand for



Help people to be confident that you are actually achieving what you say you are

Step 7: Audit, certification and review — confidence!

After this step you will have:

A program to assess and recognise your performance, and to improve your EMS.

Why audit? Why have certification? Why review?

The formula is very simple. *More transparency = more confidence*.

The program you choose to have your performance assessed should directly relate to the level of confidence that you want your customers, the community or governments to have in your performance. For example, gaining the community's confidence that you are serious about a particular issue may be as simple as involving community representatives in the assessment process.

However, if you want your EMS to help to 'bullet-proof' your industry against ill-founded claims about its environmental performance, consider having your performance assessed against international standards by a third-party auditor. This ensures independence in certifing that you are operating in conformity with those standards.

Continually improve your EMS by reviewing it at regular intervals — your audit report will help you identify where improvements can be made.

Helpful hints

- be clear about who your customers are and what their needs are — talk to your customers about the level of confidence they expect
- one of your main customers may be the political process that could deny your future access to fishing grounds or aquaculture sites
- third-party environmental auditing may too costly for some organisations
- consider other ways of making your process transparent, e.g. involve the community when assessing your progress on issues of community concern
- regulatory environmental assessments may also apply to your fishery — consider having your EMS audited against standards that meet those requirements too
- certification is formal recognition of your performance — think about it

Step 7 is a review of your whole EMS system — don't confuse it with the monitoring and reviewing of specific actions in steps 5 and 6

Resources to help with this step

Pages 38 and 39 show what these icons stand for

Celebrate success. If you don't promote your achievements, who will?

Step 8: Report — tell your story

After this step you will have:

A program to report your progress (who, how and when).

Why report your progress?

The community is demanding to know that natural resources are being used in a sustainable and responsible way. Government agencies and research organisations report on what they are doing to meet their legal obligations. But who is telling *your* good news stories?

This is your best opportunity to positively profile your organisation and members. Tell your story — about your achievements, about your successes, and also about where you would like to do better.

You need to think about who you should report to, what your message is and the best way to communicate your message to your target audience.

Helpful hints

- your reporting program is the best opportunity you will have to improve your public image as a responsible and accountable industry
- your reporting process can also help to build a more positive and open relationship with the community and other interest groups
- involve all of your group — it will help to create a sense of pride and increase their commitment to improving performance
- report progress against your priorities
- be open and honest — also report where you would have liked to make more progress, and how you intend to in the future — this lets you put the issue in its proper perspective, not the media
- prepare a newsletter to highlight your achievements — include graphs and pictures that help tell your story — look at other reports and newsletters for ideas
- create a website and link to the *Seafood EMS Inventory*
- if you don't have a website, put your EMS reports on the *Seafood EMS* website
- the *Community Communications Guide* has some great tips about getting your message across to your target audience (pages 39 and 41).

Resources to help with this step

Pages 38 and 39 show what these icons stand for

Your EMS Plan

When you have completed the eight *Seafood EMS* steps, you will have collected a wealth of information to use in your EMS Plan. **Your EMS Plan is a key document**. It records your decisions and actions arising from each step of the process and other key information about your industry.

So use it! Use it to promote your achievements and success stories.
Use it to respond to misinformation in the media or elsewhere.

The content of you EMS Plan is very important.
You may like to use the *Seafood EMS Plan Template* on the CD.

Your EMS Plan is the key to making your EMS a success!

What to include in your EMS Plan

- your vision (include it early in the document — even on the front cover)
- executive summary (your highlights — include major achievements — 1 page)
- your environmental policy and your group's commitment to EMS — include your commitment to consultation with stakeholders
- overview of your industry (highlight economic and social importance, examples of being an environmentally responsible industry — include a brief description of your fishery or aquaculture sector (area, method, production)
- your action plan
- your achievements
- lots of photos (seafood, people in your group going about their business, talking to the public, helping the community)
- references to any source material

What not to include in your EMS Plan

- don't include too many details (only include summary information — the highlights — reference source documents, such as fisheries management plans, where further details can be found — store your detailed information in an organised filing system)
- don't include irrelevant information that does not add value to your EMS plan
- don't include information you do not want to — remember, this is your plan!

How to create your EMS Plan — the easy way!

- download the *Seafood EMS Plan Template* from the *Seafood EMS CD*
- when you finish each step in the *Seafood EMS* process, insert the key information you generated under that step in the template
- when you have completed the 8 steps, you will have your Draft EMS Plan
- decide what other information you **want** to include and how to gather it
- when you are reasonably happy with your draft plan, have it reviewed by someone from outside your group — make sure it is someone 'objective' and not pushing their own agenda
- finalise your EMS Plan

Maintaining your EMS Plan

You should establish a simple procedure for updating and distributing your EMS Plan. This will minimise your administrative workload and ensure everyone is working from the current version. If you used the *Seafood EMS Plan Template* your master copy will be an electronic copy in Microsoft Word. You might like to adopt the following procedure.

- nominate one person to be the custodian — to be responsible for maintaining the master copy, updating it, etc (and making **back-up electronic copies**)
- record in the footer of each revised edition "edition [no.] of [date]" — e.g. edition 2 of 25 November 2003".
- maintain a master list showing previous versions and their issue dates
- keep a hard copy of each version and all amendments, on file

Distributing your EMS Plan

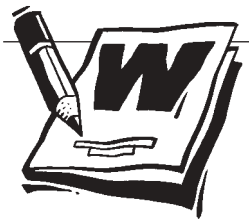
- draw up a list of the people and organisations that you want to give a copy
- include everyone directly involved in your EMS on the list
- following each update, distribute a hard copy to everyone on that list
- you should also consider:
  - making your EMS Plan (or a summary) available to the public
  - putting it on your website — create a link from the *Seafood EMS* website
  - if you don't have a website, put it on the *Seafood EMS* website

The Seafood EMS Resources

The *Seafood EMS Resources* have been especially designed for the seafood industry — to help you get the best 'bang for your buck' by using your time and resources efficiently. They give you the benefits of a wealth of resources that have already been proven. They incorporate a huge amount of knowledge from case studies and expertise from around the world.

Seafood EMS Chooser

This book! An easy-to-follow guide to help you choose and implement an EMS suitable to your circumstances. It includes the *Seafood EMS* model, which has been tested and refined through industry case studies.



Seafood EMS Workbooks

Eight customised workbooks — one to help you with each step of the Seafood EMS process. Each workbook includes instructions, checklists, worksheets, examples and ideas. Available on the *Seafood EMS CD* and in hard copy.

Seafood EMS Plan Template available on

Use it to create an EMS Plan — the easy way. Available on the *Seafood EMS CD*.

Seafood EMS Step-by-Step Guide

A wealth of additional information, including practical tips and examples, codes of best practice, contacts and worksheets. Available on the *Seafood EMS CD* with this book.

Seafood EMS website

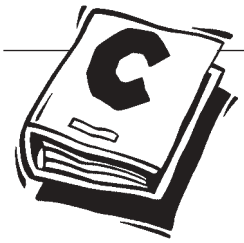
The *Seafood EMS* website at www.seafoodems.com.au includes even more information and ideas. Get some ideas for your EMS from the *Seafood EMS Inventory*.

Seafood EMS Inventory

Includes links to other seafood industry organisations doing an EMS. Look at the EMS Plans of the organisations involved in the *Green Chooser* case studies. Find some ideas that will work for you. Available at www.seafoodems.com.au

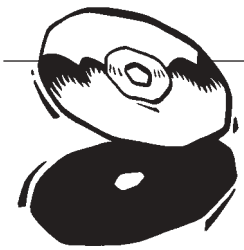
SSA Fact Sheets

SSA's range of seafood industry fact sheets covers many issues and opportunities related to EMS, the environment, ESD, etc. Available at www.seafoodservices.com.au



Community Communication Guide

An effective, easy-to-use guide to help you develop and implement strategies to communicate your activities and successes to the public and community leaders. Published by the FRDC. Available on the *Seafood EMS CD* or download FREE from www.bookshop.seafoodservices.com.au



Seafood EMS CD-ROM

Includes most of the *Seafood EMS* resources. Other resources are available on the *Seafood EMS* website. Peruse the CD and print out the bits you need. Print additional worksheets or model rules for an association. The CD is supplied with this book.

Other resources

Making your EMS happen will also require your time and effort, human resources to help implement your agreed actions, and some funding to incorporate your organisation and for miscellaneous projects.

Smart tips

- contact SSA for advice and assistance
- use the Seafood EMS Resources — work smarter, not harder
- match your expectations with your time and resources
- match your priority activities with your resources — "biggest bang for your buck"
- do not re-invent the wheel — look around for good ideas and successful models
- access to a computer, e-mail and the internet will save vast amounts of time and money and give you direct access to a wealth of helpful information
- contact a local university's environmental department — your EMS will be an ideal topic for student projects that will help to improve your EMS
- you can achieve a lot by all members of your group pulling together and dedicating some modest amounts of their free time towards specific tasks
- think about the impact that some groups have without any resources except their freely given time
- many of your existing resources can make a huge contribution — look for opportunities to increase efficiency, and eliminate duplication of effort and costs
- create a workable document control process and filing system from the outset
- involve staff, family members and friends in your EMS — they need to share your EMS vision, support you when the going gets tough, and help from time to time
- if you are seeking certification (to ISO 14001 or another standard), identify your documentation requirements up-front
- if resources are limited, start with a simple EMS that tackles just one or two pressing issues and expand it later
- if you have a very ambitious vision or want your EMS to cover a large number of operators, you may need to employ staff to drive and manage your EMS process.

It's not so much a question of whether you can afford to commit resources to your EMS, it's a question of whether your business will survive the consequences if you do not.

Communicating your success

How many times have you seen the seafood industry publicly ridiculed, despite it having achieved world-class outcomes in sustainability? Sadly, it happens often.

Your EMS will generate a wealth of positive information. An effective communication program is essential to get this information to the public and key decision-makers. You also need to make sure that there is effective communication within your group.

Effective communication is an on-going process. You need to refine your messages and consider a variety of methods to deliver them to your target audiences. The *Community Communication Guide* developed for the Australian Seafood Industry Council (ASIC) and the Women's Industry Network Seafood Community (WINSC) is a resource that can help you plan and implement communication strategies.

Changing public perceptions about your industry requires a broad and organised strategy aimed at all levels of the community.

The Community Communication Guide

The Community Communication Guide provides a framework to work through planning, communication and implementation of strategies for positive action.

- using networks to get started
- setting objectives
- shaping messages for local communities
- deciding who to communicate with
- choosing activities
- developing action plans
- evaluating your success

The *Community Communication Guide* is available on the *Seafood EMS CD* or free from www.bookshop.seafoodservices.com.au.

Often the people or groups that you find the most difficult to deal with — and the ones you might be hoping to avoid — are the ones you most need to communicate with.

Tips to help manage your EMS

Industry champions

EMS case studies have produced some great industry champions — industry members who emerged to achieve great outcomes that benefited the entire group. Identify and encourage potential industry champions. Support them to help your group achieve its vision. They will be a great resource.

EMS management team

Establish your EMS management team early in the process. Its role is to:

- oversee development of your EMS
- coordinate group activities — e.g. call meetings
- seek and secure funding opportunities
- enlist the support of industry champions
- act in the best interests of the group as a whole

Initially, your team may consist of two or three people operating under fairly informal procedures. More people can join the team and rules made more formal as the need arises.

Associations — the options

The EMS case study groups found it best for a single association to carry the overall responsibility of managing the development and implementation of their EMS. New associations were formed by those groups where a suitable organisation did not already exist. The benefits of an association include to:

- bring everyone directly involved in your EMS under a single organisation with the responsibility of managing your EMS
- require people wanting to become a member of the association to make a commitment to your EMS and to abide by agreed rules
- protect the credibility of your members if the actions of those who 'don't give a damn' attract bad publicity for your industry
- seek and secure project funding — only legal entities can receive funding from government programs
- limit the liability on individual members.

Your group may initially operate under an informal organisational structure, and then evolve to a more formal structure if needed. You may also have an existing organisation that is well placed to be the vehicle for developing your EMS.

If you do decide to establish a new organisation you need to keep clear communication lines open with other existing industry organisations. Make sure they are fully aware of why you are establishing a new organisation, and in particular your commitment to continuing to work with them on issues of common interest.

Unincorporated associations

An unincorporated association may be formed by two or more people simply agreeing to pursue a common interest. However, an unincorporated association does **not** provide limited liability for its members.

Incorporated associations

An incorporated association is a simple and relatively inexpensive method of establishing a legal entity to encompass people with a common interest. Not-for-profit associations may be eligible for special taxation exemptions. Incorporated associations **do** limit the liability of individuals. An incorporated association must be registered under state or territory legislation.

To establish an incorporated association:

- print a copy of the model rules on the *Seafood EMS CD*
- contact your legal adviser or accountant to discuss tax exemption
- contact your consumer affairs department for an application form and a copy of procedures to be followed
- refine the model rules to incorporate your requirements and the requirements to be eligible for tax exemption
- incorporate your association.

Company

A company structure may be appropriate if you want your organisation to conduct business for profits that can be distributed to members or shareholders. Although it is possible to establish a not-for-profit company that may also be eligible for tax exemptions, the corporate governance and reporting requirements placed on a company makes it a much more expensive option than an incorporated association. If you do consider establishing a company you should discuss your options with your accountant or legal adviser.

Checklist to help you decide on the appropriate vehicle

Q Is there an existing industry organisation that:

- all of the people directly involved in your EMS can join?
- has appropriate goals and objectives?
- has the capacity and desire to establish a structure to let you drive your EMS?

☐ YES: Discuss with existing organisations

☐ NO: Go to next question

Q Do you want your organisation's activities to be restricted to those that are of common interest to its members and be potentially eligible for tax exemptions?

☐ NO: Go to next question

☐ YES: Consider a not-for-profit incorporated association

Q Do you want your organisation to be able to also conduct business activities for the purpose of distributing profits to members?

☐ YES: Call your accountant or legal adviser to discuss company options.

"It is not the strongest species that survive, nor the most intelligent, but the ones most responsive to change."

Charles Darwin

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SEAFOOD SERVICES
AUSTRALIA

A CATALYST FOR SUSTAINABLE DEVELOPMENT OF THE SEAFOOD INDUSTRY

APPENDIX 5

EMS STEP BY STEP GUIDE

STEP BY STEP GUIDE

… to designing and implementing your environmental management system

This is a working draft that is being continually updated taking into account comments from stakeholders.

Updated versions of this document will be available on http://www.seafoodservices.com.au/ems

FISHERIES RESEARCH & DEVELOPMENT CORPORATION

SEAFOOD SERVICES AUSTRALIA

OCEANWATCH
FOR THE FUTURE OF OUR MARINE ENVIRONMENT

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smarter fishing for industry

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CONTENTS

Introduction

Welcome to the *Step by Step Guide*, a resource to assist those of you who wish to develop or perhaps refine an existing environmental management system (EMS).

An EMS is a framework for managing the environmental impacts, risks and opportunities of an organisation. Through implementing an EMS you can operate more efficiently and demonstrate to outsiders that you are a responsible business or industry striving to address environmental concerns.

Depending on the scope of the system, your EMS may also target economic and social concerns. This broad approach is a good way of aiming for the principals of environmental sustainable development (ESD). An ESD framework aims to cover all aspects relating to the management of natural resources.

Developing an EMS within the context of an ESD framework is helpful in seeing the full picture of all the impacts and risks that occur with your business or industry. However, addressing all aspects can be an enormous task. If you are developing an EMS for you business or industry for the first time, it may be best to initially look at all areas (environmental, economic and social) but target priority issues.

Part of the process of running an EMS involves reviewing and revising your activities from time to time. This helps you to continually improve your system and demonstrates that you are serious in trying to strive for a better business/industry. You can expand your management system to cover other aspects at any time.

The *Green Chooser*, a separate publication, gives an overview of the various management tools and certification programs that can be used to develop an EMS. This *Step by Step Guide* sets out the steps for developing an EMS in more detail. The *Green Chooser* should be read before the *Step by Step Guide*.

The first editions of the *Green Chooser* and *Step by Step Guide* are aimed at primary producers. However, securing a better future for seafood is a goal that the post harvest sector can also aim for. The community can then be assured that the entire industry is working towards optimum management of this natural resource.

The **key steps to developing an EMS** that are discussed in this Guide are:

Vision	*Develop a vision of where you would like to be in the future*
Scope	*Define the area your system will cover*
Structure	*Establish the management structure to run your system*
Assess	*Find out where you are*
Commit	*Develop a policy (or Code of Conduct) that states your goals*
Plan	*Develop a plan and states your objectives and actions*
Do	*Establish a Code of Practice that states the rules for your actions*

Check *Check your actions*

Review *Revise your activities to improve them*

Certify *Verify your environmental claims*

Report *Report on your environmental achievements*

The Green Chooser and *Step by Step Guide* will be reviewed and refined over time to incorporate the lessons learned by all users. Please contribute your experiences – what worked, what didn't, what was confusing, what requires further explanation and examples – to Seafood Services Australia Ltd (SSA) by telephone on **1300 130 321.**

Useful Tips - Resources

1. Access to a personal computer, e-mail and the internet will save you vast amounts of time and money by giving you easy access to a wealth of useful information sources.
2. Establish an effective document control process and a workable, easy to follow filing system from the outset.
3. If seeking certification to ISO 14001 standard (or other standard), ensure you identify the documentation requirements prior to commencing the development process.
4. Where possible use the simple work sheets and electronic templates provided by SSA. These are continually being developed and updated.
5. Implement a process to demonstrate a high level of industry commitment to key outcomes. The best process to ensure this is to have industry participants "sign off" on all drafts of key documents (e.g., policies, codes of practice, etc).

Useful Tips - Scope

1. Your management system may be as simple or as complex as you wish it to be. However, the simpler you can make your system while ensuring it delivers on your requirements, the easier it will be to understand and comply with relevant components.
2. Your management system is an evolving process of continuous improvement.
3. You may adopt a staged approach to developing and implementing your system, by starting simple, establishing the foundation and then expanding your system overtime. Focus first on identifying and addressing priority issues that are critical to your industry's future. Be careful not to get bogged down on low priority issues.
4. The elements of a management system are tightly linked and dependent on each other. **As you progress through the development process you will find that the steps provided in this guide frequently operate in parallel, and earlier steps will need to be re-visited and refined to ensure your system remains realistic and meets your organisation's needs.** Don't try to get every component perfect before moving onto the next step. You will have the opportunity to refine and improve later.
5. The Pre-steps and the Assessment *(Steps 1-4)* may be used as a scoping exercise to clarify your aims and capability, before investing significant resources in the full process.

Useful Tips – Terminology

The term "organisation", as used in this guideline, refers to the seafood entity that assumes responsibility for the environmental management system. For example, the entity may represent an individual fishing operation or the members (and their employees) of an association with fishing licences for a particular region.

The term ESD is not an easy concept to grasp. If you find the terminology (principals, goals, criteria, operational objectives, indicators, reference points etc.) confusing, you're not alone. The ESD website give an excellent description of how all the pieces fit together. See ***www.fisheries-esd.com***

STEP 1. Develop an Industry Vision

In this step, you will:

- *Think about the future of your industry*
- *Prepare a statement outlining the industry you would like in 10 or 20 years time*
- *Start thinking about strategies to help you achieve your vision*

What is an Industry Vision Statement?

An Industry Vision Statement is a concise statement about how you would like your industry to be in 10 or 20 years from now. The Industry Vision Statement should detail the key defining characteristics of your industry in the future.

Why do you need an Industry Vision?

To shape the future you want, you need to know what it is you want – a vision. *"If you don't know where you are going, you could end up anywhere"*. An Industry Vision Statement provides an overall direction to guide your system.

You can include your industry vision statement in public reports (action plans, performance reports, etc) to provide readers with a clear understanding of your industry's aspirations.

How to develop your industry vision statement?

1. Involve as many industry members as possible in a "foresighting" session where you brainstorm the following questions:-

   - What would you like your industry to look like in 10 years or 20 years from now?
   - What are the key defining characteristics of the industry you would like? Be precise

   You will need to consider:

   - Your long-term economic, environmental and social goals for your industry;
   - The key driving forces shaping your industry today, and likely to do so in the next 10 –20 years (see the following section 'More information' for suggestions);
   - The challenges facing your industry today and in the next 10-20 years that may impede achievement of your vision (see the following section, 'More information, for suggestions).
   - What strategies/pathways need to be developed to get you from where you are now, to where you want to be as an industry in 2010 or 2020?

2. Prepare a draft "10 or 20 Year Industry Vision Statement" and circulate to all members and key interested parties for comment. Incorporate comments and finalise your Statement

Who should be involved?

- All members of your organisation
- Key interested parties who know your industry well and/or have legitimate aspirations for your industry.

Useful Tips

- The key defining features of your industry should address the key drivers / issues
- The key defining features of your industry should be novel, original, and challenging – and plausible!
- The vision statement together with the key defining characteristics of your industry should be no longer than one page.
- Give some preliminary consideration to developing your organisation's code of conduct / policy *(Step 5)*

APPENDIX 1.1 - More information for Step 1.

Before you can design a management system that meets your needs, you need to know where you want your industry to be like in five, ten of or even twenty years from now. Your management system should be viewed as one of the vehicle's you use to help you achieve your vision.

1. What driving forces are shaping your industry today and into the future?

Identify the key driving forces that may influence your industry in the coming years, and the challenges you may face. This will help you to shape the future you want by developing effective and realistic strategies that address these driving forces and challenges.

If you are developing your EMS to aim for the principals of ESD, your vision needs to consider the social, environmental, economic and political/legal forces.

SOCIAL – Societal values: Environment & sustainable use, safe food, health, well-being and leisure, "Common resource", intergenerational equity, precautionary approach, indigenous rights, technology & science (genetically modified organisms etc), governance – regulation, co-management. **Changing demographics:** Urbanisation, age profile, employment status. **Knowledge:** Technology innovation, communication revolution and science.

ENVIRONMENT - Population growth (food production demand), consumption of non-renewable resource, climate change, quality & quantity of water availability, condition of resource base, over-exploitation of important fish stocks and modifications of ecosystems.

ECONOMIC - Globalisation (global markets, competitiveness), population growth, relationship between environment and trade, supply chain pressures, shift in distribution of wealth / class structure, race to fish, perverse incentives

POLITICAL/LEGAL - International treaties & agreements (Globalisation), integrated management regimes, "Tragedy of the commons"/Access rights.

Sample of a 10 year industry vision statement

Vision for the XX Fishing Industry in 2020

The XX fishing industry is: based on fisheries resources that are demonstrably sustainable; supporting profitable fishing businesses; supplying competitively priced, quality product to consumers; and recognised by the community as responsible industry making an important social and economic contribution, particularly to regional coastal communities.

By 2020, the XX fishing industry will exhibit the following characteristics:

- Secure fishing access rights
- Operating in accordance with best environmental practice
- Recognised as an accountable and responsive industry
- Committed to and practicing continuous improvement, and meeting and exceeding customer and community requirements, particularly with respect to environmental performance, food safety and quality
- An efficient and technologically advanced fishing industry strongly focused on value adding
- Industry capable of self-adjustment in response to external impacts beyond its control (e.g. fuel costs)
- Professional well trained personnel
- Less government red-tape and involvement in day to day administration of the industry
- Fisheries management regimes strongly supported by industry, government and the community

Useful resources & good examples

Resource	Organisation	Description
Investing for Tomorrow's Fish: the FRDC's Research and Development Plan 2000-2005	Fisheries Research and Development Corporation FRDC website: www.fdrc.com.au	The R & D plan looks ahead to the year 2020, and identifies the key challenges facing the three sectors of the fishing industry, governments, researchers and the Australian community. The R & D programs have been designed to meet these challenges.
Assessing Australia's future resource requirements to the Year 2020 and beyond: strategic options for fisheries (FRDC project 1999/160)	Fisheries Research and Development Corporation Principal Investigator: Prof Robert Kearney Division of Science and Design, University of Canberra	
QFISH Foresight project (FRDC project 1999/354)	Queensland Fisheries Service Sustainability and Fisheries Policy Section PO Box 46, Brisbane Qld. 4001 Ph. 13 25 23	The foresighting project has two aims:- • To develop preferred futures for 2010 for each fishing sector and for the whole industry • To develop pathways that to take the industry from where it is now to where it wants to be
Good Examples		
Food for thought. A brief history of the future of fisheries' management by Micheal Arbuckle and Michael Metzer	Challenger Scallop Enhancement Company Ltd. PO Box 175, Nelson NZ Email. scallop@scallop.co.nz	The book details the experience, motivation and success of the Challenger Scallop Enhancement Company in New Zealand, and provides an exciting vision for the future of sustainable fisheries' management.

STEP 2. Defining the scope

In this step, you will:

- *Decide the people, operations and activities, issues and geographical area to be covered by your system.*
- *Ensure the scope you have chosen is adequate to achieve the aims of your system.*

What is scope?

The scope is the boundary of your system– simply put, it defines the people (organisation), operating units (equipment, transporting, processing, etc.), the geographical area, the activities, and the issues to be covered by your system.

Determining the scope of your system

Determine the of your system to enable you to achieve the aims of your system.

Build the capability of your organisation to address the aims (e.g. by broadening membership of the organisation, establishing a new organisation, sourcing funds, revising your organisation's aims in relation to your system etc)

Defining the scope of your system

The scope of your system may be defined by the following:-

- Organisation(s)- the organisation/people assuming responsibility for the system, and to whom the system will apply (eg. all participants in a particular fishery, members of a fishing association)
- Components of the supply chain to be covered by the system. e.g. Harvesting +/- transporting, processing, marketing, retailing
- Operations – Characterise your harvesting operations by: geographical area of operation, fishery type (gear and methods), fishery management jurisdiction/s, class of fishing licence/authority/endorsements, home ports of operators, target species, nature and range of biological resources used and affected (eg. migratory, straddling stocks) and critical habitats for the target species.

Checklist for defining your scope

What organisation will the sustainability management system cover?
Who are the people responsible for the system, and to whom will the system apply?

What components of the supply chain will be covered by the system?
Harvesting only
+ transporting
+ processing
+ marketing
+ retailing

Describe the harvesting operations to be covered by your system.
Geographical area of operation
Home ports of operators
Fishery type (gear and methods)
Fishery management jurisdiction/s and class of fishing licences/authorities/endorsements

Target species
Nature and geographic range of biological resources used and affected (eg. migratory, straddling stocks),
Critical habitats for the target species

Describe the other components of the supply chain to be covered by your system.

What activities and issues to be addressed? Specify only if system is limited to particular activities and issues.

Who are the key parties that affect or are affected by the operations, activities and issues covered by your system?

Who should be involved?

All members of your organisation and key interested parties.

Useful Tips

- The scope of your system must be clearly defined prior to any system development. Failure to do so may result in confusion as to exactly what activities and operations the system is required to address.
- There is no correct or incorrect scope. Your system may be as narrow or as broad as needed to address your organisation's needs. You may choose to limit the scope of your system to a specific issue/activity of concern, and broaden your scope over time. However, it is recommended you do this from an understanding of the key factors that contribute to the sustainability of your fishery/*aquaculture operation*. See commentary box "Setting the scope".
- Your system is dynamic! Over time the scope of your system may need to be refined to respond to changes in your organization's priorities and capabilities, the introduction of new laws, the views of interested parties, etc.

Setting the scope

Getting the scope "right" is not the straightforward and obvious task it may first appear to be. Regardless of the scope of your organisation's activities, it is recommended that you take a holistic view of your fishery, and not simply limit your system to those issues over which your organization has direct control and responsibility. There are a number of reasons for this.

There are many interacting and interdependent factors, natural and human-induced, contributing to the ecological sustainable development of your fishery. Many aspects of sustainable fisheries will only be effectively achieved by an integrated management approach at the appropriate bioregional scale. This should not discourage local fishing industry associations taking action at the individual and local level. As long as linkages between the local and the appropriate bioregional scale are established (micro and macro), environmental management planning at the micro level can contribute to the macro objectives: *Thinking globally – Acting locally!*

Fisheries and environment laws Australia-wide require fisheries to be managed in accordance with the principles of ecologically sustainable development (ESD). ESD requires, amongst other things, an ecosystem approach to fisheries management and the integration of the ecological, social and economic aspects of the fishery in decision-making.

Environmental impact assessments and ESD assessments of fisheries required by law (e.g.*Wildlife Protection (Regulation of Exports and Imports) Act 1982*, *Environment Protection and Biodiversity Conservation Act 1999 and the NSW Environment Assessment and Planning 1979,* etc*)* look beyond discrete management units defined by the existing administrative boundaries and assess the ecological aspects of the entire fishery at scales that are meaningful in terms of the sustainability of the fishery.

Taking a holistic view of your fishery will help you to clearly define ***your obligations*** and the ***obligations of others*** in relation to the key factors contributing to the sustainable development of your fishery and industry. Your organisation will be better positioned to pursue sustainable development outcomes; continually improving your own performance, and influencing other users to improve their performance (e.g. to improve water quality and fish habitat integrity, etc).

STEP 3. Management structure, communication & documentation

In this step, you will:

- *Create the management structure to govern your system*
- *Assemble a management team to steer the development of and administer your system*
- *Develop a strategy for establishing effective lines of communication within and outside your organisation*
- *Establish a process for documenting your system*
- *Prepare a workplan and budget*
- *Agree on the approach, workplan and budget, and communication plan and ensure you have sufficient resources to proceed with it*

Management structure

Your management system needs to be underpinned by an effective management structure that:

- Secures and maintains industry commitment and ownership of the system.
- Places the obligations for the system with a legal entity whose members/shareholders are participants in the fishery.
- Clearly establishes the rules for governing matters relating to your system.
- Defines and assigns roles and responsibilities for carrying out the development and implementation of the system.

Establishing an organisational entity for your management system

You will need to determine the capacity of your existing management structure to implement your environmental management system. You may need to build its capacity or establish a new entity. Options for a new entity include:- Unincorporated association; Incorporated association; Company limited by guarantee; or Company able to issue shares. For further detail see the section *More information for Step 3*.

Governing Rules

Existing industry associations may have in place well-established rules for governing their affairs and activities. These may accommodate the introduction of your system.

The following questions may help you to establish the adequacy of your existing management structure, or matters that need to be considered in developing the Rules to govern your new organisation.

Objects & Purpose of the Association

How do the objectives of your organisation:

- Promote sustainable development of the industry?
- Meet the membership's obligations in relation to ESD (if applicable to your system)?
- Promote continuous improvement in the environmental performance of members of the organisation?

Governing body

- What governing body is assigned ultimate responsibility for the conduct of the system?
- What powers are delegated to the governing body to perform its function in relation to the system and the setting of performance standards for your organisation?
- Does the structure of the governing body and the qualifications for membership enable the committee to perform its function effectively?

Membership of the Association

Do the qualifications for membership of the organisation require members to:-

- Comply with performance standards adopted by the organisation (including voluntarily adopted Codes of Practice, Environmental Management Plan, and other standards);
- Contribute to the development of performance standards promoted by the organisation;
- Participate in assessments of industry's compliance with the organisation's system;
- Ensure that employees possess the skills and awareness to comply with organisation's management system, and agree to comply; and
- Provide for associate and affiliate membership of persons and organisations with compatible objects and interests?

The constitution of the Southern Fishermen's Association is an example of a constitution of an association that includes clauses relating to the governance of and compliance of members with a voluntarily adopted environmental management system.

Assign roles & responsibilities

Roles, responsibilities and accountabilities for the development and implementation of the system need to be clearly defined and assigned. The competencies and authority necessary to carry out responsibilities should also be clearly defined for each role.

The following is a sample model of roles, responsibilities and accountabilities.

Person/s responsible	Responsibility	Report to:
Industry Leader / "Champion" (Chair, management team)	Overall responsibility for driving the process	Governing body
Governing body (organisation)		Membership
Management team (may also be the governing body of the organisation)	Establish the overall direction, (vision, approach, scope and resources committed) Steerage of the development and implementation process.	Governing body Membership

Person/s responsible	Responsibility	Report to:
	Advises the Governing Body on EMS matters.	
Officer / Working party	Manage the day-to-day development and implementation process Communication strategy development & implementation Maintain documentation	Management team Governing body
Members Shareholders	Contribute to the overall direction Contribute to the development of system. All members are responsible for implementing the system Comply with the system	Membership
Employees	Comply with system Contribute to the development, implementation and maintenance of system.	Employer

The management team

You will need to establish a management team for steering the development of your system.

Key function of management team (suggestions only):

- To oversee development, implementation and maintenance of the system;
- To foster a high level of industry participation, ownership and commitment in relation to the system;
- To establish constructive, on-going dialogue with key interested parties;
- To secure the financial and other resources necessary in relation to the system;
- To report as required in the system to members, key interested parties, and the community in general
- To ensure all matters that arise in relation to the system are dealt with in an appropriate manner.

Membership of management team (suggestion only)

- Two to four industry members (depending on the size and nature of the organisation)
- Chair (independent or "Champion")

Advisors to management team (on an 'as needs' basis)

Fisheries scientists, social scientists, economists, fisheries managers/aquaculture managers, environment managers, training providers, environmental interest groups, and other community groups and Non Government Organisations.

Active participation of membership

Active participation and ownership of the system by all members of the organisation is essential to gaining their commitment to the system. This may be achieved by:-

- Ensuring all members fully understand their obligations and responsibilities
- Ensuring all members are aware of the obligations and responsibilities of others in relation to the

sustainable development of their industry

- Maintaining effective lines of communication throughout the development, implementation and maintenance of your system– encourage regular information exchange between members and management on system performance (successes, failures and impediments)
- In the case of an organisation that covers vast geographical areas, establish regional foci for your management system. This should include regional coordinators, steering committees and regionally-based action plans and strategies that feed into the management system.

Communication

On-going, regular communication with members and external parties is an essential ingredient of your system. At this stage you should identify the key communication needs – internal and external – associated with the process of developing your system and construct a plan for communicating and consulting with members and external parties during the development phase.

Refer to Communication Guidelines for guidance on developing your communication plan on *page 82*.

Documentation

Effective documentation is critical to your organisation achieving all the benefits of your management system – including the ability to demonstrate, with verifiable evidence, your performance (and moves towards sustainability for your industry).

A documentation process should be established from the outset to ensure you capture the valuable information compiled during the development of your system and to ensure your make the most efficient use of your time and resources.

Identify key documentation requirements and establish controls and assign responsibilities for documenting your system. Refer to Documentation Guidelines for guidance.

Sufficient Resources

You need to ensure your organisation has sufficient resources – finances, human, and other - to proceed with developing your system.

Establish the capability (raise funds through internal and external sources and identify human resources) or revise the approach to ensure it is within the organisation's means. A gradual, staged approach is recommended, particularly if resources are limited.

Agreement on the way forward

It is important to ensure everyone in the organisation has the same expectations and understanding of what is proposed prior to developing your system. All parties should "sign-off" on the approach. Agreement should be sought from top-level management (board or management committee), in direct consultation with the membership, on the following matters:-

- **Your organisation's vision for the future of your industry** – A vision statement that clearly and concisely states the 10 or 20 year vision for your industry
- **Your chosen management approach** – ie. Code of Conduct, Action Plan, Code of Practice, Public

performance reporting; a staged development and implementation approach, or an all-inclusive approach, the level of certification sought, and the Standard (if applicable), etc. These approaches are explained in detail in *Steps 2 to 6*.

- **The scope of your management approach** — A statement of the scope of your system *(see step 2)*

- **"Champions" and management team –** Names of "champions" and management team members, and the responsibilities, competencies and powers delegated must be clearly specified.

- **Workplan plan** – The plan should include all tasks to be taken, timeframes for completing them, the people responsible for carrying out tasks, and resources required. This may be most appropriate following *Step 4 – Assess where you are at.*

- A **budget** prepared in conjunction with the workplan plan that specifies the financial, human and other resources required and allocated for each action and step. Costs will include members and employees time, fees of experts/consultants engaged, stationary and postage, costs associated with holding meetings, training, etc.

- **Communication plan** – The communication plan should run parallel to the workplan, clearly identifying with who, when and how the communication and consultation will occur.

Develop a concise report outlining the process to be undertaken covering the above aspects for consideration by the governing body and membership. Seek consensus on the approach and approval for the management team to proceed.

APPENDIX 3.1 - More information for Step 3

Establishing an organisational entity

Unincorporated Association

The simple organisation has no separate legal identity from its individual members. Committee members act in their own name on the association's behalf and may also be liable for legal obligations including debts. Thus, each committee member could be sued personally.

Incorporated Association

Why incorporate?

Associations may choose to incorporate. Incorporation is a voluntary, simple means of establishing a legal entity. Some of the benefits to be obtained from incorporation are:-

- The liability of an incorporated association to **sue and be sued** in its own nature.
- The ability of an incorporated association **to own property** in its corporate name without the necessity or appointing trustees.
- The ability of an incorporated association to **enter into contracts and open bank accounts** in its corporate name.
- The liabilities of an incorporated association are enforceable against the association and **not against the committee members** personally. The members of the association have "limited liability" only. If legal action is taken against the organisation, the amount individual members would have to pay is limited, and this would be specified in the constitution (the Rules of the Association). If members of the committee or board are personally negligent in their duties or act in a negligent way, then limited liability does not apply.

Rules of an association

An incorporated association must adopt rules for governing the association (a constitution) and members of the association must act in accordance with the association's rules and the relevant state Act under which the association is incorporated. The rules of an association, among other things, specify the objects of the association, establish the governing body of the association (committee), delegate powers to the committee, specify membership of committee, specify the qualifications for membership of association, etc.

The incorporation of associations is regulated by State legislation. In most States, the legislation regulates matters that must be specified in the Rules for an association. Model Rules that an association may adopt as it's own or with amendments, are available from each State/Territory government agency. Using a model guide ensures that the Rules of the association adequately address all matters required by legislation. Examples of the constitution of fishing industry associations are included in this guideline.

For **more information** on why and how to become an incorporated association, contact your State/Territory department for fair trading (see the table for contact details)

Table X. Who to contact to incorporate your association

State	CANBERRA	NEW SOUTH WALES	NORTHERN TERRITORY	QUEENSLAND
Department	Office of Fair Trading	Department of Fair Trading, NSW Consumer Protection Agency	Consumer Affairs Department of Industries and Business	Office of Fair Trading
Address	GIO House City Walk Canberra City ACT 2601	1 Fitzwilliam St Parramatta NSW 2150	66 The Esplanade Darwin NT 0800	Floor 1, State Law Building Cnr Ann & George Sts Brisbane Qld
Mailing Address	GPO Box 150 Canberra City ACT 2601	PO Box 972 Parramatta NSW 2124	GPO Box 4160 Darwin NT 0801	GPO Box 3111 Brisbane Qld 4001
Telephone	Ph (02) 6207 0400 Fax (02) 6207 0424	Ph (02) 9895 0111 Fax (02) 9895 0222	Ph (08) 8999 1999 Toll Free 1800 019 319 Fax (08) 8999 6260	Ph (07) 3246 1500 Fax (07) 3246 1504
Internet Website	www.fairtrading.act.gov.au	Www.fairtrading.nsw.gov.au	Www.nt.gov.au/caft/index	www.consumer.qld.gov.au/forms/associations

State	SOUTH AUSTRALIA	TASMANIA	VICTORIA	WESTERN AUSTRALIA
Department	Corporate Affairs and Compliance Branch, Office of Consumer and Business Affairs	Business Affairs Department of Justice and Industrial Relations	Consumer and Business Affairs, Victoria	Ministry of Fair Trading, WA
Address	Chesser House 91-97 Grenfell St Adelaide SA 5000	15 Murray St Hobart Tas 7001	2/452 Flinders St Melbourne Vic 3001	219 St George Terrace Perth WA 6001
Mailing Address	GPO Box 1407 Adelaide SA 5001	PO Box 825H Hobart Tas 7001	GPO Box 123A Melbourne 3001	GPO Box W2072 Perth WA 6001
Telephone	Ph (08) 8204 9799 Fax (08) 8204 9771	Ph (03) 6233 4567 Freecall 1300 654 499 Fax (03) 6233 4882	Ph. (03) 9627 6200 Freecall 1800 240 251	Freecall 1300 304 014
Internet Website	www.ocba.sa.gov.au/cac_associations	Www.justice.tas.gov.ua/breg/as_info_2	Www.consumer.vic.gov.au/cbav/fairsite.nsf	www.fairtrading.wa.gov.au/charities/associations/index

Company limited by guarantee

An organisation can also be incorporated as a company limited by guarantee under the *Corporations Law*. A company limited by guarantee means that members guarantee to contribute an amount, up to the specified maximum, if the company needs to be liquidated and its assets are not sufficient to pay out its liabilities.

The rules of the company are found in the company's memorandum and articles of association. These rules deal with similar sorts of matters covered by the rules of association of an incorporated association.

Directors of a company limited by guarantee have a number of duties imposed upon them by *Corporations*

Law. The principal duties are: the duty of care, diligence and skill; the duty to act honestly and in good faith for the benefit of the company as a whole; and the duty to use their powers for proper purposes and avoid the possibility of any conflict of interests. These duties place a legal obligation on directors to acquaint themselves with, and take responsibility for the running of the company. A director is expected to understand the company's affairs and have a reasonably informed knowledge of its financial position.

For **more information** about forming a company contact the Australian Securities and Investments Commission - Infoline on phone. **1300 300 630**, visit one of their Business Centres or visit their Internet website **www.asc.gov.au**

STEP 4. Assess where you are at

In this step, you will:

- *Review / evaluate your current performance in terms of managing your impact and risks, meeting legal requirements and community expectations.*
- *Identify your priorities for improvement.*

Why conduct an assessment?

As a starting point for improving your management and demonstrating your moves towards sustainability, you need a very clear, fact-based understanding of:

- your legal and other obligations;
- community expectations and values relating to your operations and activities, and more broadly your industry sector; and
- how well your operation is currently being managed, in terms of impacts and risks.

If the scope of your EMS includes the objectives of ESD, you will also need to consider your performance in terms of social and economic impacts.

The assessment will help you to identify where improvement is needed and the type of action that may be required to set your priorities for this management cycle and possible future cycles. It may also be used to gather information about your performance and management for the purpose of public reporting.

How to conduct an assessment?

How you conduct your assessment will depend on:

- the scope of your initiative,
- your capabilities (finances and time), and
- the assessment and review processes of relevance to your business/ industry group that have already been conducted, or will be conducted in the near future for your industry.

The main options are:

1. Use **existing assessment** and review processes for your industry, such as the National Framework ESD reporting process and/or a statutory environmental assessment; and/or
2. **Commission an assessment** or review, such as the pre-evaluation assessment provided by the Marine Stewardship Council or an appropriate alternative; and/or
3. **Conduct your own assessment**, in collaboration with your fishery/aquaculture management advisory committee, researchers, managers, etc.
4. **A combination of the above** assessments and reviews

These options are discussed in detail in *Appendix 4.1*. It is recommended that you read this section carefully and discuss the options for conducting the initial performance review for your management initiative with

your fishery managers.

The following section provides guidance on Option 3 – Conducting your own assessment/review.

How to conduct your own assessment

This section provides guidance on conducting your own review/assessment for your environmental management initiative. It follows a risk assessment process, and provides examples of general environmental risks associated with operating a fishing business and the group of fishing businesses that make up a fishery.

For a detailed **explanation of and guidance on the risk assessment process**, refer to Australian Standard *AS/NZS 4360:1999 Risk Management* or Australian Standards guide *HB 203:2000 Environmental risk management – Principles and processes*.

This document guides you through the following steps.

1. Define the scope for your assessment
2. Identify your legal and other obligations
3. Identify the expectations and values of your interested parties
4. Identify your risks
5. Analyse risks to separate out minor acceptable risks from the significant risks
6. Evaluate significants risk
7. Identify external impacts on your fishery resource and industry
8. Prioritise for further action

If you have implemented a HACCP plan in your business to manage food safety or quality issues, then you will be very familiar with the principles and process of conducting a risk assessment (hazard analysis). If you are unfamiliar with the HACCP technique please read the section of risk management provided in *Appendix 4.2*.

1. Define the scope of your assessment

Set the boundaries of your assessment

The scope of your assessment may be the same as or broader than the scope of your EMS (whatever it may be – code of practice, local fishery action plan, etc). Ideally, your assessment / review should include of all the activities you have direct control over, and those external activities that significantly affect your fishery. Being inclusive will help you to avoid overlooking your big risks!

If you have determined that your EMS will have a very narrow scope (e.g. limited to a single issues, such as the potential impact of the operation on protected species), it is recommended you briefly review key aspects of your industry that contribute to ecologically sustainable development (ESD). This will ensure you are aware of the broader range of ESD issues, avoid overlooking priority issues, and also identify issues that you may wish to cover in your future management cycles.

If you have limited resources, the initial scope of your assessment may be limited to those activities or environmental impacts / risks that your organisation regards as the highest priority. It is recommended that you make this decision in consultation with those who have a good understanding of the management and condition of your operation – discuss this with your managers and researchers.

Define the scope of your assessment by answering the following questions.

1. What people and operating units are to be covered?

2. What is the geographical area of operation?

3. What hazards are to be identified? Environmental, Occupational health and safety, Animal welfare. Of these three issues, only environmental is discussed further in these guidelines.

4. What operational activities (processes) are to be covered?
   - Harvesting activities
   - Fishing vessel/aquaculture equipment operation
   - Fishing vessel/aquaculture equipment maintenance
   - Product processing
   - Storage
   - Transporting
   - Business administration / bookwork-logbook

EXAMPLE

This risk assessment will cover: The environmental hazards associated with the harvesting activities, the operation and maintenance of vessels, the maintenance of gear, and transporting activities of all X endorsed members of the X Association when operating in the X area.

2. Communication and consultation

Identify interested parties

Identify all interested parties and their views, expectations and critical issues in relation to your activities. A generic list of the interested parties is provided in *Communication Guidelines page 83*.

Prepare a communication plan for your assessment/review

Prepare a communication plan covering the internal and external communication and consultation process that will run parallel with the risk assessment process. The communication process needs to be two-way process – it is about engaging external parties and your own members in the exchange of information and their views.

3. Legal obligations

Identify all legal and other obligations – international, national, state and local - relating to the activities, including potential incidents and emergencies, and operating environment covered by the assessment / review. Guidance on identifying the legal and other obligations of relevance to your operations is provided in this guide in *Appendix 4.5.*

4. Identify your risks

Identify sources of risk

List all activities associated with operating your business that fall within the scope of your assessment. This will help you to avoid overlooking activities that have the potential to introduce hazards. Consider:

- Harvesting activities (list all fishing methods)
- Fishing vessel/aquaculture equipment operation
- Fishing vessel/aquaculture equipment and gear maintenance
- Product processing
- Storage
- Transporting
- Business administration

Identify hazardous events (sources of risk) associated with your business' operations and activities. To help you identify all hazardous events associated with your operations, consider:

- your regular activities, infrequent activities and the possibility of incidents,
- your legal and other obligations identified in *Step 3*, and
- the views of interested parties.

What is a hazard?

A **hazard** is a source of potential harm, or an activity with the potential to cause negative impacts. For example, the storage of toxic chemicals is a hazard because the toxic chemical has the potential to cause harm.

EXAMPLE

Principal activities	***Hazardous events / activities***
Harvesting activities	*List each gear type/fishing methods used; loss of gear*
Vessel operation	*Fuel / Oil dispensing (spills); Discharge of bilge water; Fuel & oil storage; Anchoring; Running motors (noise emissions); Light emissions; Air emissions; Garbage disposal; Sewerage holding tank discharge; Accidents (vessel collisions, snag gear, etc) Vessel/animal collision; Ballast water;*
On-vessel processing	*Fish waste disposal; Water use; Chemical use*
Vessel and gear maintenance	*Cleaning vessel – decks / hull (detergents, anti-foulants, water use); Vessel Refit/Mechanical work; Spray painting; Gear cleaning & disposal;*

Communication and Consultation Tip

It is important to consult with all key interested parties when identifying risks. This will help you to ensure that nothing is overlooked and issues of significant public concern are identified.

Describe operating environment

Identify all major components of your operating environment. This should include the key biological (ie. fauna, flora, ecosystems), physical (eg. atmosphere, water quality, etc.) and social (eg. cultural heritage, social demographics) components of the environment. Be specific – for example, list populations of

threatened species that occur in area of operations, key habitat types, etc.

The legal and other obligations applicable to your operating environment (for example – protected areas, protected species, etc) and the agency with principal responsibility for administering each legislative requirement should be noted.

Where specific information about your operating environment is not available – for example, key habitat types, etc – make a note of this. With the onus now on industry and management agencies to demonstrate that the fishery is operating in an ecologically sustainable manner and effectively managing its risks/impacts, key knowledge gaps need to be identified and filled. Scientific uncertainty can no longer be used as a reason for not taking measures to prevent potential serious or irreversible environmental degradation – but rather, appropriate measures must be put in place in advance of scientific certainty (Precautionary principle).

The table below provides a generic list of the major components of the operating environment of a wild capture fishing operation. You will need to customise this to represent the operating environment of your fishery.

Ecological components & processes

Retained species
- Primary species (list principal / target species – identify those sought by recreational or traditional fisheries)
- Secondary species (list by-product species – identify those sought by recreational or traditional fisheries)

Non-retained species
- Populations of threatened & protected species (nationally-listed & state-listed species in area of operation)
- Target species of other fisheries
  - Commercial
  - Recreational
  - Traditional
- Other non-retained species
- Ecosystem integrity & function
- Biodiversity
- Food chain
- Associated and dependent species

Habitat types
- List habitat types in area (of those, note the critical habitats of threatened species)
- List habitat types of importance to the retained species (whether or not they occur in the area)

Physical components & processes

Air (atmosphere)
Water
Substrate (intertidal and subtidal)
Environmental Flows
Non-renewable energy resources

Social components

Social demographics (in or adjacent to area of operation)
- Residential areas
- Recreational fishing areas
- Tourist areas

Conservation sensitive sites (in or adjacent to area of operation)
- World Heritage areas

- Ramsar areas
- Cultural heritage areas
- "Wilderness" areas
- Other protected areas
- Animal welfare interests

Other components

- Lost fishing gear
- Discards
- Translocation

Identify the interactions and potential impacts

To identify interaction and potential impacts:

1. Prepare a matrix listing each component along one axis and hazardous events along the other axis,
2. Cross check each hazardous event against each component and identify possible interactions,
3. Where an interaction occurs, one or more potential impacts exist. Note that an interaction / potential impact may be a direct or an indirect. For example, the normal feeding behaviour of a population of protected species may be altered as a result of a fishery targeting and retaining its principal food source – this is an indirect interaction between the fishery and the protected species population. Similarly, the accidental capture of non-retained species in derelict fishing gear is an indirect interaction of fishing operations known as ghost fishing.
4. Identify the potential impacts of each interaction. Remember to identify both impacts on the environment and the potential corresponding impacts on your business. Impacts to your business will include financial loss, bad publicity, damaged community relations and public image, regulatory imposition, etc.

Use the example of a risk matrix provided to guide you. [Electronic proforma of matrix to fill in. Facilitator note – As much as possible, customise electronic matrix to represent your operation prior to industry meeting.]

Identify all legal and other obligations associated with each interaction and potential impact/risk

Determine whether there is a legal or other obligation with interaction / potential impact on the component. Consider the following questions for each interaction/potential impact.

- What is the legal obligation/ potential impact (and/or other requirement to which the industry subscribes – FAO Code, etc)?
- Are there currently controls/measures in place to meet that legal obligation? What are they?
- Are all operators aware of the legal obligation? Are they currently implementing the controls/measures in place?
- Who is responsible for setting the controls and assessing their effectiveness?

Identify the expectations and values of interested parties associated with each interaction and potential impact/risk

Determine the views of interested parties in relation to your activities and potential impacts/risks.

5. Analyse risks

In this step you will determine the level of risk associated with the interactions identified in *Step 4*. The purpose is to separate the minor acceptable risks from the significant risks - allowing you to concentrate on the significant risks.

What is a risk?

The chance or likelihood of a hazardous event actually causing harm is known as risk. It is important to understand the difference between a hazard and a risk. Hazards exist around many human activities but are usually controlled so that the risk of serious harm is low.

The level of risk associated with a hazard depends on two things: the **likelihood** that the hazard will cause harm; and the **seriousness** of the harm caused.

Determine level of risk

The level of risk associated with each hazardous event / interaction depends on two things:

- **What harm is possible and how serious is it?** ie. the seriousness of the resulting environmental impact/s (the consequence).
- **How likely it is to occur?** ie. the likelihood of the resulting environmental impact/s (the consequence) occurring.

To determine the level of risk associated with each of the hazardous events you identified earlier:

- Use Table 1 to allocate a rating for consequence; and then
- Use Table 2 to allocate a rating for likelihood; and then
- Calculate level of risks using the equation *Level of risk = Consequence × Likelihood*; and then
- Use Table 3 to rank the level of risk (High, Moderate, and Low). Ranking the risk as ***high***, ***medium*** or ***low*** will help you in deciding on the type of action to be taken for each potential hazard.

Table 1. Example of qualitative measures of consequence

Rating	Consequence	Description
1	Insignificant	Negligible effects Very limit public interest No legal or other obligations
2	Minor	Localised, minimal effects, no lasting detrimental effects No legal or other obligations. Public concern limited to local complaints
3	Moderate	Moderate impacts of ecosystem, populations, habitat, biodiversity; Legal or other obligations Attract attention from local media, heightened concern by local community & green groups; Source of community annoyance Limited understanding of fishery impacts;
4	Major	Long-term, significant change to ecosystem function, populations, habitat, biodiversity; unlikely to recover under current management; Legal or other obligations Local and national public and media outcry; local green/recreational/indigenous NGO campaign Very limited understanding of fishery impacts
5	Catastrophic	Severe impacts on ecosystem function, populations, habitats, biodiversity – unlikely to

		recover Probable public or media outcry (widespread national / international coverage); Significant green / rec / indigenous NGO campaign Legal or other obligations No understanding of fishery impacts;

Table 2 Qualitative measure of Likelihood

Rating	Likelihood	Description
1	Rare	Occurs only in exceptional circumstances
2	Unlikely	Could occur but not expected
3	Possible	Could occur
4	Likely	Probably occur in most circumstances
5	Almost certain	Expected to occur in most circumstances

Table 3 Qualitative Risk Analysis Matrix: Level of Risk

Likelihood	Consequence				
	Catastrophic (5)	Major (4)	Moderate (3)	Minor (2)	Insignificant (1)
Almost certain (5)	High	High	High	Mod	Mod
Likely (4)	High	High	Mod	Mod	Mod
Possible (3)	High	High	Mod	Mod	Low
Unlikely (2)	High	Mod	Mod	Low	Low
Rare (1)	Mod	Mod	Mod	Low	Low

Document your justification for the ratings that you have allocated, including sources of information.

Important Information

Analyse the risk in the context of existing controls

The level of risk associated with a hazardous event needs to be analysed in the context of existing controls. However, should you assume the existing controls are working and all operators in the fishery are aware of them and implementing them effectively? Determining both the worst case scenario assuming all controls fail or are not implemented and the best case scenario assuming all controls work effectively will help draw attention to those risks for which the controls are particularly crucial. This will help to identify where industry awareness and training programs may be useful (including codes of conduct and practice), and where verification and monitoring is critical.

Use the best available information sources

When analysing the level of risk use the best available information sources to avoid subjective biases. This should include:-

- Industry practice and experience
- Specialist and expert judgement (fisheries scientists and managers involved in your fishery)
- Relevant research, assessments and published literature

Faced with uncertainty

You may face uncertainty about the level of risk because of:

- Lack of reliable data
- Dealing with complex systems – scientific understanding of ecosystems is far from complete and uncertainty and lack of knowledge are common

When faced with uncertainty, remember that the onus is now on your management agency and your industry

to demonstrate that the fishery is operating in an ecologically sustainable manner. Therefore, it is important to identify key knowledge gaps that may need to be filled. A lack of scientific uncertainty can not be used as a reason for not taking measures to prevent potential serious or irreversible environmental degradation – rather, appropriate measures should be put in place in advance of scientific certainty (Precautionary principle).

Communication and Consultation Tip

To avoid overlooking the significant risks associated with your industry, it is important to involve those scientists and managers with a good understanding of your industry in the risk analysis process. As well as the risk to the environment, the risk also relates to your business – the views of key interested parties will help you analyse the risks of these potential impacts on your business.

6. Evaluate how well the significant risks are being managed

You now need to determine whether the potential significant impacts and risks associated with your fishery are being managed effectively and are within the acceptable limits set by laws (international, national, state and local) and the community. It is likely that specific quantitative assessments will be necessary to complete this next step of evaluating your performance at managing major risks.

To do this, you need to determine the agency, organisation, or persons principally responsible for managing the risk/impact. In many cases it will be your fisheries management agency – as most fisheries agencies Australia-wide are charged with the responsibility of managing fisheries in an ecologically sustainable manner. In some instances there will be more than one agency responsible for ensuring the risk/impact is managed effectively.

You need to establish the following:-

- Have the agencies responsible evaluated whether the risks / impacts are being managed effectively by the existing controls and are within the acceptable limit set by laws (international, national, state, local) and the community? For example this may have been done through stock assessments, environmental impact assessments, water quality assessments etc.
- How robust is the evaluation is - have the key knowledge gaps been identified and prioritised?
- Based on the evaluation, how effective are the existing controls, what aspects of the fishery, and the operation of the industry need to be improved?
- What are the roles and responsibilities of the individual licensed operator in the fishery in contributing to the improvements that need to be made?

7. Identify external impacts on your fishery resource and industry

There is a huge variety of activities that may potentially affect the productivity of fish populations. With the exception of fishing itself, the biggest impacts on fish stocks may arise from the activities of other users of the marine environment.

Other than fishing itself, fishermen has very little direct control over the majority of activities that can adversely affect the productivity of commercially important fisheries resources and hence, the potential for

making a living. Control then has to be gained indirectly by influencing and lobbying government agencies and those directly responsible for the activities. To do this, you need to identify those activities adversely affecting fisheries resources, and the impacts.

List impacts on the environment of the industry and the potential associated activities.

Activities	Potential Impacts
Discharge from sewerage treatment plants Industrial effluent disposal (Licenced point source pollution) Reclamation of wetlands for agricultural and urban developments River regulation – construction and operation of dams & weirs) Agricultural practices - run-off, and riparian damage Chemical pest control Urban development Coastal engineering works Tourism development and activities Fuel and oil spills Dredging Oil drilling Ballast water discharge Direct take by other fisheries targeting same fish species – Recreational, commercial & traditional	Habitat loss and modification Impediments to environmental/water flows Barriers to fish migration Sedimentation of rivers Nutrient loading Toxicity Algal blooms Disturbance of acid sulphate soils Human-induced fish kills Impacts of introduced species Recreational take

Identify who is responsible for managing the impact, the existing management arrangements to control / reduce these impacts, what assessments have been conducted to evaluate the impact, and whether further action is required and what type.

8. Prioritise for further action

What issues should you act on?

It is unlikely you have the time, or resources to address all issues identified. To help you identify the priority issues - the ones you will focus on initially (in this management cycle) – you may choose to set criteria to determine the most appropriate issue to act on.

Priority issues may be those that require a management response for one or more of the following reasons:-

- to meet legal requirements and ESD objectives for your fishery
- to meet other standards to which the organisation subscribes
- to achieve objectives critical to your business/industry goals
- to address a matter of significant public concern, regardless of performance evaluation
- to improve resource utilisation and efficiency, consistent with the principles of ESD
- to raise community awareness of your performance and management activities
- to raise industry awareness of key issues contributing to the sustainable development of the industry and productivity of fishery
- to improve knowledge / collect reliable data for evaluating performance of critical aspects

Question the consequence of not taking action, in terms of achieving your business/industry goals, community response, legal liability, regulator response, political response, etc. Your prioritised list should include, for each issue, all parties directly responsible for achieving the objective.

More Information for Step 4

APPENDIX 4.1 - Options for conducting your review/assessment

Use existing assessment and review processes for your fishery

You may dovetail an assessment and review processes being undertaken, or due to be undertaken in the near future, for your fishery. This may take the form of a statutory environmental assessment process and/or the ESD reporting process. This will simplify your review and provide greater assurance of the minimum standards (legal requirements) with which your organisation must comply, and how your industry is currently performing in relation to these standards.

A systematic process for reviewing how well a fishery – as defined by the fisheries management agency - is meeting the objectives of ecologically sustainable development, termed the National Reporting Framework for Australian Fisheries*, is also currently being trialed by fisheries agencies Australia-wide. The ESD reporting process is carried out by fisheries agency in consultation with key stakeholders. Over time, this reporting framework will by adopted for fisheries Australia-wide as an integral part of fisheries management. If you are developing an environmental management system for your fishery sector, this is the ideal starting Information on the SCFA ESD Reporting framework is provided on the ESD website – **www.fisheries-esd.com.**

The National Reporting Framework is taken from the perspective of the fishery (mainly management agency). The EMS is from the perspective of the industry organisation and their goals may differ slightly (particular social aspects) or be at different scales.

Checklist – Adequacy of assessment for the purpose of your EMS

Does the assessment cover the full scope of operations and activities covered by your EMS?

Have all key aspects and impacts been identified, at a scale appropriate to the scope of your management initiative?

Do the performance standards (benchmark/objectives) satisfy:

- ❒ *High–level ESD objectives;*
- ❒ *Legal requirements;*
- ❒ *Expectations and values of interested parties;*
- ❒ *Other requirements to which your organisation subscribes;*
- ❒ *Your business/industry goals; and*
- ❒ *Ensure that the options available to future generations are not unreasonably constrained?*

Are there additional issues that need to be considered (ie. specific to a locality or region), or considered in greater detail for the purpose of your management initiative?

Commission an assessment or review

You may choose to commission an assessment if: your fishery is not undergoing a statutory assessment or review process within a convenient timeframe; and/ or you require a greater level of independence than the existing assessment and review processes provide; and/or you wish to focus on issues outside the scope of existing assessment and review processes.

The Marine Stewardship Council (MSC) offers a pre-assessment evaluation against its standards. The MSC pre-evaluation process provides fisheries seeking MSC certification with an indication of their non-conformance with the MSC standard, enabling the fisheries to determine whether or not to proceed with the full certification process. The MSC pre-assessment evaluation may also be used by an industry sector to help it assess how well its fishery's environmental impacts and risks are being managed and to establish a prioritised list of issues requiring further management action. It is recommended that you discuss this option with the Marine Stewardship Council **(www.msc.org).**

)Alternatively you may choose to commission appropriately qualified persons to conduct an assessment or review that meets your specifications. It is recommended that you discuss this option with Seafood Services Australia or SeaNet Fisheries Extension Service.

Conduct your own review, in collaboration with your fishery management advisory committee, researchers, managers, etc.

Your industry group, in collaboration with people and organisations with expertise in your fishery, may conduct an assessment/review using existing assessments, studies, and expertise applicable to your fishery. It is recommended that you discuss this option with Seafood Services Australia or SeaNet Fisheries Extension Service and/or your fishery manager.

This process will involve gathering information (assessments, reviews, status reports, research findings, etc) from a range of sources.

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[*] * The National Reporting Framework for Australian Fisheries is currently being developed by a team of researchers for a committee made up of the fisheries directors of each State, Territory and Commonwealth fishery agency. The ESD reporting process defines ESD within the context of fisheries management by subdividing ESD into a number of components which includes ecological issues - the target (retained) species, the ecosystem (eg. non-retained species, trophic level/habitat, etc) - social issues, economic issues and also the management arrangements. ESD outcomes (objectives, indicators and reference points) specific to an individual fishery are then set for all relevant components, against which the achievement of the ESD outcomes may be monitored, evaluated and reported.

APPENDIX 4.2 - Risk management: the basics!

The most commonly used example is the risk of having a car accident. We know that car accidents often result from people falling asleep at the wheel or driving when drunk, and that accidents are more likely in bad weather, on horror stretches of road, and at holiday times when more cars are on the road. We also know that a few thousand people die on our roads each year and that a few hundred thousand are injured. So we plan our travel to minimise the risk by not driving when we're tired, avoiding being on the road at peak holiday times and late at night when people are on their way home from the pub.

What we've just done is risk management, and we've done it in three parts. First, we've done a *risk assessment* where we identify the hazards and assess how likely those things are to happen to us. Secondly, we have also got into *risk control* by taking options to reduce the likelihood that the hazard will occur. Finally, we discussed our travel plans with our family, which is *risk communication.*

Risk assessment can be viewed as a screening of all possible risks associated with running your business to filter out those risks that are significant and require further investigation or need to be controlled.

Few environmental risks remain static, so risk assessment needs to be an on-going process, repeated regularly. Repeating the risk management process with increasingly rigorous acceptability criteria also promotes continual improvement in managing risks.

Managing environmental risk associated with fishing: Who's responsible?

Responsibility for managing the environmental risks associated with your business and industry is taken by any or all of the following:

Group	*Management action*
Fishing Operators	Review of hazards and their control Install control measures to minimise risk Communicate risks and controls to stakeholders Contribute to the identification of risks and establishment of controls by controlling bodies
Industry Bodies	Educate operators about and mandate risk reduction strategies / practices Communicate risks and controls to stakeholders
Controlling authorities (Regulatory agencies, such as fisheries agencies)	Review of hazards and their control Regulate management systems /control measures to minimise risk across each entire fishing sector Communicate risks and controls to stakeholders
Individual consumers	Avoid certain products eg. products harvested in a manner that poses a risk of harm to the environment.

APPENDIX 4.3 - Some potential environmental impacts/risks

Some potential environmental impacts / risks associated with the conduct of a fishery

Component of system	Primary activity of fishery	Description of activity	Potential Impact /Risks
Retained species	Harvesting	Direct take (removal)	Overfishing of target fish stock
Bait species	Bait Harvesting	Direct take of bait species (removal)	Overfishing of bait stocks
Non-retained species (general non-target)	Harvesting Ghost fishing Debris from fleet	Bycatch (removal) Discards (additions)	Impact on ecological viability of non-target species Behavioural changes
Non-retained (Protected Species)	Harvesting Ghost fishing Debris	Vessel strike Accidental entanglement Noise Pollution	Kill, injure, or displace protected species Contribute to decline of population of protected species
Ecosystem generally Biodiversity Food chain Dependent & associated species	Harvesting Ghost fishing Debris from fleet Bait collection Stock enhancement	Direct take (removal) Additions	Loss of biodiversity Impacts of ecosystem function & structure including food chain impacts, dependent and associated species
	Bait use	Addition of bait species and associated species	Loss of biodiversity Introduction of disease
Habitat (eg. seagrass, mangrove, coral reef, rocky reefs, seamounts, mudflats & sand communities)	Harvesting	Physical disturbance of habitat	Loss and modification of habitat (quality and area)
			Impacts on critical habitats of target species
			Impacts on critical habitats of protected species
			Loss of biodiversity
	Anchoring	Localised physical disturbance of habitat	Localised loss or modification of habitat area
	Operating Vessel	Oil discharge	Localised loss or modification of habitat area
	Accidents	Refuelling spillage	Loss and modification of habitat (quality and area)
Natural or cultural heritage values of protected areas	General operating	Operating in or adjacent to protected areas	Impact on values of protected area
Water Quality	Operating Vessel	Pollution (Oil discharge)	Impact on water quality
	General (vessel)	Pollution (Sewerage discharge)	Impact on water quality
	General (vessel)	Pollution (Toxic chemicals / discharge/anitfouling paints)	Impact on water quality
	Accidents	Refuelling spillage	Impact on water quality
Air Quality	Refrigeration	Emissions of CFCs, HCFCs, PFCs	Ozone depletion
	Disposal of organic waste to landfill	Emissions of methane	Greenhouse gas emissions (CH4)
	Vessel operation	Emissions from consumption of fossil fuels - *Fuel*	Greenhouse gas emissions (CO2) – contribute to climate change Other air pollutants (particulates, etc)
	General business operations	Emissions from consumption of fossil fuels - *Electricity use*	Greenhouse gas emissions (CO2) – contribute to climate change Other air pollutants (particulates, etc)
Solid waste	Packaging and organic material	Disposal to landfill	Quantity to landfill
	On-board garbage	Overboard disposal of plastics, etc	Impacts on protected species and ecosystem generally
	Vessel refit /maintenance	Disposal of miscellaneous waste	Quantity and toxicity to landfill
Noise Amenity	Operating Vessel	Noise emissions	Unacceptable levels of noise
Aesthetics (social)	General operations	Visibility of operations	Unacceptable impacts on visual amenity eg “Wilderness area”
	Debris	Visibility of debris	Unacceptable impacts on visual amenity
	Bycatch discarding	Visibility of bycatch	Unacceptable levels of bycatch wash-up
Non-renewable resources	Operating vessel General business	Energy consumption Fuel Oil Electricity	
	Vessel & Equipment	Material for vessel and equipment	

APPENDIX 4.4 - Principles & criteria for sustainable fisheries

A number of intergovernment and governmental initiatives (at the global, national and local levels) define principles and criteria for sustainable fisheries. Some initiatives focus primarily on the ecological aspects of sustainable fisheries, while other cover all aspects – ecological, social, economic and governance aspects.

Examples of intergovernmental and governmental initiatives applicable to the Australian fishing industry include:

- FAO (Food and Agriculture Organisation) Code of Conduct for Responsible Fisheries & FAO Technical Guidelines for Responsible Fisheries (Global)
- SCFA ESD Reporting Framework & ESD Criteria and Indicators for Australia's fisheries (Standing Committee for Fisheries and Aquaculture ESD Reporting Framework, FRDC Project No. 2000/145)
- *"Guidelines for Assessing the Ecological Sustainability of Fisheries Management Regimes"* used to assess Australian marine capture fisheries with an export component and for strategic assessments of Commonwealth-managed fisheries, both under the *Environment Protection and Biodiversity Conservation Act 1999.*

A sustainable fishery is defined for the purpose of these guidelines as

"A fishery that is consistent with ecologically sustainable development. That is, a fishery that uses, conserves and enhances the community's resources so that ecological processes, on which life depends, are maintained, and the total quality of life, now and in the future, can be increased.

Many **non-governmental organisations** are also active in developing sets of principles, criteria, and indicators for sustainable fisheries, at the international, national and fishery level. These organisations include industry organisations, environmental groups, certification bodies, and others.

Examples of non-governmental initiatives include:-

- Marine Stewardship Council Principles and Criteria for well-managed, sustainable fisheries (Global) – used to develop principles and criteria used *Guidelines for Assessing the Ecological Sustainability of Fisheries Management Regimes"* under the *Environment Protection and Biodiversity Conservation Act 1999.*
- Australian Seafood Industry Council Code of Conduct for Responsible Seafood Industry
- Code of Conduct for Australian Aquaculture
- Greenpeace Principles for Responsible Low-impact Fisheries (Global)

Non-governmental initiatives provide valuable information about the views of interested parties that you can use in the development of the environmental policy and objectives and targets of your EMS.

Using ESD principles and criteria for fisheries

Industry groups that wish to make a commitment to the goal of the ecologically sustainable development of their industry need to incorporate sustainable fisheries principles, objectives and indicators, appropriate to the scope of the EMS, into their policy (code of conduct), objectives and targets.

In most cases however, sustainable fisheries principles are high-level goals and objectives and do not establish the specific operational objectives required at an individual fishery/aquaculture operation level. The sustainable fisheries principles needs to be interpreted at the individual level to be incorporated into the EMS.

ESD principles are translated and applied to an individual fishery/aquaculture operation to some degree in the existing fishery management regime(s) as management objectives and controls specified in regulation, management plans and strategies, bycatch action plans, and voluntary industry codes, etc. However, without explicitly stated clear objectives and indicators *for all key aspects* of the fishery/aquaculture operation with respect to ESD, an operation may have difficulty both pursuing and demonstrating progress with respect to ESD.

The National Reporting Framework for Australian Fisheries[†] aims to document the progress of a fishery with respect to ESD, considering both its positive and negative contributions of the fishery, by translating ESD principles into ESD objectives directly applicable to the operation of the fishery.

Where to find some of the key principles and high-level objectives that apply to the Australian fishing industry

Component of system	Primary Activity (& process)	Where to find key principles & high level objectives for your operations			
		FAO Code[‡]	National Strategies & Policies	Legislation[§]	
				Commonwealth	State and Territory
Retained species (target)	Harvesting (removal)	6. 8.4.3 8.4.4	ESD Biodiversity Oceans Policy	*EPBC Act*[**] Principle 1, Objective 1	Fisheries
Bait species	Bait harvesting (removal)	6	ESD Biodiversity Oceans Policy	*EPBC Act* Principle 2, Objective 3	Fisheries
Non-retained species (general non-target)	Harvesting Ghost fishing Debris from fleet (removal)	6. 8.5 8.4.5 8.4.6	ESD Biodiversity Fisheries Bycatch Oceans Policy	*EPBC Act* Principle 2, Objective 1	Fisheries Nature conservation/ threatened species
Non-retained (Protected Species)	Harvesting Ghost fishing Debris from fleet (kill, injure, disturb)	6.	ESD Biodiversity Oceans Policy	*EPBC Act* Principle 2, Objective 2	Fisheries Nature conservation/ threatened species
Ecosystem function/integrity Biodiversity Food chain Dependent & associated species	Harvesting Ghost fishing Debris from fleet Bait collection Bait use Stock enhancement (removal and addition)	6. 8.4.8	ESD Biodiversity Oceans Policy	*EPBC Act* Principle 2, Objective 3	Fisheries Nature conservation/ threatened species
Habitat (eg. seagrass, mangrove, coral reef, rocky reefs, seamounts, mud/sand communities)	Harvesting (Physical disturbance of habitat) Anchoring (localised physical disturbance)	6. 8.4.7	ESD Biodiversity	*EPBC Act* Principle 2, Objective 3	Fisheries Nature conservation/ threatened species
	Operating vessel (oil discharge & refuelling spills)	8.7.4		Protection of the Sea	Marine transport / pollution legislation
Natural or cultural heritage values of protected areas	Operating in or adjacent to protected areas		Representative Areas Biodiversity Oceans Policy	*EPBC Act* Principle 2, Objective 3	Protected Areas legislation & zoning plans

Component of system	Primary Activity (& process)	Where to find key principles & high level objectives for your operations			
		FAO Code‡	National Strategies & Policies	Legislation§	
				Commonwealth	State and Territory
Water Quality	Operating Vessel Oil discharge General (vessel) Sewerage discharge General (vessel) (Toxic chemicals / discharge Anitfouling paints) Accidents Refuelling spillage	8.7	ESD Oceans Policy	*EPBC Act* Principle 2, Objective 3 Protection of the Sea	Protected Areas legislation Marine transport / pollution legislation
Air Quality / Atmosphere	Refrigeration emissions of CFCs, HCFCs, PFCs	8.8	ESD, Cleaner Production, Greenhouse, Oceans Policy	Ozone Protection Act	
	Disposal of organic waste to landfill (emissions of methane)				
	Vessel operation (emissions from consumption of fossil fuels – Fuel)	8.6.2 8.8			
	General business operations (emissions from consumption of fossil fuels – Electricity use)				
Solid waste	Disposal of packaging and organic material to landfill		ESD Cleaner Production		
	On-board garbage disposal	8.7			
	Vessel refit /maintenance Disposal of miscellaneous waste				
Noise Amenity	Operating Vessel (noise emissions)				Environmental protection legislation
Visual Amenity	General (visibility of operations)				
	Debris (visibility of debris)				
	Bycatch (visibility of bycatch discards)				
Non-renewable resources	Operating vessel / General business Energy consumption Fuel Oil Electricity	8.6	Cleaner Production		
	Vessel & Equipment Material for vessel and equipment		Cleaner Production		

KEY OF NATIONAL STRATEGIES & POLICIES

ESD	National Strategy for Ecologically Sustainable Development (ANZECC, 1992)
Biodiversity	National Strategy for the Conservation of Australia's Biological Diversity (ANZECC, 1996)
Fisheries Bycatch	National Policy on Fisheries Bycatch (MCFFA, 1999)
Cleaner Production	Towards Sustainability – Achieving Cleaner Production in Australia (ANZECC, 1998)
Greenhouse	National Greenhouse Strategy
Ozone	Australia's Ozone Protection Strategy (ANZECC, 1994)
Oceans Policy	Australia's Oceans Policy (1999)
Representative Areas	Strategic Plan of Action for Establishing a Representative Area of Marine Protected Areas (ANZECC,1998)
Protection of the Sea	*Protection of the Sea (Prevention of Pollution from Ships) Act 1983* (Commonwealth)

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† † The National Reporting ESD Framework for Australian Fisheries is currently being developed by a team of researchers for the Standing Committee for Fisheries and Aquaculture (SCFA), a committee made up of the fisheries directors of each State, Territory and Commonwealth fishery agency. The ESD reporting process defines ESD within the context of fisheries management by subdividing ESD into a number of components which includes ecological issues - the target (retained) species, the ecosystem (eg. non-retained species, trophic level/habitat, etc) - social issues, economic issues and also the management arrangements. ESD outcomes (objectives, indicators and reference points) specific to an individual fishery are then set for all relevant components, against which the achievement of the ESD outcomes may be monitored, evaluated and reported.

‡ FAO Code of Conduct for Responsible Fisheries takes a very operational approach to ESD, providing principles and standards applicable to the conservation, management and development of all fisheries. Technical guidelines that elaborate on aspects of the Code have been developed to support its implementation. The sections of the code that directly relate to the fishing activity and potential risk/impact are provided in the table – this may not be exhaustive, and is provided as a starting point. The Code is available on the FAO website – **www.fao.org/fi**

§ Many principles and standards that apply to the environmental performance required of the fishing industry have already been given binding legal effect by means of Commonwealth, State, Territory and local government legislation. See the list of key environmental /natural resource legislation applicable to the fishing industry in Australia provided in *Appendix 4 for Commonwealth, and each State and Territory.*

** These principles and objectives are given 'Guidelines for assessing the ecological sustainability of fisheries management regimes', used to assess Australian marine capture fisheries with an export component and the strategic assessments of Commonwealth managed-fisheries, both under the *Environment Protection and Biodiversity Conservation Act 1999.* The assessment guidelines are available on the Environment Australia website: **www.environment.gov.au/marine/fisheries/assessment/index**

APPENDIX 4.5 - Identifying legal and other obligations

One of the basic requirements for any EMS is to identify the legislative framework, and other standards under which your organisation must operate. The complexity of this will vary depending on the type and area of operation, but it is likely to include a number of local, state and federal environmental/natural resource laws, international obligations and industry codes.

You need to:

- Identify all applicable legal requirements international, (national, state and local) with which the members of your organisation may be required to comply. This includes the conditions of any licenses, permits or approvals requirements you hold.
- Identify all standards, codes of practice, industry guidelines voluntarily adopted by the members of your organisation and your industry.
- Identify all regulatory authorities and local contacts with which the organisation may be required to interact with from time to time.

Note. The legal framework need only cover those activities within the scope of EMS.

Legal obligations *refer to the relevant:*

- *Federal, state, local laws (including obligations stated in acts, regulations, management plans, zoning plans, recovery plans, threat abatement plans, permit and licence conditions, etc.); and*
- *International environmental treaties, conventions and agreements*

Other obligations *refer to the relevant:*

- *Industry-specific codes, guidelines and certification programmes*

How to identify legal and other obligations

The process of identifying applicable legal and other requirements, interpreting them, and determining their impact on your activities can be time-consuming. There are a number of ways your organisation can obtain information on applicable laws and other requirements. They include:

- The list of 'Key environmental legislation relating to the Australian seafood industry' and support that information is provided in these guidelines *(see page 41)*. The list should be used as a starting point only– it may not be exhaustive.
- Invite representatives of the relevant regulatory agencies to discuss & advise on their specific requirements.
- Fact sheets and other information about Federal, State or Territory environmental laws in Australia are available from the Environmental Defender's Office (EDO). Visit the EDO's website - **www.edo.org.au** , or contact the Environmental Defender's Office in your State or Territory for details of publications and other information.
- Consult your peak industry body
- Copies of all Australian legislation can be downloaded from the Internet website **www.austlii.edu.au**
- Consult newsletters, magazines and journals of the relevant agencies

International treaties, conventions and agreements

It is also recommended that you consider the international environmental treaties, conventions and agreements of relevance to your fishery, and how they influence your activities through national and state legislation and policies and industry Codes. Gaining insight into the global driving force behind national environmental laws, policies and programs may help you to anticipate future environmental standards.

Tracking changes in legal and other requirements

Changes to legal and other requirements might require you to change your objectives or other elements of your management system. To keep abreast of changes in legal and other requirements, you should :

- Consult peak industry body frequently
- Subscribe to relevant the newsletters and magazines of regulatory agencies, peak industry organisations, non-government organisations, etc.

Access to legal documents

It is recommended that you have ready access to all key legislation, regulations, standards, codes of practice applicable to your organisation. This may involve obtaining and holding copies of key documents, or simply having access to documents via the Internet.

For key legislation, consider translating the relevant sections of the legislation into plain English– this will help in communicating the requirements to organisation members and their employees. It is recommended that an appropriately qualified person assist you with this.

Documentation - A register of legal and other requirements

Create and maintain a register of legal and other requirements. Include explanatory notes of applicability of the instrument to the organisation's operations (an explicit statement of requirements). The regulatory register must be kept up to date. Assign responsibilities and process for maintaining the register, and communicating it and any changes to organisation members.

Communicating legal requirements to members

All members of your organisation must be aware of their legal obligations under Federal, State and Local Government laws, and the other standards and codes to which your organisation subscribes. Any changes to legal and other requirements need to be communicated to all members of the organisation in a timely manner. Assign responsibility for communicating the register, and contents to the members of the organisation, and any changes.

Regulatory Compliance Review

A review of the history of non-compliance events of members of the organisation will assist you to identify areas of significant non-compliance. This information can be used to implement preventative measures, such as education and training, to avoid non-compliance in the future.

Non-compliance events can by identified through:-

Voluntary notification by organisation members

Advice from the relevant enforcement agency

Compliance with legal and other requirements should be internally reviewed on a regular basis, as part of the management review. A procedure for the internal compliance review should be developed.

Conservation Sensitive Locations & Species

Conservation sensitive locations include areas of cultural and natural significance, including designated protected areas, areas of significance to protected species (ie. critical habitats such as breeding grounds, feeding grounds, etc) and threatened ecological communities. Given the sensitive nature of these sites in terms of legal obligations and community expectations and aspirations, documenting details within and adjacent to the area of operation may help you to keep abreast of developments (eg. management, research, etc) in relation to these sites.

You may choose to document a description of the site/species that includes:

- Name of location and details: conservation status and any associated values/ relevant information; or
- Name of protected species, its geographic distribution & habitat requirements & locations (if known) within the area of your fishery.
- Legislative basis of conservation status (international, national & state) or otherwise, and specific regulatory requirements
- Existing operational controls & procedures of the fishery relating specifically to the conservation status of the area or species, and relevant regulatory requirements.

Develop a procedure for maintaining an inventory of conservation sensitive locations, keeping abreast of developments in research and management arrangements relating to the location and species. Assign responsibilities for maintaining inventory and communicating the changes internally.

How to identify conservation sensitive locations

Conservation sensitive sites should have been identified during the application of legal requirements. To identify these in your area:

- Use the knowledge of the organisation's members
- Consult relevant regulatory agencies
- Consult environmental and indigenous interest groups
- Consult industry peak body

O O WE H E S O

Legislation		**d er e re le**	**Su rd e le l l e**	**r r e ul r**
nvironment rotection and iodiversity Conservation Act 1	Creation and management of protected areas including orld eritage properties, amsar wetlands, Commonwealth reserves, and biospheres isting of nationally threatened species and ecological communities, migratory species, and marine species for national protection, and key threatening processes. reparation of national recovery plans for threatened species reparation of national threat abatement plans for key threatening processes egulates the assessment and approval of activities that may have a significant impact on matters on national environmental significance orld eritage properties amsar wetlands Nationally threatened species and ecological communities isted migratory species Activities relating to nuclear energy and Commonwealth marine environment egulates activities by a person on a Commonwealth area. egulates activities by Commonwealth government agencies Activities in the Great arrier eef arine ark approved by the Great arrier eef arine ark Authority are exempt from approval requirements under the C Act ederal government can enter into bilateral agreements with State and Territory governments, delegating the assessment and approval process to the States and Territories.	N N NT A ST A A Commonwealth epartment of nvironment Community nformation nit h. 1 3 2 www.environment.gov.au/epbc iodiversity Group www.environment.gov.au/bg arine Group www.environment.gov.au/marine	nvironment rotection and iodiversity Conservation egulations 1 Guidelines for assessing the ecological sustainability of fisheries management regimes. www.environment.gov.au/marine/fisheries/assessment/index	The National eritage Trust www.nht.gov.au Coast and Clean Seas ndangered Species rogram orld eritage National etlands rogram National eserve rogram
ildlife rotection egulation on xports and mports 1 2	egulates the export of listed Australian native wildlife and wildlife products, and the import of listed species of wildlife through an assessment and permit system. Commercial marine capture fish species will be sub ect to export permits system,and associated ecological sustainability assessments from 12/2 3 The Act is be incorporated into the C Act in the future	nvironment Australia arine Group www.environment.gov.au/marine		
Great Barrier Reef Marine Park Act 1974	Strategic oning plans and site specific management plans are established under the Act to control activities with the arine ark with purpose of preserving the area s outstanding biodiversity whilst providing for reasonable use.	Great arrier eef arine ark Authority www.gbrmpa.gov.au		
	egional arine lans	National ceans ffice www.oceans.gov.au	Australia s ceans olicy 1	
N/A		Australian Greenhouse ffice www.greenhouse.gov.au		The Greenhouse Gas Abatement rogram
N/A	National Strategy for cologically Sustainable evelopment 1 2 National Strategy for the Conservation of Australia s iodiversity 1 nterGovernmental Agreement on the nvironment 1 2 Towards Sustainability Achieving Cleaner roduction in Australia 1 National Strategy for the Conservation of Threatened Species and Communities in anger of xtinction 1 National Greenhouse Strategy 1 National epresentative System of arine rotected Areas 1	Australian and New ealand nvironment and Conservation Council AN CC administered by A www.environment.gov.au/an ecc		
Protection of the Sea (Prevention of Pollution from Ships) 1983	egulates the discharge of ship sourced pollutants into coastal and marine waters oil, garbage, ha ardous liquids, sewerage ollution response plans eception facilities	Australian aritime Safety Authority nvironment rotection nit www.asma.gov.au		
Fisheries Administration Act 1991	Commonwealth fisheries policy	Commonwealth epartment of Agriculture, isheries orestry Australia A A www.affa.gov.au	National olicy of isheries ycatch 1 Australian National lan of Action of the Conservation and anagement of Sharks under development	National eritage Trust rograms isheries Action rogram
Fisheries Management Act 1991 *Fisheries Administration Act 1991* *Torres Strait Fisheries Act 1984*		Australian isheries anagement Authority www.afma.gov.au	Commonwealth olicy on isheries ycatch 2	

EE S D E S O

ssue	egislation	Activity	Administering agency responsible	Subordinate legislation olicies
FISHERIES MANAGEMENT	*Fisheries Act 1994* *Fisheries Regulations 1995*	isheries management plans egulation of the take of fish Authorities to remove marine plants, construct fishways, and fishing licences and aquaculture licences eclaration of fish habitat areas and approvals for activities in fish habitat areas	epartment of rimary ndustries, Queensland isheries Service, www.dpi.qld.gov.au/fishweb	*Fisheries (East Coast Trawl) Management Plan 2000* *Fisheries (Gulf of Carpentaria Inshore Fin Fish) Management Plan 2999* *Fisheries (Spanner Crab) Management Plan 1999*
GREAT BARRIER REEF WORLD HERITAGE AREA	*Great Barrier Reef Marine Park Act 1974 (Commonwealth)*	arine park oning plans lans of anagement Approvals and permits	Great arrier eef arine ark Authority www.gbrmpa.gov.au	oning plans Northern Section, Cairns Section, Central Section, Capricorn unker Section, Gumoo oo abuddee Section lans of management inchinbrook, Capricorn unker, Shoalwater ay ugong , Cairns Area, hitsunday egion hale and dolphin conservation policy, epresentative Areas rogram State of G A reporting
COASTAL PLANNING	Coastal rotection and anagement Act 1 5	Coastal management plans State of the coastal one reporting	nvironmental rotection Agency www.env.qld.gov.au/environment	State Coastal anagement lan egional Coastal anagement lans Gulf of Carpentaria Coast, Cape ork eninsula Coast, Torres Strait, et Tropical Coast, Cardwell inchinbrook Coast, ry Tropical Coast, hitsunday Coast, Capricorn Coast, Curtis Coast, ide ay Coast, South east Queensland Coast
MARINE PLANNING	*Marine Park Act 1982*	arine park oning plans arine park management plans emoval of material from a marine park ischarging of wastes into a marine park orks in a marine park ermits for tourism and other commercial activities ermits for motorised water sports Taking of marine products	nvironmental rotection Agency, Queensland arks and ildlife Service www.env.qld.gov.au/environment	oreton ay arine ark oning lan oongara Gumoo ud abudee
NATURE CONSERVATION – Wildlife Protection, Theatended Species & Communities protection	*Nature Conservation Act 1992* *Nature Conservation Regulations 1994* *Nature Conservation (Wildlife) Regulations 1994*	anagement plans for protected areas Conservation plans Taking protected wildlife	nvironmental rotection Agency, Queensland arks and udlife Service www.env.qld.gov.au/environment Queensland arks and ildlife Service	*Nature Conservation (Dugong) Conservation Plan 1999* *Nature Conservation (Whales and Dolphines) Conservation Plan 1999*
ENVIRONMENTAL PROTECTION	*Environment Protection Act 1994*	nvironmental authorities and licences ssue of environmental protection order Approval of codes of practice	nvironmental rotection Agency www.env.qld.gov.au/environment	
	Recreation Areas Management Act 1988	anagement plans egulation of vehicle use in recreation management area	nvironmental rotection Agency www.env.qld.gov.au/environment	
MARINE SAFETY	*Transport Operations (Marine Safety) Act 1994*	arine Safety Strategies	epartment of Transport www.transport.qld.gov.au	
MARINE P{OLLUTION	*Transport Operations (Marine Pollution) Act 1995*	egulates the discharge of ship sourced pollutants into coastal waters ollution response plans in coastal waters eception facilities	epartment of Transport, arine nvironment rotection nit www.transport.qld.gov.au	
WATER MANAGEMENT & PLANNING	*Water Resources Act 1989*	lanning activities relating to water allocation and planning nstream water release operational rules ater licences esources operations licences iversion approvals ermits to extract water uilding of dams and weirs emoval of vegetation or fill from a watercourse emoval of quarry material from a watercourse	epartment of Natural esources www.dnr.qld.gov.au	

ssue	egislation	Activity	Administering agency responsible	Subordinate legislation olicies
	Water Act 2000	ater resource plans ater licences emoval of quarry material from a watercourse	epartment of Natural esources www.dnr.qld.gov.au	
LOCAL GOVERNMENT	*Local Government Act 1993*	Corporate and operational plans ocal government laws	epartment of Communications, nformation, ocal Government, lanning and Sport	ater Allocation anagement lans

EW SO H W ES E S O

ssue	egislation		d er e	Subordinate legislation	e ul r
FISHERIES MANAGEMENT	*Fisheries Management Act 1994*	egulates commercial and recreational fishing activities reparation of management plans and commercial fishery management strategies	NS isheries	ishery management strategies ishery management plans	
	Fisheries Management (Aquatic Reserves) Regulation 1995	Nomination and declaration of aquatic reserves to enhance the protection of fish and fish habitats	NS isheries	abitat protection plans	
ENVIRONMENT IMPACT ASSESSMENT	*Environment Planning and Assessment Act 1979 (Part 5)*	nvironmental impact assessment of draft fishery management strategies for commercial designated fishing activities	NS epartment of rban Affairs and lanning ebsite www.duap.nsw.gov.au		
T AT N *AQUATIC SPECIES*	*Fisheries Management Act 1994*	isting of threatened aquatic species, populations, and communities isting of critical habitats of threatened species reparation of recovery for threatened species anagement of threats key threatening processes to threatened species, populations and ecological communities.	NS isheries ebsite www.fisheries.nsw.gov.au NS isheries Threatened Species Conservation nit ph 2 4 2 1232 NS isheries Client Services fficer ph 2 52 411	ecovery plans	
TREATENED SPECIES & COMMUNITIES	*Threatened Species Act 1995*	isting of threatened aquatic species, populations, and communities isting of critical habitats of threatened species reparation of recovery for threatened species anagement of threats key threatening processes to threatened species, populations and ecological communities.	NS National arks and ildlife Service	evovery plans	
MARINE PLANNING	*Marine Parks Act 1997* *Marine Parks Amendment Act 2000*	Nomination establishment of marine parks egulation of activities in marine park by oning plans	arine arks Authority A ebsite www.mpa.nsw.gov.au/mpa	arine ark oning lans for each individual marine park	A Newsletter
WILDLIFE PROTECTION	*National Parks and Wildlife Act 1974*	rotection and care of native fauna and flora, and Aboriginal places and relics throughout NS .	NS National arks and ildlife Service ebsite www.npws.nsw.gov.au		
POLLUTION *Sewerage* *Garbage* *Noise*	*Clean Waters Act 1970*	egulates garbage on NS waterways	aterways Authority ebsite www.waterways.nsw.gov.au		aterways Authority website www.waterways..nsw.gov.au/pollutio
	Protection of the Environment Operations Act 1997 *Protection of the Environment Operations (Noise Control) Regulations 2000*	control of noise on NS waterways	nvironmental rotection Authority		
COASTAL PROTECTION	*Catchment Management Act 1989*		ept. of and and ater Conservation www.dlwc.nsw.gov.au		
	Coastal Protection Act 1979	Creates the Coastal Council to provide independent advice to the inister about coastal policy rovides inister power to intervene in developments in the coastal one	Coastal Council		
WATER ALLOCATION	*Water Management Act 2000*		ept. of and and ater Conservation www.dlwc.nsw.gov.au	ater anagement lans	nformation ooklet ater anagement Act 2 hat it means for NS

egislation to be included for other states prepared during pilots

APPENDIX 4.6 - Brief explanation of key types of environmental regulatory instruments

Legislation

Environmental law is established at both the State and Federal levels in Australia. The Federal government controls environmental matters in two ways: through the control of Federal government activities or activities on federally owned property, and through legislation and agreements that affect the activities of State and Territory governments and industries. The latter results from implementing the terms of any international treaties, conventions and agreements that Australia has signed. Most environmental laws, however, have been established by the State and Territory governments, and environmental management is still very much the responsibility of these governments. Local governments also have some powers of environmental regulation; State laws determine the extent of the powers.

A list of the key Commonwealth and State and Territory environment laws of Australia of relevance to the seafood industry is provided *in appendix 4.5*. This list is not exhaustive and should be regarded as a guide only. When identifying the legal framework under which your organisation must operate, it is highly recommended that you seek advice of the relevant regulatory authorities and/or commission the services of an appropriately qualified person to provide legal advice.

Regulations and statutory plans (management, zoning, etc)

Regulations and plans may be established under the provisions of the various acts – it is important that the regulations and plans be considered when establishing the legislative framework under which the organisation must operate. Very often the regulations and plans are more important than the act itself in providing the guidelines for the operation of the fishing industry. The regulations and plans under fisheries acts, marine park legislation, and other environmental legislation greatly expand the number of requirements for compliance that an organisation will face.

Administration

In addition to the legislation and regulations affecting the operations of an organisation, it is important to understand how the laws are administered. It is important to have access to the various administrative policy and guideline documents that may be issued by the appropriate authority. State government authorities generally undertake the administration of environmental law, with the Federal government tending to devolve its administrative responsibilities to the States. However, this does not apply to all Federal environmental laws of relevance to the seafood industry. The administration of environmental requirements covers a variety of administrative mechanisms such as leases, licences, permits, assessments and approvals, and other control mechanisms.

Other obligations

Standards

Not all standards applicable to environmental management are written into legislation. An organisation may voluntarily subscribe to codes of practice or standards. There may be desirable standards yet to be bought to the attention of the organisation, that should be identified during *Step 4 – Assess where you are at*.

Codes of Practice

A Code of Practice documents the appropriate manner in which an activity should be undertaken. Codes of Practice are generally voluntary or recommended by government agencies rather than being mandatory under legislation. However, components of a Code may be given effect in legislation.

Policies

Governments may develop policies which do not have force in law, but which are developed to encourage the adoption of certain principles in their activities and to map out the future direction. Such policy often foreshadows the establishment of future legislation or regulations. It is important to be aware of such policies in order to prepare your organisation to reach those standards in future years.

International treaties

The Federal government enters into international treaties, conventions or agreements from time to time. By becoming a Party to an international treaty, convention or agreement, the Federal government is obliged through international law to implement the objectives and requirements of the treaty, convention or agreement in Australia. An international treaty, convention or agreement may be given effect in Australia through Federal and/or State legislation or policy, and intergovernmental agreements (ie Intergovernmental Agreement on the Environment).

It is important to recognise the influence international treaties, conventions and agreement have on national and State legislation and policy. Being aware the objectives and requirements of such international environmental instruments will help you to understand to anticipate the direction of future.

The table on the following page provides an summary of the key international treaties, conventions and agreements of relevance to the Australian seafood industry, and the key laws and policies that enact them in Australia.

For **more information** about Federal, State or Territory environmental laws in Australia, visit the website of the Environmental Defenders Office - **www.edo.org.au**, or contact the Environmental Defenders Organisation in your State or Territory for details of publications, factsheets and other sources of information.

Summary of the key international treaties, conventions and agreements of relevance to the seafood industry, and the key laws, policies & strategies used to implement them in Australia.

Treaty, Convention or Agreement	Implemented in Australia by:
BINDING - legally binding on Australia through international law	
United Nations Convention on the Law of the Sea 1982 (LOSC) The convention requires all coastal nations that have declared an Exclusive Economic Zone (EEZ) to put in place a management regime to regulate fishing in their EEZ to ensure the sustainable use of fisheries resources	Australia's Oceans Policy (1998) State & Territory fisheries legislation
Convention Concerning the Protection of the World Cultural and Natural Heritage 1972 (the World Heritage Convention) The convention requires parties to identify, protect, conserve, present and transmit to future generations unique cultural and heritage situated on its territory. Of Australia's 14 World Heritage listed properties, five comprise marine areas of significance to fishing – Great Barrier Reef (Qld), Shark Bay (WA), Fraser Island (Qld), Lord Howe Island (NSW), Kakadu (NT).	*Environment Protection and Biodiversity Conservation Act 1999* (C'wth) - This legislation allows the Commonwealth government to prohibit activities in a world heritage area that will, or are likely to have, a significant impact on the world heritage values of the area, and to develop management plans consistent with the World Heritage management principles. *Great Barrier Reef Marine Park Act 1974* (C'wth) – Australia's Oceans Policy (1998)
Convention on Wetlands of International Importance Especially as Waterfowl Habitat 1971 (the Ramsar Convention) The convention provides for the protection of wetlands of international significance.	*Environment Protection and Biodiversity Conservation Act 1999* (C'wth Australia's Oceans Policy (1998)
Convention on International Trade in Endangered Species of Flora and Fauna 1973 (CITES) The convention regulates international trade of certain species of flora and fauna whose populations, subspecies or the species are being threatened with extinction, or will potentially become endangered if trade is not controlled	*Wildlife Protection Act (Regulation of Exports and Imports) Act 1982* (C'wth) Australia's Oceans Policy (1998)
Convention on the Conservation of Biological Diversity 1992 (the Biological Diversity Convention) The convention requires parties to implement measures to protect biodiversity and integrate conservation of biodiversity into national decision-making. *Jakarta Mandate on Marine and Coastal Biodiversity 1995* addresses the relationships between conservation, the use of biological diversity and fishing activities.	*Environment Protection and Biodiversity Conservation Act 1999* (C'wth) State & Territory nature conservation and protection legislation *National Strategy for the Conservation of Australia's Biological Diversity (1996)* *State and Territory government's biodiversity strategies* *National Local Government Biodiversity Strategy* *National Fishing Industry Biodiversity Strategy, ASIC* *InterGovernmental Agreement on the Environment, (1992)* *National Policy on Fisheries Bycatch (1999)* *National Representative System of Marine Protected Areas (1998)* *Australia's Oceans Policy (1998)*
Convention on the Conservation of Migratory Species of Wild Animals 1979 (the Bonn Convention) The Convention requires parties conserve migratory species throughout their range, conserve critical habitats of migratory species, and control factors likely to endanger the species.	*Environment Protection and Biodiversity Conservation Act 1999* (C'wth)
Convention for the Prohibition of Fishing with Long-Driftnets in the South Pacific Region 1989	*Fisheries Management Act 1991*

Treaty, Convention or Agreement	Implemented in Australia by:
United Nations Framework Convention on Climate Change 1992 (Climate Convention) The Convention requires parties to develop, implement and report on programs to address the problems of greenhouse gas emissions. *Kyoto Protocol* (not yet ratified by Australia)	*National Greenhouse Strategy (1988)* Australia has not yet enacted legislation to implement these obligations, but has established a number of voluntary approaches and incentives under the Greenhouse Gas Abatement Program administered by Australian Greenhouse Office, the Federal Department of Environment.
International Maritime Organisation's International Convention for the Prevention of Pollution from Ships 1973 and its 1978 Protocol, MARPOL 73/78 The convention defines substances that are pollutants - oil, sewerage, garbage, - and specifies when, where and how pollutants can or cannot be discharged at sea. MARPOL 73/78 is amended and updated from time to time.	*Protection of the Sea (Prevention of Pollution from Ships) Act 1983* and complementary State and Territory legislation.
NON-BINDING - not-legally binding, but significantly influence Australian fisheries policy	
Agenda 21 An action plan for achieving ecologically sustainable development, comprising 40 chapters covering a wide range of issues. Chapter 17 deals with environmental impacts on the marine environment, including fishing. Rio Declaration This declaration has 27 principles on issues including, among other things, sustainable development, precautionary principle, the need to reduce poverty	InterGovernmental Agreement on the Environment, (1992) National Strategy for Ecologically Sustainable Development (1992) National Strategy for the Conservation of Australia's Biological Diversity (1996) Towards Sustainability: Achieving Cleaner Production in Australia (1998) Australia's Oceans Policy (1998)
FAO Code of Conduct for Responsible Fisheries (1995)	ASIC Code of Conduct for a Responsible Seafood Industry A number of fishery-specific codes have been developed based on the FAO Code Commonwealth, State and Territory fisheries legislation
FAO Plan of Action for the Conservation and Management of Sharks	National Plan of Action for the Conservation and Management of Sharks (under development)
Kyoto Declaration and Plan of Action on the Sustainable Contribution of Fisheries to Food Safety	

Note. Environment Protection and Biodiversity Conservation Act 1999 has replaced a number of Commonwealth acts *World Heritage Properties Conservation Act 1984, Whale Protection Act 1980, Environment Protection (Impact of Proposals) Act 1974, Endangered Species Protection Act 1992, Wildlife Protection (Regulation of Exports and Imports) 1982, and National Parks and Wildlife Conservation Act 1975.*

Useful references:

International environmental instruments: Their effect on the fishing industry. FRDC Project 97/149 by M. Tsamenyi & A. McIlgorm

MARPOL – **www.amsa.gov.au…**

UNCLOS – **www.ea.gov.au**

STEP 5. Policy / Code of Conduct

In this step, you will:

- *Identify the goals and principles to which your organisation will publicly commit.*
- *Develop a Policy or a Code of Conduct for your organisation.*

What is a policy?

A policy is a publicly available statement of your organisation's vision, goals, core objectives and intentions in relation to the overall performance of your members and industry.

An environmental policy represents, in summary form, the organisation's management philosophy to addressing environmental issues (and possibly sustainable fisheries). An environmental policy is the cornerstone of a formal environmental management system. The policy serves as the framework for setting objectives and targets, and should be bought to life through your management plans and actions. All goals stated in the policy need to be addressed by objectives and management actions.

You may wish to call your policy a sustainable fishery policy – take the opportunity to be innovative!

Why develop a policy?

Developing an environmental policy is a requirement of the international standard for environmental management systems (ISO 14001). A policy developed to meet the international standard is used:

- To set goals, core objectives, and the principles the organisation will employ to achieve its goals
- To provide your management team and industry members with a clear direction for setting objectives, targets and management strategies and action.
- As a publicly available statement of commitment.

A policy can serve a similar function as a code of conduct. If you are developing a formal environmental management system, and already have in place a code of conduct, determine whether your existing code of conduct adequately serves the function of a policy for your environmental management system.

Why develop a code of conduct?

If you are not developing a formal EMS, you may consider developing a code of conduct, rather than a policy. Both fulfil the role of outlining the principles and core objectives by which your organisation operates; the only significant difference may be the level of detail – a code of conduct will provide more detail about the standards of behaviour than a policy.

Codes of conduct have been developed at all levels in the seafood industry. They are mostly voluntary in nature, although the code (or parts of the code) have been given, or may be given binding legal effect by means of agreements or legislation. The FAO code has been the starting point for codes of conduct developed for particular nations and fisheries.

Steps to developing your policy / code of conduct

1. Specify the scope of your policy /code (operations, activities and issues to be covered)

Specify the scope of your policy / code of conduct by clearly stating the people, geographical area of operation, and operations and activities to which the policy applies. Your scope may cover all operations and activities of your members, or it may be limited to critical operations or issues identified in *Step 4*.

2. Identify the goals, core objectives and principles

Identify the goals, core objectives (aims) and the principles your organisation will need to employ to achieve your goals, objectives and obligations relating to the sustainable development of your fishery.

The goals, objectives and principles stated in your policy should be **realistic**, and not commit the organisation to standards that it can not possibly achieve. It is essential for on-going **credibility** that the organisation can live up to the standards it sets in the policy at all times. The policy can be proactive and go beyond compliance with external requirements.

Consult with members and key interested parties on the rationale behind developing a policy/code and encourage them to contribute their ideas about the content.

3. Prepare a draft policy/code

When agreement is reached on the general content, prepare a draft and seek comment from your members and interested parties. Finalise and endorse the policy/code (through the governing body and members).

4. Publicly launch policy/code

Launch policy/code and distribute to members and key interested parties, including all those who contributed to the development.

5. Review policy / code

Set a timeframe for reviewing your policy, and include this in your policy statement. Review your policy/code at least annually.

Useful Tips

- Be proactive, but ensure the goals and principles you set are realistic - It is essential for on-going credibility that your members can live up to the standards set in the policy/code of conduct at all times.
- The policy statement should be consistent with the scope of your system (ie. the goals stated in the policy should be addressed by operational objectives and management actions).
- The food safety and quality policy statements of your members can be integrated with your policy.

Guidance on content and format

Policy

- Your goals and are consistent with the scope of your system
- There is a statement outlining the scope of the policy
- The date and signature of the senior management of your organisation are on the policy document
- There is a statement of the nature of the endorsement of your policy by the membership
- The policy is no more that one page
- The policy should be signed and dated by senior management or person with relevant authority to make commitments on behalf of the organisation, and dated

Code of conduct

View codes of conduct for other fishery sectors to get ideas about the format and content of your code of conduct.

See the following page for an example of an environmental policy.

Communicating your policy/code

Members and their employees

It is important that all members and their employees are committed to the goals and principles stated in the policy and are aware of the meaning of their commitment. This may be achieved by including members in the process of developing the policy, incorporating the policy goals into training and awareness material, and distributing the policy to the organisation's membership and their employees.

Interested parties

How your organisation chooses to communicate its policy to the public will depend on your needs. Consider options for using the policy proactively to improve your public image. Options for distribution include: a mail out to interested parties, include a copy in a promotional brochure about the organisation, or display the policy on the organisation's website. It is recommended you maintain a list of all recipients of your policy in order to mail revised versions in the future.

EXAMPLE - Environmental Policy Statement

Environmental Policy Statement of the *Bribie Commercial Fishers Association Inc.*

The members of the Association, namely those professional fishermen signed on to the environmental management plan, acknowledge that excellence in environmental performance and ecological sustainability is essential to a successful and efficient fishing industry.

The members will pursue World's Best Practice in environmental and ecological performance.

The members will achieve and maintain these standards by:

- adopting and developing best practice in harvesting, storage and transport operations and management
- continually improving performance by review, research, development and consultation with the community.
- ensuring that all members and employees are trained and competent in the use of this plan
- adopting World's Best Practice to minimise the impact of our activities on the environment and ecosystem from discharges, waste, emissions, noise
- reducing waste in harvesting, processing and transportation of product.
- reducing consumption of energy and water resources.
- increasing awareness and protection of habitat and ecosystems
- recognising and protecting cultural values of community members.
- supporting and participating in community projects relating to environmental matters
- participating with fishing industry organisations and government agencies to further the development of environmental policies and management.
- formulating, adopting and reviewing Codes of Practice aimed at improving environmental performance.
- complying with all relevant laws, regulations and standards.
- commenting where appropriate on legislation affecting fisheries and/or the environment and ecosystems.
- reporting and reviewing the Association's performance regularly.

STEP 6. Develop your industry action plan

In this step, you will:

Develop an action plan that:

- *Covers the issues of priority for your business/industry group*
- *Sets objectives for priority issues, and strategies and actions to achieve the objectives*
- *Assigns responsibilities and resources for undertaking actions*
- *Meets the needs of your target audiences*

What is an Industry Action Plan?

An Industry Action Plan is a plan for dealing with the issues of most significance to the sustainability of your industry or individual business. The action plan sets out strategies and actions to address the priority issues and allocates resources, responsibilities and time lines for implementation.

The scope of the action plan is open, and should be tailored to the needs of your industry group/business. The action plan may be restricted to strategies and actions to achieve only ecological outcomes or include initiatives that also achieve economic and/or social outcomes.

Why develop a Plan?

An industry action plan may serve a number of functions.

- Principally, the purpose of your Plan is to translate the objectives for the issues of most significance to your industry group / business into concrete actions, so that your industry group/sector moves towards and achieves the outcomes it seeks.
- A number of fisheries are also finding that their industry action plan, when prepared as a public information document, is also a valuable public relations tool.
- The process of preparing your action plan also offers some additional benefits. It provides a forum for opening lines of communication within your industry sector, and between your industry group and regulatory agencies, special interest groups and others within the community. It can also be used to unite and inspire industry members and others within the community to take collective action on common goals.

How to develop your Plan

1. Determine the priority issues to be covered by the Plan (the scope of the plan).
2. Decide on strategic components
3. Allocate sufficient resources and assign responsibility to person/s and a timeline for carrying out actions.
4. Establish a way of measuring progress towards objectives.

5. Include review mechanisms to ensure the plan is being implemented. Check that progress towards objectives is regularly reviewed and the effectiveness of the strategies and actions assessed. Review your action plan at least annually.

6. Focus on internal and external communication needs at all stages in the development of your plan.

7. Present your action plan in a format that meets your needs (see *Appendix 6.1* for guidance on writing an action plan)

Communication & Consultation Tip

All members should be consulted on the issues and objectives to be covered in the Plan. All person/s with responsibility for implementing the action plan and person/s who may affect and/or are affected in some way by the Plan should be involved in its development.

1. Determining the issues to be covered by the Plan

To do this:-

- Consider the prioritised list of issues identified in *Step 4 Assess where you are at.*
- Determine the capacity of your organisation to address these issues. Consider:
  - Financial resources available and potential funding sources;
  - Human resources available – in terms of the time and skills of persons in your organisation and relevant interested parties;
  - Existing management regime, tools (monitoring programs, training programs, etc) and how these needs can be addressed within the existing regime; and
  - Leadership and commitment of members, management and key interested parties
  - Existing partnerships and collaborations with external parties, or opportunities for establishing new partnerships and collaborations.
- Consult with members and the relevant interested parties

How many issues should your Plan cover?

You determine what is appropriate for your business/industry group! Consider the **significance** of the priority issues and your management needs, the **resources** available, **commitment** of your industry members, and what may be covered in future management cycles.

Tip

Take it one step at a time. Keep it simple, focus on outcomes, gain some early successes, and build on them!

2. Deciding on strategic components

To get the strategic focus right, you have to put plenty of time into developing the components, and be rigorous in your thinking. Everything depends on these components being "spot on" in defining where the action plan is heading.

Coming to grips with the distinct concepts behind these strategic components — and keeping them distinct throughout the plan — is often a difficult task for most people preparing strategic plans.

You will describe the strategic components in several sub-sections:

- Vision and Mission
- Objectives (high –level and operational)
- Strategies and actions
- Priorities.

Vision

Preparing a vision was covered in *Step 1- Develop an Industry Vision*. Remember if your vision is patently unachievable, it will diminish the credibility of your entire plan.

It is not essential, in a document covering the scale of a local fishery/aquaculture sector action plan, that you specify a vision of your own. If another program or organisation has an appropriate vision statement that reflects your business/ industry group, you may want to quote it, as in "We share the vision of [program], which is "[quote it]".

Mission

Mission statements should be in the realm of the achievable.

The statement should be short (preferably one sentence, with an absolute maximum of three sentences). If it is not that short, it needs work.

For example, the Fisheries Research and Development Corporation's mission is

> *"to increase the economic and social benefits for the fishing industry and the people of Australia, through planned investment in research and development, in an ecologically sustainable framework".*

Setting objectives

The **objective** is the overall goal defined as "an end towards which efforts are directed". It is the ultimate achievement desired and may be reached by a series of steps, each step requiring achievement of a "target".

IMPORTANT ADVICE FOR SETTING YOUR OBJECTIVES

- **All objectives must support the mission.**
- **Objectives should be set for all the priority issues identified in your action plan**

- **Objectives may be set at multiple levels within your fishery/aquaculture sector (ie. entire sector, local fishery or individual enterprises and for site-specific issues (ie. to address an issue relating to a specific activity / locality).**
- **An important task when setting your objectives is to align them with all relevant national, state, regional, local and fishery/aquaculture-specific objectives. This means ensuring they are consistent with and clearly linked to the principles and high-level objectives stated in your policy/code of conduct, and relevant legislation, plans, agreements and voluntary standards to which your industry group subscribes. For example, for a local action plan covering environmental and other social and economic aspects, this means ensuring your objectives are linked to the higher-level ESD objectives specific to your sector.**
- **List objectives in order of priority.**
- **You objectives should be SMART – Specific, Measurable, Achievable, Realistic, Time-bound (see box below for an explanation of SMART objectives).**

Objectives should be SMART - Specific, Measurable, Achievable, Realistic, Time-bound

Specific - Clearly stated and clearly understood.

Measurable - There should be some way to measure performance against the objective or target.

Achievable - There is no point setting objectives and targets that are so difficult to achieve that it requires time and resources out of all proportion with the return. An organisation that sets objectives and targets that it can not achieve may very quickly lose credibility. Similarly, credibility may also be lost if objectives and targets are too easy to achieve.

Realistic - Objectives and targets must represent reasonable improvements that are likely to generate a real return for effort. Setting unrealistic objectives and targets can cause misallocation of resources and damage to credibility internally and externally.

Time-bound - Objectives and targets should be capable of completion within reasonable time frames.

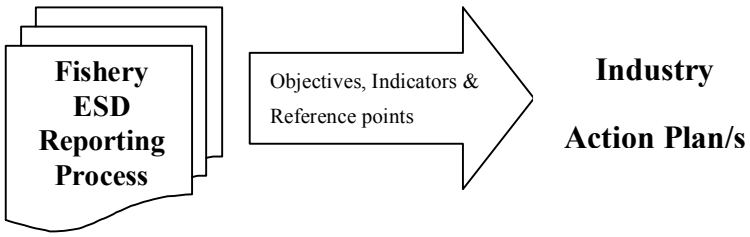
Ideas to help you set appropriate objectives to link in with ESD principles

1. Adopting the operational objectives, indicators and reference points directly from your existing fishery (or aquaculture) ESD assessment report (if available) or management strategies

The assessment and reporting process outlined in the National Report Framework for Australian Fisheries (FRDC project 2000/145) sets operational objectives, indicators and reference points for issues of relevance to a fishery (or aquaculture sector) with respect to ESD. The operational objective (stating what needs to be achieved) has a direct and practical interpretation in the context of fisheries/aquaculture management and against which performance can be assessed. Indicators (designed to track changes) and reference points (the benchmarks for the indicator) are established to measure performance with respect to the objective. All operational objectives are set at the fishery (aquaculture sector) level, as defined by the management agency.

You can directly adopt operational objectives, indicators and reference points from the ESD Assessment Report for your sector if the scope of the ESD Report is appropriate to the scope of your management

system.



For more information on the National Reporting Framework see **www.fisheries-esd.com**

2. Use existing principles and objectives to set objectives appropriate to the scale of your operations.

For some aspects, objectives may already be well-defined and explicitly stated in statutory management plans and strategies, assessments and industry-specific codes. For other aspects, objectives may be implied by legislation, international agreements, voluntary agreements and standards or by public expectation. These should been identified during the initial assessment (*Step 4 – Assess where you are at*). Yet for some aspects, objectives may never have been clearly articulated or agreed.

The legal requirements for your fishery shall be the ***minimum standard*** adopted by your organisation**.**

To change criteria into objectives replace words such as "with", "should", "must" with "to".

3. Go beyond compliance

The objectives you set may go beyond compliance with your legal requirements or the operational objective currently stated in the ESD Report.

Setting strategies and actions for achieving the objectives.

Strategies and actions support the objectives. They essentially say how the objectives will be achieved.

A good test for a strategy is to use the objective as the first part of a sentence and then see if the strategy makes sense when added to the objective. For example:

To [include objective specific to local fishery]
by [include strategy]

The test here is whether you can add "by" to the front of the strategy.

To set strategies and actions, consider the broad range of approaches your businesses/industry group may need to adopt to achieve its objectives. They include:

- Developing a code of practice to educate industry members of effects (environmental, economic, social) of their activities, their legal obligations and practices for modifying activities and monitoring their effectiveness.
- Undertaking training and awareness programs for members.
- Undertaking communication programs – internal and external.

- Carrying out further investigations
- Conducting risk assessments
- Conducting compliance reviews, waste audits or energy audits
- Investigating options for developing and trialing alternative technologies and practices.
- Encouraging industry, research agencies and funding organisations to fund and/or facilitate further research of priority issues.
- Enhancing efficiency.
- Developing data collection / monitoring programs to enhance the quality and quantity of data available to assess performance.
- Developing incentives to encourage innovation and adoption of best practice.
- Collaborating with interested parties to pursue common management goals.

It is likely that a combination of strategies and actions may be necessary to address each objective. It is better to develop only a few strategies so you can give them the time and energy they require achieving your objectives and targets.

Writing tip

Strategies should be short: preferably one sentence (though often longer than objectives). Rather than start with "by", it is less confusing to someone "skimming through" to put strategies in the imperative form (i.e., word them as instructions).

Priorities and strategic linkages

Now let's look at what should flow on from the strategic framework you have established through your mission, objectives and strategies.

Firstly, you should leave no doubt about the priorities that you have determined - list strategies in priority order. If you also include a table or other graphical device to show the priorities, that will focus the reader's attention on the priorities rather than the words comprising the strategies. It will also focus the reader on the areas that require immediate attention and urgent funding. It is probably not a good idea to have all areas of work as high priorities.

To prioritise your strategies and actions, list the possible strategies and actions you could undertake, and then rank them according to the cost outlay, the expected contribution of the action towards achieving the objectives, and any potential saving opportunities associated with the activity.

3. Allocate resources and assign responsibility and a timeline

Ensure that all person/s and/or organisations assigned responsibility for actions, or that may affect and/or are affected in some way by the action plan, participate in its development and commit to their responsibilities.

Ensure that sufficient resources are available and allocated for carrying out the actions as specified in the plan.

4. Establish a way of measuring progress towards objectives.

Are you achieving your objectives?

A process should be established to regularly review whether or not you are achieving your objectives and targets. To do this, you will need to be able to measure and verify actual performance against objectives and targets.

Set appropriate indicators for measuring progress at achieving objectives. You may need to get specialist / technical for this.

5. Establish review mechanisms

The action plan developed now, will undoubtedly be added to and modified over the years as new opportunities arise; as you get feedback from tracking your performance; and as you take corrective action if your action plan program is not performing to target.

Establish review mechanisms to ensure that the actions are being implemented as planned and that the actions are effectively contributing to the achievement of objectives. Implementation progress should be reported to the relevant governing body at regular intervals. Review your plan at least annually.

6. Who should be involved in developing your plan?

Members

Your organisation's members should be involved in setting objectives, strategies and actions. As part of this process, the organisation's membership should be made aware of:

- the legal obligations and other requirements associated with the activity/impact (international, national & state);
- the justification for the objectives set by the organisation, and linkages with national, state, regional and fishery-specific objectives;
- the contribution of strategies to achieving objectives; and
- the implications for the organisation of maintaining the status quo.

Interested parties

All persons and/or agencies assigned responsibility for implementing the action plan and person/s who may affect and/or are affected in some way by the action plan, should be involved its development. Interested parties will most likely be satisfied if involved in the process.

Your action plans should be prepared in consultation and participation with fishers in the local action area and community in a way that helps to forge more open, positive relationships. Desirably, the action planning process will be part of a suite of actions that will increase the fishery's momentum in this respect.

7. How to present your action plan

Now that you understand what an action plan is, and have identified the core strategic elements of your action plan, it is time to draft an action plan. How you present your action plan will depend on its intended audience. Your action plan may be prepared purely as an 'in-house' document used to guide the activities of your industry group. If this is the case, your next steps will be to:

1. Seek comment from all members and key interested parties on the draft Plan, particularly those parties who may be affected by or concerned with the Plan. This should include sending out a copy of the draft to all interested parties and inviting comment within a specified timeframe (it is best to give participants one month to provide comment).

2. Finalise the Plan – redraft to incorporate comments as required

3. Seek endorsement from the industry group.

Alternatively, you may use it as a public information document to raise industry and public awareness of your priority issues and to inspire other operators within your area and wider community to take united action. For guidance on writing a local industry action plan (that will be used also as a public information document), see *Appendix 6.1*.

Checklist for developing an Industry Action Plan

- The objectives reflect your industry vision, mission and cover issues of significance to the industry and fishery in terms of ESD
- Strategies and actions have been established for achieving its objectives.
- Indicators have been established for measuring progress with respect to the objectives
- The plan assigns responsibility for the achievement of objectives and for undertaking the specific activities included in the plan.
- The plan identifies resource requirements and time frame by which the activities are to be achieved.
- Those persons responsible for achieving the objectives and targets had input into their development.
- The views of interested parties been considered in setting the objectives, strategies and actions.
- Mechanisms have been established for the plan to be regularly monitored and modified according to changing circumstances.

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APPENDIX 6.1 - HOW TO WRITE A LOCAL INDUSTRY ACTION PLAN

This guide is provided primarily for the use of local industry groups that wish to present their action plan in a way so it can be used as a public information document.

What is my target audience?

Determining the target audience — and focusing on their needs — is one of the most important aspects of writing a successful action plan. A rigorous focus on your target audience will resolve many decisions on content and level of detail.

Currently, many local industry action plans are being written to raise public awareness of industry priorities and management activities, and possibly to gain funding. Such action plans are aimed at the some or all of the following target audiences:-

- Industry members – local fishing community or entire fishery sector;
- The local community, especially local special interest groups (e.g. conservation groups, recreational fishing groups, groups within a local government umbrella – Chamber of Commerce) or less formal groupings of people with common interests;
- Government agencies, including local government, state government agencies (particular those not directly aware of fishing industry issues – local or sector) and Commonwealth agencies.
- Seafood consumers

When you were preparing your communication plan in *Step 3 – Management structure, communication and documentation*, you should have identified the interested parties (external parties) that you need to communicate with. Look at this list again to help you identify who will be the target audiences of your action plan.

Focussing on the needs of the target audience

It is worthwhile to repeatedly examine the action plan under development from the perspective of the target audiences you have identified. It can be quite difficult as an expert on what is happening in your area, to climb above all your detailed knowledge of your industry's social and political interactions, and specific habitat and water quality and fishery problems. In communicating with your target audiences, you must do give them what they are looking for, in the form they are looking for and at a level of detail they expect.

The best way to do that is to ask members of your target audience and/or someone who knows their requirements

Most of your audience will be seeking a clear understanding of :

- What is happening now – what are the priority issues,
- What has been achieved to date to address these issues,
- What is planned for the future, and
- What the benefits/outcomes of the planned action will be,

in relation to the issues of interest to them.

From your perspective, your action plan needs to clearly:

- Get your local industry group's viewpoints across; and
- Clearly state what is required from whom, and when it is required.

Your plan must satisfy their over-riding need for solid information.

Getting people to read the plan

Quantity

People now have far less "quiet time" in which to read material. Like it or not, you must ensure that your target audience will be able to read and understand your action plan with about 45 minutes' attention.

How can you keep to that limit? Try to:

- Put detail that supports the plan into easily accessible appendices.
- Use tables, figures and other graphics in preference to words.
- Decide on the most important messages you need to get across; write them as captions; and find photographs to back up the captions (the photos will attract the eye, but the words are what you want to get across).
- Put other important points in panels.
- Break up longer arguments into bullet points, as with this list.

When you put an important point into a panel like this, the reader will take note of it

If your plan is more than about 30±10 pages (including appendices, table of contents and preliminary pages), you will probably lose your audience.

The main body of the plan — excluding appendices, table of contents and other preliminary pages — should be less than 30±10 pages. More than 30% of the total area should be white space, photos and maps.

Quality

If 30 minutes is all you have, isn't it better to make every minute count by ensuring the reader is receiving your message as strongly as possible? Good writers do this by:

- breaking the argument into easily handled segments, with clear headings;
- writing in a tone of "a letter to my reasonably intelligent, interested friend" — preferably a

particular person you know, whom you can keep in mind while writing (when you think about it, this concept makes sense: it helps you to aim for the right levels of understanding, interest and cordiality that produce more of a "one-on-one experience" for your key reader);

- keeping sentences as short as possible, given the nature of the material;
- eliminating ambiguity; and
- using direct speech and minimising abstract terms

And remember: readers will not want to wade through piles of detail to find what they need.

Preliminary material

About this plan

The preliminary pages of your industry action plan should cover factors that will help the reader understand the purpose and structure of the plan. This information could include a brief explanation of who prepared the plan, how it was prepared (consultation process) and the intended target audience.. A brief comment on how the plan will be implemented, including monitoring, evaluation and review may also be included.

Background at two main levels

This section of your plan will define where your action plan is in relation to the world around it. Whether you need to present information at two or three levels will depend on your target audiences. The two levels discussed here are (i) the entire fishery sector, and (ii) local action plan area/fishery. You may also choose to include background explanation on the regional area in which your fishery sector operates (your audience is may not be familiar with this aspect).

Fishery background

At the fishery level, the plan should include the following background elements:

A description of the geographic area of operation of the fishery (a small map will help indicate the location of your fishery on a national scale) including alignment with other significant administrative boundaries – eg. Jurisdictions, protected area boundaries, catchment management boundaries, etc.	*2 or 3 short paragraphs*
Socio-economic environment of the fishery (e.g. Gross value of production, number of licensed fishers, principal home ports, key external drivers influencing socio-economic aspects, contribution to regional employment, etc)	*8 short paragraphs*
History of the fishery	*Half page*
Bio-physical characteristics of the fishery and area including the geographic range and nature of target stocks and other affected natural resources (critical habitats etc.)	*Half – one page*
Management planning and decision-making context at the fishery level	*1 or 2 short paragraphs*
Key issues in fishery	*2 paragraphs*

Fishery bureaucrats at the State level will only be too well aware of the fishery context. You are including this material for other readers' benefit, including bureaucrats in other departments, local councillors and members of parliament, special interest groups, local community groups and the general public. It is important that these people recognise the broader decision-making context of your industry action plan in terms of fishery management. The fishery agency people will simply skip this section, helped by clearly worded headings.

This sort of information should be readily available from your fishery agency (in the opening pages to discussion papers for your fishery for example)

Local fishery area background (if applicable)

For an industry action plan covering a local fishery area, in addition to information about the fishery sector and/or region, background information should also be provided on the local fishery action area.

Description of the local action planning area boundaries and alignment with fishery boundaries and any other significant administrative boundaries identified above.	*2-3 short paragraphs*
Description of the socio-economic characteristics of the local fishing community, principal uses of area, main home ports, population of adjacent coastal area, if applicable etc.	*1 paragraph*
History of local fishery	*Half page*
Bio-physical characteristics of local action planning area in summary.	*Half – one page*
Very briefly (ie. strategic view only), the major issues, progress to date, and action under way.	*3-4 paragraphs at most*

Elaborating on specific issues

In this next section, it is important to highlight the issues of priority to the business/industry group. Some issues may be applicable to the entire fishery/aquaculture sector, whilst other issues may be specific to your locality. If you are preparing a local industry action plan, it is recommended that you provide an explanation of the key issues of significance to your entire fishery sector, even if they are not the focus of your local industry action plan. This explanation should only be very brief, and should also include an explanation of why certain issues are not being addressed in the plan.

The question is: what information is needed and in how much detail? The answer to this question depends on your target audiences' knowledge of the issues. It is likely you will need to provide an explanation of:

- what the issue is,
- its current status (including extent and severity),
- its significance to your industry group and fishery in terms of ESD,
- what is being done (very briefly – it will be discussed in more detail later in the plan), and
- the implications of doing nothing.

Include as many issues as appropriate, in order of priority to your industry group.

Core elements of the plan

The next step is to describe the action you plan to take.

Specifying what needs to be done

At this point, you should look back at the problems you identified in *Step 4 - Assess where you area at* and see what logically needs to be done to remedy these concerns.

While looking at the background section you have written, imagine you have no previous knowledge and you want to find out how well the industry and the area are being managed; what are the problems and how they are being dealt with at present; what has already been done; and what is planned for the future? By putting yourself in this position, you are simulating what a reader is likely to want out of your plan.

Describing progress

Work under way and progress to date

This section of the plan should expand on the brief summary of work under way and progress to date (included in the background of your assessment undertaken in *Step 4*).

Planned work

This section of the plan comprises the strategic components you have developed earlier – mission, objectives and strategies.

Writing the executive summary

Write the executive summary last.

Once you have completed your plan, highlight the areas you want to bring to the front to get your message across. It needs to be short (1–2 pages). To write it quickly and easily, take these steps:

- Write the important aspects of your plan (three or four words maximum).
- Check for duplication and key into the computer — initially using conversational wording (you can tighten it up later).
- Add text to each important aspect.
- Combine important aspects that have a common thread into paragraphs.
- Write a conclusion that is really "punchy".
- Write six or so lines of introductory text.
- Combine it all together and you have the bones of your executive summary.
- Polish, polish and polish again. A good executive summary may well take eight or ten hours to write.

Why put in all that effort? People will often only read the executive summary (which should be placed at the beginning of the report). Here is where above all you must get your message across – LOUD AND CLEAR.

Some industry groups have presented the executive summary of their action plans in the form of an "open letter". This allows the executive summary to be written in a more personalised, friendly tone.

Checklist for content and quality

To guide your work and to check it on completion, use this checklist:

- ❑ The document is easy to read, with heavy detail kept out of the body text.
- ❑ The main body of the document (excluding appendices) is less than 40±10 pages.
- ❑ The document takes less than 45 minutes to read without the appendices.
- ❑ It focuses on the needs of the target audience.
- ❑ It describes your circumstances in a way that informs the general reader.
- ❑ It contains background information to support the plan.
- ❑ The objectives are clearly aligned with and linked to national, state, regional, fishery-specific and local objectives.
- ❑ The objectives are SMART.
- ❑ It demonstrates that local action is consistent with your fishery, regional, state, and national priorities.
- ❑ It outlines what you have done already.
- ❑ It describes what you are doing now.
- ❑ It shows what you want to do in the future.
- ❑ It prioritises the planned work.
- ❑ It states the resources you need to implement your current and future plans.
- ❑ It has an executive summary that is nothing short of excellent.

If you cannot tick each box, then work still needs to be done!

And above all:

- ❑ The entire plan is clear and easy to read

Remember: people will not bother wading through piles of detail to find what they need. Serve it up to them, in readily digestible portions!

Sample table of contents for an industry action plan

The following table of contents is a guide to help you get started. Use your own judgement as to what is necessary and what is not, and what else may be needed.

A continually evolving document

It's important to realise that your document is not the "be all and end all". It will be criticised and even denigrated from some quarters, but you and your management committee should be as objective as possible. If you know where you are going, so will the investors.

The plan is not a static document. It may never actually be printed as anything more than a polished draft version. However, once it is completed, it can be:

- revised and reprinted at any time, and
- modified to incorporate changes in priorities of your industry group.

Some of these editions may be produced in very short print runs for particular audiences. You may like to put "Prepared for [organisation], [month+year]" on the cover of these versions.

Once the first iteration of the document is completed, the action plan will save you a great deal of time in working on other areas of your business, such as:

- making presentations on your fishery or local fishery,
- preparing specific applications for funding,
- lobbying for additional funds, and
- education, marketing, raising public awareness, and achieving community action.

A separate summary leaflet may be useful for some of these purposes.

The use of your plan is up to you. Above all: keep handing the copies out!

STEP 7. Implementing your action plan (including preparing a Code of Practice)

In this step, you will:

Develop the support mechanisms and measures to implement your action plan, including:

- *Develop and/or modify operating practices (ie. a code of practice)*
- *Address training and awareness needs*
- *Establish a data collection / monitoring programs*
- *Address communication needs*

Address training and awareness needs

Appropriate training relevant to the achievement of your organisation's goals and objectives should be provided to all members and their employees, and other relevant persons. These participants need to have an adequate knowledge and skills base to understand the meaning of their commitment to the organisation's system and to conduct their fishing businesses in a manner consistent with the requirements of the system. You need to:

- Identify training needs at levels within your organisation.
- Determine adequacy of existing training programs.
- Develop or identify training programs (as required) and identify possible funding sources.
- Undertake training as required.
- Evaluate the effectiveness of training programs and make appropriate modifications

Establish data collection / monitoring programs

Seek technical assistance on setting up appropriate data collection / monitoring programs to measure and monitor progress with respective to your objectives.

Address communication needs

Effective lines of communication should be established to ensure all members and their employees, and interested parties are provided with appropriate information to encourage them to actively participate in developing and implementing the system, and understanding the values, goals and objectives of the organisation.

Identify communication needs – internal and external – See the information acquired during preparing a communication plan for your assessment *(Step 4)*.

Develop a communication strategy to meet needs (See communication guidelines on page 81)

Evaluate the effectiveness of the communication strategy.

APPENDIX 7.1 - DEVELOPING A CODE OF PRACTICE

What is a Code of Practice?

A Code of Practice is a self-imposed set of rules or best-practice procedures for carrying out a specified activity or activities.

Why develop a Code of Practice?

Codes are developed by an organisation to provide best-practice guidance to members on all sorts of matters relating to fishing, such as minimising environmental impacts, improving product handling, etc.

Steps to developing a Code of Practice

1. Identify the need for a Code of Practice ie. Will a Code of Practice help you achieve your objective/s for the priority issue/s you identified in *Step 4*, or can it be used as the industry member's operating documents for your environmental management system?

2. Consult with your members on the rationale behind developing a Code, and gain support for developing a Code.

3. Encourage your members to contribute their ideas about the Code, about the impacts and risks identified, and practical solutions to eliminate or reduce impacts and risks.

4. Consult with persons/organisations with expertise relating to the issue at hand.

5. Identify interested parties. Seek to understand their expectations and values in relation to the issues and for them to understand your issues and needs. Encourage interested parties to contribute their ideas about how to address the issue in a manner that will be acceptable to them (Refer to Communication Guidelines for guidance).

6. When general agreement is reached on the need, objectives, scope and content of the Code, prepare a draft (see the next page for a suggested format for a Code of Practice).

7. Seek comment on the draft Code of Practice from the organisation's membership first, and then interested parties, particularly those who have contributed to its development.

8. Finalise the Code of Practice, considering comments from all submissions.

9. Seek endorsement of the Code by relevant parties (eg. Organisation's membership, relevant regulatory authority/s, key interested parties, etc).

10. Launch the Code of Practice, and distribute to membership and key interested parties.

11. Send a copy of your Code of Practice to Seafood Services Australia for inclusion in the national inventory of Best Practice Initiatives and Programs in the Australian Seafood Industry.

Guidance on content and format

Recommended content

- Description of the scope of the Code and all persons to whom the Code applies.
- Aims and objectives of the Code.
- Description of the broader context of activity – the performance standards relating to the activity (ie. legal and other requirements, international treaties and national policies).
- A statement of the impact or potential impact/risk of environmental harm from the activity/s.
- Description of the practices and procedures (including options) to control actual and potential environmental harm and to achieve compliance with relevant performance standards.
- Means of reviewing effectiveness and compliance with the Code.

Optional content

- A brief profile of the organisation/industry association. This may include: mission, a description of the organisation, a description of the principal species of fishery, harvesting methods, area of operation, major home ports, history of the fishery, and key economic and social attributes (for example economic value of the fishery, contribution to regional employment). The information should also indicate the culture of the organisation.

Format

- Laminated versions for practical use
- Promotional versions to distribute to interested parties may include greater detail and photos to showcase industry.

Who should be involved?

All persons to whom the Code will apply, and other persons with relevant expertise relating to the issue at hand, must be actively involved during the development process to ensure the Code is both ***practical and effective***.

Useful Tips

Take a strategic approach to continuously improving performance

- Set objectives, and indicators to track effectiveness of the Code
- Establish a monitoring program, and auditing and review process
- Report to members and interested parties on the effectiveness of the Code

Look at currently adopted codes for guidance.

Some good examples are:-

- New Zealand Mussel Industry Council Environmental Code of Practice
- Code of Fishing Practice to Minimise Incidental By-Catch of Marine Mammals in the South East Trawl Fishery

Status of codes of practice

Codes are usually voluntary in nature; as such, they will usually only influence those fishers who are interested in the future of their fishery. Developing a Code of Practice is a good way for industry to be proactive in developing and trialing sustainable fishing practices that satisfy industry needs. Codes may form the basis of regulation once proven satisfactory and effective.

Training and Awareness

Support the introduction of a Code with an effective training and awareness programs.

Checklist for developing a code of practice

- The purpose of the Code is clearly defined
- The scope of the Code, including to whom it applies, is clearly defined
- Objectives of the Code are clearly defined against which to measure the effectiveness of the Code
- All industry operators and persons to whom the Code may be affected were invited to contribute their ides during the development
- The Code includes procedures for monitoring and reviewing its effectiveness.

STEP 8. System Audit & Review

In this step, you will:

- *Check your system to see if you are doing what you planned to do.*
- *Determine the audit process, develop an audit plan and undertaken audit*
- *Review the performance of your system to ensure that it is meeting your organisation's needs and a sufficient level of continuous improvement is occurring.*

System Audit

Why audit your system?

- To **verify and prove** that all the requirements of your system are being carried out in the specied manner.
- To identify system deficiencies, the need for corrective action and opportunities for improvement.
- To attain **certification** to an appropriate standard (if applicable).
- To ensure there is continual improvement in performance.

How to audit?

- Develop an audit protocol and procedure that includes:
- Clearly defined audit objectives
- Clearly defined **scope** of the audit
- Frequency of audit/s
- Train auditors (for internal audits)
- Audit tools and a reporting format, audit program responsibilities (assign responsibility for managing corrective action) assign a process for internal auditors and process for training internal auditors.

Who audits?

- Internal auditors may undertake periodic audits of your system
- External audits will involve using independent, third parties

Useful Tips

The frequency of audits will reflect the nature of the activities and impacts and monitoring programs, and the purpose of the audit.

System Review

What is a review?

A management review is a periodic assessment of performance of the management system.– ie. Undertaken to assess if the system is working and is adequate and effective.

How to review

Key questions to consider:-

- Is the scope of the system appropriate to meet your organisation's needs & vision?
- Does the environmental policy accurately reflect your organisation's commitment to improvement of environmental performance?
- Is the system effective in delivering the overall goals?
- To what extent have the objectives and targets been met?
- What changes are required to the system to reflect the changing circumstances (ie. Changes to legal and other requirements, improved understanding of issues/research results, changes in societal values, etc.)?
- Have resources been used appropriately?
- Is the management structure, and roles and responsibilities effective?

Suggested information sources for review:-

- Results and recommendations of system audits
- Results of performance monitoring and evaluations – progress towards operational objectives and targets
- Feedback from members and other industry participants
- Feedback from interested parties
- Changes to legal or other requirements
- Results of research (scientific and technical investigations)
- Reports of emergencies and other incidents

Who conducts the review?

- Management Team
- Persons with relevant knowledge of the issue under review

Useful tips

A management review of the entire system should be taken at least once a year – this may occur in stages, or all at once.

STEP 9. Public Performance Reporting

In this step, you will:

- *Decide to whom you will report, and what you will report*
- *Commence the process of publicly reporting on your performance*

What is public performance reporting?

Public Performance Reporting is a tool for communicating information to interested parties about your organisation's performance in managing its contribution to ESD (or specific aspects / impacts).

Why report?

- To respond to increasing demand for greater transparency and accountability in the management of fisheries resources (the community's *"right-to-know"*).
- To improve community awareness of your industry's management and performance, in terms of sustainability.
- To manage the flow of information by reporting in your own words, rather than waiting for someone to do it in theirs.

Benefits of public performance reporting

- May create more positive, open relationships with your interested parties.
- May improve your industry's public image as a responsive and accountable member of the community.
- May create a sense of pride and increase commitment of industry members and employees to improving performance.
- May generate a driving force to improve performance - Highlights any inefficiencies and increases internal awareness and focus on improving environmental, social and economic performance

How to report?

1. Identify your reporting needs (the target audiences and target messages).

2. Establish your organisation's rules for reporting – what, how and when information will be reported.

Your organisation's "rules" should be an agreed approach as to what is to be reported (the scope and content

of your report) and how (format and reporting period) and when (the frequency of reports). Clearly establishing "rules" will ensure your are meeting your reporting needs (your reporting addresses your target message and audiences). It will also reduce the potential for misuse and misinterpretation of information provided in report, as well as improve the communication value of your report.

Report Content (ie. what to report)

Refer to the "Common Elements of Public Performance Reports" on the following page.

Report Format

Public reports can vary in size and format. You may need to adopt several reporting formats to meet the differing needs of your interested parties.

A range of reporting formats can be used, such as:-

- A glossy brochure
- A newsletter
- Several page stand-alone document
- A one off report
- Annual reporting linked to your Sustainable Fishery System
- A comprehensive Sustainability Report for your fishery*

Useful tip

Visuals (diagrams and photos) as well as text can help bring the content of the report alive.

When & Frequency

Your performance report may be a one-off event to address a particular issue or audience, or it may be a regular event undertaken annually following your audit and management review. Successive reports should be used to benchmark your organisation's performance progress.

3. Prepare a draft Report when agreement is reached on the general content of the Report, seek comment and edit the draft report to ensure accuracy and readability.

4. Launch report and distribute to members and key interested parties, including all those who contributed to the development. Send copy to SSA for inclusion in the Best Practice Inventory.

Actively use the Report in public relations, strengthening community relations, raising internal awareness, etc. Increase community awareness of the Report by distributing it at displays, presentations on the, Internet etc.

You may also seek external verification or endorsement of your report

Independent verification may help to establish the credibility of your reported claims by providing assurance to interested parties that the information contained within the report is a fair and accurate reflection of your organisation's performance. Independent verification may be conducted by an expert panel, or an accredited independent party. Public environmental and sustainability reporting is still very much at the experimental stage. Criteria for the independent verification of public performance reports does not currently exist.

Useful Resources

For more information on public environmental and sustainability reporting visit the Environment Australia website www.ea.gov.au/industry/sustainable/per/ or contact the Environment Australia Community Information Unit on 1800 803 772 to receive a hard copy version of the *"A Framework for Public Environmental Reporting: An Australian Approach"*

Useful Tips

- **How you report is presented is up to you – make it clear, accurate, honest and informative.**
- Look at examples of public performance reports (environmental reports, sustainability) of other organisations for guidance/benchmarking. Environment Australia has created a comprehensive virtual library of Australian public environmental reports and a cross-section of public environmental reports from around the globe, with links to their sites. Visit the Environment Australia website.
- Distribution of your report should be accompanied by presentations to all relevant parties.

Common elements of Public Performance Reports

Following are some common elements of public environmental and sustainability reports.

ABOUT YOUR ORGANISATION/INDUSTRY

Industry Vision Statement – Inspires readers to discover more about your organisation.

Industry Profile –Your profile may include a description of the membership of the organisation, the size of the organisation, the nature and area of operation, and the economic and social contribution of the organisation (for example to local and state employment) and a brief history. The information should also indicate the culture of the organisation.

Broader context - Place your organisation's performance in the context of the broader environment, taking into account local, state and global issues of relevance to the organisation's activities and operations, key interested parties, significant environmental aspects and reliance on a sustainable, healthy, productive marine environment.

Your policy

Report Scope & Purpose of the public performance report should include:

- The coverage of the Report. If the report only covers specific operations and aspects of the organisations activities then an explanation of this should be provided
- The period the Report covers
- The date of the most recent Report
- Limitations regarding data collection, processes and reporting conditions
- Public accessibility of information or reports about environmental and other performance
- The target audience groups the Report has been prepared for

- If applicable, external verification of data included within the Report, data collection, analysis and the interpretation processes. Also include any stakeholder representation in the external verification process.

ABOUT YOUR MANAGEMENT APPROACH

Management Performance, Policies and Systems –

- A brief description of your management regimes, including the established mandatory management regimes, voluntary industry initiatives such as Codes of Practice, Sustainability Action Plans or programs developed by your organisation.
- Compliance with regulations and your voluntary management initiatives
- Environmental recognition and awards – this may enhance the credibility of the claim
- Policies and programs undertaken by your organisation to manage key factors contributing to the sustainability of your operation and seafood production supply chain over which your organisation does not have direct control.
- Financial information on expenses, fees, donation and grants, financial benefits and opportunities associated with your continual improvement management systems.

Communication – Information on how your organisation engages its members and interested parties in the management process.

ABOUT YOUR PERFORMANCE

Your performance in terms of key ecological, social and economic aspects of your fishery (for an ESD approach)

- Report on the key factors contributing to the sustainability of your business/industry and progress towards objectives. For each objective, you should include an explanation on how the objective contributes to the broader goal of sustainable fisheries / ESD, what progress has been made towards the objective and how this progress has been made. Where available, the report should include comparative information for previous periods to help interested parties understand the current performance in the context of prior period trends and in the context of external benchmarks (legal and other requirements). Performance should be reported, regardless of whether the timeframes specified in the management system have been met – readers generally regard a report that includes both good and bad news as a credible and an honest account of progress.

- **Case study/s –** Include an explanation of any key investigations or studies undertaken to minimise environmental impacts or risks, or address social or economic issues, and the measures taken by your organisation to incorporate findings of study. Such case studies provide evidence of your organisation's commitment to continual improvement.

OTHER

Ask for feedback – Include appropriate contact details.

Glossary of terms

Accreditation	The process of endorsing a certification body to assess and verify conformance with standards. The accreditation body is responsible for ensuring that the certification body is sufficiently competent to manage the certification process.
Aquaculture	The farming of aquatic organisms including fish molluscs, crustaceans and aquatic plants. Farming implies some form of intervention in the rearing process to enhance production such as regular stocking feeding, protection from predators etc. Farming also implies individual or corporate ownership of the stock being cultivated (definition from FAO).
Audit criteria	Policies, practices, procedures, and requirements (such as standards, guidelines, legislative and regulatory requirements) against which the auditor compares collected audit evidence about the subject matter. Also called audit standards.
Certification	The process of assessing and verifying conformance with a set of standards. Certification may also include a label or seal of approval. The person or body responsible for carrying out the certification is called the certifier or certifying body or certification body.
Continual improvement	Process of enhancing the environmental management system to achieve improvements in the overall environmental performance in line with the organisation's environmental policy.
Eco-efficiency	Simply put, it means creating more value with less impact. That is, creating more products and services using ever less resources and producing less waste and pollution. Combining economic and ecological efficiency creates the term.
Eco-label	A logo or seal of approval indicating that a product and/or an organisation has met a set of environmental standards.
Environmental audit	A systematic, documented verification process of objectively obtaining and evaluating audit evidence to determine whether specified environmental activities, events, conditions, management systems, or information about these matters, conform to audit criteria. This process is often referred to as an environmental assessment.
Environmental management system	That part of an overall management system that includes organisational structure, planning activities, responsibilities, practices, procedures, processes, and resources for developing, implementing, achieving, reviewing and maintaining the environmental policy.
Environmental performance	Measurable results of the environmental management system, related to the organisations control of its environmental aspects, based on its environmental policy, objectives and targets
ESD	Ecologically sustainable development, defined by the National Strategy as "*Using, conserving and enhancing the community's resources so that ecological processes, on which life depends, are maintained, and the total quality of life, now and in the future, can be increased".*

Fishery	A unit determined by an authority or other entity that is engaged in raising and/or harvesting fish. Typically the unit is defined in terms of some or all of the following: people involved, species or type of fish, area of water or seabed, method of fishing, class of boats and purpose of the activities.
ISO	The International Organization for Standardization (ISO), an international non-government body
FAO	FAO – Food and Agriculture Organisation of the United Nations **(**www.fao.org/). An intergovernmental organisation, with a mandate to raise levels of nutrition and standards of living, to improve agricultural productivity, and to better the condition of rural populations.
JAS-ANZ	The Joint Accreditation System of Australia and New Zealand, the government-appointed peak accreditation body for Australia and New Zealand for certification of management systems, products, personnel, training course providers and sector specific schemes.
MSC	Marine Stewardship Council, the independent, global, non-profit organisation that works to enhance responsible management of seafood resource. MSC developed an environmental Standard for sustainable and well-managed fisheries and voluntary independent certification program.
Objectives	The objective is the overall goal defined as an "end towards which efforts are directed". It is the ultimate achievement desired.
Performance indicator	Performance indicators allow us to measure and track changes in environmental performance. Performance indicators may provide information about the local, regional, national or global condition of the environment, environmental aspects of an organisation's operations, or the management efforts of an organisation. Performance indicators are being established to measure and track change at many different scales including the individual, region, industry sector, national and global.
Principles	Also called core objectives
Standards Australia	Standards Australia is an independent, not-for-profit organisation whose primary role is to prepare Australia Standards. Standards Australia is the peak standards writing body in Australia, and is the Australia representative on the ISO.
Sustainable fishery	A fishery that is consistent with ecologically sustainable development (i.e. a fishery that uses, conserves and enhances the community's resources so that ecological processes, on which life depends, are maintained, and the total quality of life, now and in the future, can be increased).
Targets	Objectives may be reached in a series of steps, each step requiring the achievement of a "target".

Communication & Consultation Guidelines

Effective communication – internally within your business, industry group and also externally - is critical to the success of your management system.

To ensure you get the most out of your management system, you need to focus on communication and consultation from the start. These guidelines provide information to help you plan the communication and consultation process that should run parallel to and be synchronised with the development, implementation and review of your management initiative.

Communication needs to be two-way – it is about involving external parties and your own members in the exchange of information and their views.

Why should you communicate?

There are many reasons why you should communicate about your management system. Some of the main reasons are:

- To encourage interested parties to contribute their ideas and expertise to your management initiatives.
- To gain an accurate and full understanding of the expectations, values and needs of interested parties.
- To ensure your organisation's management initiatives have the maximum support of its members and interested parties when implemented.
- To raise industry and community awareness of what you are aiming to achieve
- To correct and reduce the spread of misinformation.
- To form partnerships and alliances with group pursuing similar goals.
- To forge stronger and more positive, open relationships with interested parties.

Prepare a communication plan

It is strongly recommended that you prepare a communication plan covering the internal and external communication and consultation process that will run parallel to the development, implementation and review of your management initiative. The following sections provide some suggestions to help you prepare your communication plan

When preparing your communication plan, ask yourself the following questions:

- *What is the purpose of the communication?*
- *Who needs to be involved?*
- *When should they be involved?*
- *What is the best way to involve them?*

These questions are discussed in more detail below.

What is the purpose of the communication?

It is important to clearly establish the purpose of the communication. The overall purpose of your communication may be to:

- *Identify values, expectations and requirements of interested parties in relation to your organisation's activities and impacts, and of your industry generally.*
- *Identify the level of understanding of the operations and activities of your industry, management arrangements in place, and the ESD performance of your industry.*
- *Identify any goals / aspirations you share in common with the interested parties and opportunities for forming 'partnerships' to achieve common goals.*
- *Identify significant points of conflict and opportunities for conflict resolution.*

Who should you communicate with?

All people and organisations who affect and/or are affected by or concerned with the performance - environmental, social and economic - of your fishery should be involved in the development, implementation and review stages of your management initiative.

These people and organizations are split into the following two groups throughout the guidelines for ease:-

- Your **members and their employees (also referred to as internal parties**) – the people who make up your organization, and to whom the management initiatives apply.
- **Interested parties (also referred to as external parties)** - An individual or group of individuals who affect and/or are affected by or concerned with the performance of your organisation.

Who are your interested parties?

- ***Regulatory agencies*** *that may have legal obligations in relation to your organisations' activities and the activities influencing the sustainability of the fisheries resources on which you depend. This includes* ***federal government agencies*** *and* ***state government agencies*** *(ie. primary industry departments, natural resource management, fishery management agencies, environment protection and conservation agencies, marine safety agencies, transport agencies, health departments, etc.), and* ***local governments****.*
- ***Research and development agencies***
- ***Politicians*** *– federal, state and local*
- ***Special interest groups****, such as environmental and conservation groups, amateur fishing lobby groups, recreational fishing groups, indigenous interest groups, animal welfare interest groups, etc*
- ***Other fisheries*** *that interact with your fishery*
- *Participants in your industry who are* ***non-members*** *of your organisation (if applicable)*
- ***Community consultative/management advisory committees*** *– ie. regional and local natural resource management advisory committees*

- ***Community*** *(general) – local, national and international*
- ***Peak industry bodies*** *-fishing/aquaculture industry councils, training councils*
- ***Other industry sectors operating in or adjacent to your fishery*** *– tourism, charter fishing, land-based industries (agriculture, etc), etc.*
- ***Others operators in your supply chain*** *– ie. suppliers, seafood processors, seafood marketers, seafood retailers*
- ***Customers***
- ***Media***
- ***Financial institutions***

Remember that your EMS should be about building bridges – not burning bridges. So be inclusive! Leaving people or organisations out of the process may generate suspicion and animosity. Chances are many people and organisations won't feel they need to be involved, but give them the opportunity to make that decision. Key people/organisations that need to be contacted in the early stages are your fishery/aquaculture managers and researchers, and your conservation/environment managers and researchers – this will help you to ensure you establish linkages with the existing management processes and assessments for your fishery/aquaculture sector, avoiding unnecessary duplication.

When should you communicate with them?

Communication should be an on-going component of your management system. For each stage in the process of developing, implementing and reviewing your system, you will need to identify who should be involved; when you will involve them and how you will involve them. A *"Communication and Consultation Tip"* is provided for each stage in the development process. This is a suggestion only; its suitability to your organisation will depend on your own circumstances.

Consider your relationship with the individual / organization and their objective or obligation in relation to your fishery –who are the "friendlies", who wants you gone, who is ill-informed – and identify when best to involve them. Some relationships may be volatile and need to be treated with care, but don't ignore them. Understanding your relationship with the individual / organization and their obligations in relation to your fishery will also help you determine the best method of communicating with them.

How should you communicate with them?

There are many ways you can involve external and internal parties in your management system. For example, by writing a formal letter advising them of your intentions and inviting them to contribute their ideas; telephoning for an informal discussion; inviting them to participate in a meeting of your industry association or management committee; inviting them to participate in a workshop, disseminating brochures and fact sheets and newsletters about your management intentions or achievements, setting up a website with a range of information, etc.

The most appropriate approach will depend on the purpose of the communication and your relationship with the individual or organisation.

The following is an explanation of some of the key methods and tools that may be used by your organization to engage your members and external parties in your management system. The examples fall into two categories: (1) methods for consulting with and identifying the views of members and interested parties; and (2) methods and tools for communicating your achievements, activities and successes.

Useful methods and tools for communicating

Identifying views and consulting	**Making your commitments and achievements known**
• Interviews (One-on-one or group) • Informal discussions • Workshops	• Formal public performance reporting • Newsletters, brochures, factsheets and articles • News media • Community group presentations • Information days /sessions • Fetes, festivals, conferences and seminars • School programs

Identifying views and consulting

Interviews

Interviews, where only some of the questions are predetermined and new questions may arise during the interview, are a useful way of identifying the expectations and values of interested parties in relation to your organisation's activities. Interviews may be held with individuals to obtain information representative of an interest group or groups for general community information. A fairly focussed approach should be maintained throughout the interview process, based on pre-determined questionnaire, but you are free to explore, probe and ask questions on a range of issues. This process is flexible so questions and answers may be clarified and elaborated upon.

Pros

Very flexible

Allows individual perspectives and experiences to emerge

Can produce good qualitative information

Potential to improve relations with interested parties

Cons

Time-consuming

The quality of information obtained is dependent upon interviewers capabilities and interviewees willingness to participate

Potential for hostile audience

When to use

To identify the expectations and values of interested parties, particularly in relation to government agencies, special interest groups, supply-chain operators as required when developing, implementing and reviewing your management initiative.

Informal Discussions

Informal discussions should be held at regular intervals between the members of the management team and members of the organisation, and key interested parties.

Pros

Flexible
On an "as needs" basis
Cost-effective
Allows individual perspectives to emerge and build relationships
Unthreatening approach

Cons

Time-consuming

When to use

Ongoing throughout the development, implementation and review of the management initiative.

Workshops

Workshops are structured meetings, designed to generate a *group product* and group consensus. Workshops may be held for the organisation's membership only, or they may include a range of interested parties with different values who are willing to contribute constructively to the task at hand. A workshop is best used when there is a specific problem to be solved – for example, identifying the risks, setting objectives for the organisation, and identifying best practice techniques and finding solutions to management issues.

There are a number of techniques that can be used within a workshop: brainstorming (for raising issues and problem solving), dividing into sub-groups and reporting back to main group, use diagrams to identify linkages and relationships between issues, etc.

To be manageable, workshops should be limited to 10-25 people. However, it is better to adopt an inclusive approach; denying attendance can generate distrust in the process. It is recommended that a workshop be held for a period of no less than 2 hours to allow sufficient time to explore the issues.

Pros

- Good exchange of information
- A group product can be obtained
- Solutions to problems can be explored

Cons

- Needs to be well-structured and facilitated
- Not a good decision-making forum
- Time-consuming to organise

When to use

Conduct workshops at various stages during the development and implementation of your management initiative. For example, a workshop for members of fishery may be held during risk assessment process to assist the project team identify risks and current and best practice techniques, and to gain a group product.

Making your commitments and achievements known

Public performance reports

Public Performance Reporting is about communicating the environmental performance information by an organisation to its stakeholders. It is the public disclosure of information about an organisation's environmental performance, including its impacts on the environment, its performance in managing those impacts, and its contribution to ecologically sustainable development. Meaningful public reporting should be part of an effective communication strategy.

Newsletters, brochures, factsheets & articles

A newsletter can be used to provide members and interested parties with periodical updates on the progress of the development and implementation of your management initiatives and performance, etc. Include the contact details of your industry organisation to encourage feedback and additional information needs. Newsletters may be distributed to interested parties by mail out, electronic mail or Internet methods.

Brochures, factsheets and magazine articles can be prepared to raise public awareness of key issues, or about your organisation's management initiatives and performance generally. Present your information in a way that it is easily interpreted and understood by the community who may know very little about your industry. They may be written for a target audience and/or the public generally. Place an article in your industry association newsletter or other appropriate newsletter.

Seafood Services Australia, SeaNet Fisheries Extension Service and your peak fishing industry body can also help you spread the word about your achievements through their newsletters, Internet website, awards program, and contact with the media.

NOTE – Take care to ensure you have represented your actions and results correctly and that your words cannot be misinterpreted or misused. Having your draft articles and newsletters reviewed will help you to avoid this.

Pros

Allows people to absorb the material at their own convenience

Can inform large groups of people

Can reduce the spread of misinformation

Fairly cost-effective

Maintains the visibility of the organisation's commitment over time.

Cons

Possible misinterpretation of information

Can only provide basic information

Tip

Look at the newsletters, brochure and factsheets of other organisations to get ideas

How to use

Prepare and distribute periodical newsletters/updates during the development and implementation of your system for members and interested parties (dependent on the size and nature of your organization)
Brochures, factsheets and articles can be used as part of your on-going public awareness campaign.

News media

When you have results you want to report, tell the media about them. The media includes newspapers, radio and television, including the local newspaper and radio station in the area you operate and your homeport.

Press releases & media briefings

Press releases are a useful way of providing the media with information about the management initiatives and performance of your industry. Information is prepared and distributed by your organisation to the media for its own use. Media releases may be printed as they have been written or may be changed to suit specific media styles or used in conjunction with other material to form the story. Feature articles may be prepared and distributed to local newspapers for their use.

Letters to the editor

A 'letter to the editor' can be used to correct misinformed and inaccurate media statements of relevance to the operations and activities of your industry. Responding to inaccuracies printed in newspapers may reduce the spread of misinformation and raise awareness of the performance of your industry.

Pros

Effective means of obtaining wide publicity

Good mechanism for proactively informing public about the industry.

Low cost

Cons

Reliant on the media agency to determine the newsworthiness of the story

Information provided may be taken out of context, misinterpreted, or only partly quoted.

When to use

Consider reporting to the media at each stage in the process: the launch of the Commitment Statement, the Sustainability Action Plan, and the Public Performance Report.

Monitoring news media and correcting inaccurate media statements should be an on-going process, built into your communication strategy. Public opinion is influential and persistent; newspapers (local editorials) play a significant role in influencing public opinion.

Community group presentations

Talks and presentations to community interest groups and local natural resource management advisory committees can be a useful way to disseminate information to a target audience about your industry's environmental management initiatives and performance. Such presentations usually involve a short presentation followed by a question and answer session. This may also provide opportunities to distribute printed material, such as public summary documents, newsletters, factsheets and brochures relating to the environmental management initiatives of your organisation.

Contact local government authorities to identify local community interest groups and community natural resource management advisory committees and their contact details.

Pros

Target audience

You can tailor information to the audiences needs

Members of the community group will pass information onto the constituents of their interest group

Cost-effective – requires time spent preparing and attending community group meeting

Cons

Only reaches a particular sectors of the community

Potential hostile audience reaction

How to use

Identify the community's expectation in relation to the activities and performance of your industry (*Step 4*)

To voice the expectations of your industry in relation to performance of other sectors impacting on the sustainability of your fishery (developing and implementing your Action Plan *Step 6 & 7*)

Use as part of your on-going public awareness campaign.

Information days / nights

Information days/nights are useful forums to raise the community's awareness of fisheries and marine management issues. Information days/nights may include presentations by a number of speakers on topics of relevance and interest to the local community that will contribute to community's awareness of natural resource management issues affecting the health and productivity of the marine environment and fisheries resources. This may include recent research findings, new management initiatives initiated by government agencies and community groups, and your industry, etc.

Pros

Effective means of raising public awareness

Effective means of establishing partnerships or improving relationships with interested parties

Allows for in-depth exploration of issues, correction of misunderstandings and reduction of the spread of misinformation

Public may attend at their convenience, and choose topics of interest to them

Cons

Can be expensive; collaboration with other organisations, including government agencies will reduce costs.

Relies on participation of reputable speakers

Onus is on the public to attend

Often only a small cross-section of the public will attend.

When to use

The launch of Industry Action Plans, and performance reports, etc.

Use as part of your on-going public awareness campaign

Fetes, festivals, conferences & seminars

Create banners and posters and set up displays in conjunction with information days, seminars, conferences, fetes and festivals of relevance to the organisation. This is a useful way of informing target audience about your actions and reporting on progress. If printed material is available, such as newsletters, brochures and factsheets, they should be included at the display point.

Pros

Can be used to provide information to the general public and/or target audiences

Relatively low cost

Tips

Use innovative approaches to attract people to your display; highlight information of general interest to the public or children.

How to use

Use as part of your on-going public awareness campaign.

School programs

Organise activities and excursions for schools in the local area to coincide with theme days or weeks, such as 'Primary Industries Week', 'Threatened Species Day',etc. This may involve a short presentation by industry person/s, excursions to fishing vessels and seafood processors and markets, preparation of resource material aimed at improving awareness of environmental matters and management initiatives and performance of the industry.

Pros

Groups with a target audience and message

Information can be tailored to meet audience needs

Cost-effective

Resources prepared can be reused in following years.

Cons

Can be a fairly time-consuming exercise.

Tips

Identify teachers associated with the organisation with the skills and contacts, and commitment to organise and run school programs.

How to use

Use as part of your on-going public awareness campaign

Communication plan outline

Following is an outline of suggested communication plan for a communication plan for a fishery environmental management initiative. Use this as a starting point to tailor a plan that meets your industry sector's needs.

	Purpose	Who	When (Rank)	How	Resp.
Step 1 -Vision	Identify short- and long term goals & draft vision statement	Members	1	"Brain-storm session at association meeting	Ron
	Discuss management intentions & 2010 vision project of agency	Fisheries agency (fishery manager)	2	Informal discussion	Shirley
	Comment on draft vision statement	All members	3	E-mail and mail to all members Informal discussions	Ron
				Factsheet outlining management initiative intentions	
	Identify views of members	All members		Workshop	

	Purpose	Who	When (Rank)	How	Resp.
	Identify and understand legal obligations	Representative of environment protection, marine transport and fishery agency	1	Informal discussion Presentation to workshop	
	Comment on draft action plan document	Local conservation NGO			

More Information

For more information on methods and tools for communication, see

- FRDC project 2001/310 "Community consultation plan".
- *Consulting communities. A policy maker's guide to consulting with communities and interest groups* by Sheridan Coakes. (1999) Bureau of Rural Sciences, Agriculture, Fisheries and Forestry – Australia. Commonwealth of Australia.
- *A framework for Public Environmental Reporting. An Australian Approach* Environment Australia. (2000) available on the Environment Australia website.

Useful resources

STEP 1.

Fisheries Research and Development Corporation. **Investing for tomorrow's fish: the FRDC research and development plan, 2000 to 2005**. FRDC, Canberra, 2000.

Arbuckle, M & Metzger, M. **Food for thought: A brief history of the future of fisheries' management**. Challenger Scallop Enhancement Company Ltd., 2000.

STEP 4

Bycatch

Eayrs, S. Buxton, C & McDonald, B. **A Guide to Bycatch Reduction in Australian Prawn Trawl Fisheries.** Australian Maritime College, Launceston, 1997

Leadbitter, D. (1999). Bycatch Solutions: **A handbook for fishers in non-trawl fisheries. FRDC Report No. 1998/201**. Ocean Watch Australia Ltd., New South Wales 2009, Australia.

Harris, A & Ward, P. (1999) **Non-target Species in Australia's Commonwealth Fisheries. A Critical Review**. Bureau of Rural Sciences, Canberra.

Commonwealth of Australia. **National Policy of Fisheries Bycatch**. MCFFA 1999

Commonwealth of Australia. **The Commonwealth Policy on Fisheries Bycatch.** June 2000.

Protected species

Circle of Dependence. **Handling Manual: Protected Species**.

Antifouling paints

Australian and New Zealand Environment and Conservation Council. **Code of Practice for the use of antifouling products in Australia and New Zealand**.

Legal requirements

Tsamenyi, M & McIlgorum, A. **International Environmental Instruments: Their effect on the Fishing Industry.** FRDC project 97/149. Dominion Consulting Pty Ltd, 1999.

Shaxson, D. Commercial **Fisherman's Resource Package to Ozone Awareness, Queensland Legislation and Code of Good Practices for Fishing vessel Refrigeration.** Queensland Fishing Industry Training Council Inc., 1994.

Codes of conduct

FAO Fisheries Department. Code of Conduct for Responsible Fisheries. http://www.fao.org/fi/agreem/codecond/ficonde.asp

Australian Seafood Industry Council. **A Code of Conduct for a Responsible Seafood Industry**. ASIC, Canberra.

STEP 12

Natural Heritage Trust. A Framework for Public Environmental Reporting: An Australian Approach. Environment Australia, Canberra, March 2000.

Other

AS/NZSISO 14001:1996. E**nvironmental management systems – Specification with guidance for use.**

AS/NZS ISO 14004:1996. **Environmental management systems – General guidelines on principles, systems and supporting techniques.**

AS/NZS ISO 14010:1996. **Guidelines for environmental auditing – Audit procedures – Auditing of environmental management auditors.**

AS/NZS ISO 14031: 2000 **Environmental management – Environmental performance evaluation – Guidelines.**

AS/NZS 4360:1999 Risk Management

HB 203:2000 Environmental risk management – Principles and processes. Australian Standards guide.

ISO Best Practice manual: Catching and Processing of Mullet. ASIQAP. Commonwealth of Australia, 1997.

ISO Best Practice manual: Catching and Handling of Spanner Crabs. ASIQAP. Commonwealth of Australia, 1997.

APPENDIX 6

BENEFICIARY REPORTS

The Secretary:
Gary Howard
Hawkesbury Trawl Association
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Lower Portland
NSW 2756
Ph 4575 4009
Fax. 4575 5347

Hawkesbury Trawl Association

Ms Anissa Lawrence
Executive Officer
Ocean Watch Australia Ltd
Locked Bag 247
PYRMONT NSW 2009

Dear Ms Lawrence,

Re. 2000/146 Developing environmental management standards for the Australian seafood industry

The Hawkesbury Trawl Association Inc (HTA) participated in project 2000/146 as one of the industry case studies responsible for trialing and contributing to the development of the "Green Chooser" concept and associated guidance material (eg. 'Seafood EMS Chooser').

Through this case study process, the HTA directly benefited from the project. With the assistance of the SeaNet Fisheries Extension Program and Seafood Services Australia, Hawkesbury trawl fishers came together and formed the HTA, developed an environmental action plan, and launched the plan at the local media event, completing the initial steps of the EMS cycle outlined in the "Seafood EMS Chooser".

I believe the key outcome of this project, the "Seafood EMS Chooser", which outlines the EMS process in eight simple steps, will greatly assist fishing industry groups, similar to the HTA, to understand what is involved in and how they should go about developing an environmental management system.

Yours sincerely,

Gary Howard
SECRETARY - HTA

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08/11/04

Dear Anissa,

2000/146 Developing environmental management standards for the Australian Seafood Industry

My name is Kellie Williams and I work for the Environmental Management Centre at the University of Queensland. I have been working with Queensland-based commercial fishers for several years, implementing and evaluating Environmental Management Systems (EMS').

With each fishery I have worked with, the fishers have been following the guidelines for EMS development set out in the Green Chooser document. I have found this document very useful, as it is accessible to its target audience – commercial fishermen. It sets out in a simple, precise manner eight steps that are required to develop an EMS. The presentation is non-cluttered and most concepts are explained via visual images.

For an industry group that has been sometimes documented as having a low level of comprehension (and literacy skills), I have found the Green Chooser to be a very effective resource.

The uptake of this document is evidenced by the huge demand for hard copies of the Green Chooser. Presently there are many commercial fishing groups in Queensland who are using this document to assist them with the development of their individual EMS action plans.

In addition, during a recent presentation to the World Fisheries and Agriculture Organisation (FAO) in Rome, praise was expressed by senior fisheries managers to me about the quality of the Green Chooser document and the uptake of voluntary EMS initiatives within Australian fisheries.

I wish to congratulate the people who were involved with the development of the Green Chooser guidelines. I believe it will be a critical tool for the sustainable management of Australian fisheries into the future.

Yours sincerely,

K Williams

Kellie Williams