

**The establishment of a training resource  
and information service to underpin the  
successful adoption of EMS by the  
Australian seafood industry**

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**SEAFOOD SERVICES**  
AUSTRALIA



**Australian Government**  

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**Fisheries Research and  
Development Corporation**

**Project No. 2002/303**



## **Australian Government**

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## Non-technical summary

**2002/303      The establishment of a training resource and information service to underpin the successful adoption of EMS by the Australian seafood industry.**

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### **OBJECTIVES:**

- (1) Provide an information and training resource to improve the knowledge and skills base of persons engaged in developing and adopting Environmental Management Systems (EMS) in the Australian seafood industry.
- (2) Deliver a training program to EMS officers employed under the Fisheries Research and Development Corporation (FRDC) EMS Initiative and associated industry champions.
- (3) Facilitate a network of industry members and government and non-government organisations involved in seafood environmental management to enhance information exchange.

### **NON TECHNICAL SUMMARY:**

#### **OUTCOMES ACHIEVED TO DATE**

The benefits of this project are visible in the continued development and maintenance of an internationally competitive seafood industry in Australia characterised by appropriately skilled people implementing world's best practice. In the short to medium term this project has resulted in:

- (1) Improvement in the quality of the skills and knowledge base in the Australian seafood industry in relation to ecologically sustainable development (ESD), environmental and quality management systems, and environmental awareness generally.
- (2) Success in the development and adoption of environmental management systems by the Australian seafood industry, enabling it to demonstrate improved environmental practices and performance and be internationally competitive.
- (3) Significant cultural change within the industry whereby fishermen and aquaculturists view and consider issues relevant to their operations within the context of their contribution to ecologically sustainable development.

- (4) Increased industry participation in and ownership of the continual improvement of management and progress with respect to ESD objectives for relevant fishery and aquaculture sectors.
- (5) Increased community and government confidence in the capability of seafood producers to develop and adopt environmental management systems, and the environmental responsibility of the seafood industry

Significant progress has been made to build the capacity of the Australian seafood industry to enable it to respond effectively to the ever increasing myriad of challenges, and rapidly changing demands including demands from the community to produce food in an environmentally friendly and safe manner. Key developments in this area include the national ESD reporting system and several initiatives that have facilitated the adoption of environmental management system approaches (i.e. the Green Chooser project, Environment Australia (EA) Eco-efficiency Agreements, and the FRDC State EMS Officer Initiative, etc.).

Through a partnership between Seafood Services Australia (SSA), Seafood Training Australia (STA) and Ocean Watch, the project (as part of the FRDC ESD Assessment and Reporting Subprogram) addressed the need for timely access to information, appropriately skilled support and training in relation to EMS by:

- (a) Providing an information and training resource to improve the knowledge and skills base of persons engaged in developing and adopting environmental management systems approaches in the Australian seafood industry;
- (b) Delivering a training program to EMS Officers employed under the FRDC EMS Initiative, and associated industry champions; and
- (c) Facilitating a network of industry members, government and non-government organisations involved in environmental management in the seafood industry to enhance information exchange in relation to key developments in this rapidly changing environment and encourage collaboration and partnerships.

SSA received strong support for this project from the Australian Seafood Industry Council (ASIC) and member organisations (representing all States and Territories), the National Aquaculture Council and member organisations (representing all States and Territories), the Seafood Services Australia Network, FRDC, STA, FRDC State EMS Officers, Oceanwatch and SeaNet.

The six major outputs of this project were the development of:

- A revised version of the Seafood EMS Chooser. Designed to help users decide on the environmental management system best for their business or fishery.
- The Seafood EMS Self Assessment and Training Manual (in conjunction with the Seafood EMS CD Project funded by National FarmBis). Designed to help develop and implement an EMS – and to have skills and knowledge recognised

against EMS units of competency under the National Seafood Industry Training Package (NSITP).

- The Seafood EMS Assessors Guide (in conjunction with the Seafood EMS CD Project funded by National Farmbis). Designed to help the Assessor to judge skills and knowledge against the EMS units of competency in the NSITP.
- The Seafood EMS website developed to bring new resources and ideas about EMS.
- The Seafood EMS inventory including links to seafood industry organisations' websites and environmental management plans.
- Induction programs which were delivered to FRDC EMS officers, SeaNet extension officers and industry champions in 2003 and 2004.

A logical next step to the continuing extension and further development of the project outputs from this project FRDC 2002/303 lead to SSA securing funding through the DAFF Pathways to Industry EMS Program. This will ensure that the products developed under this project and other EMS initiatives undergo continual improvement over the coming years.

**KEYWORDS:** Environmental Management Systems.

## 1. Acknowledgements

The authors wish to acknowledge the contribution of funds by the FRDC, a statutory authority of the Australian Government.

Other groups or individuals who have contributed vast time and resources to this project include:

- The staff of Seafood Services Australia Limited.
- The members of the six EMS Pilot Groups who have tested the resources and contributed to their development.
- The members of the EMS Technical Review Panel who have assisted in guiding the development of the resources.
- The members of the SSA Network who provided valuable guidance and direction on the resource development.
- The management and staff of ASIC and STA for their valuable guidance.
- The participants at EMS workshops who provided valuable industry input into the resource development.

## 2. Background

The Australian seafood industry of the twenty-first century faces an ever increasing myriad of challenges.

Significant progress has been made to build the capacity of the Australian seafood industry to enable it to respond effectively to these challenges and rapidly changing demands, including demands from the community to produce food in an environmental and safe manner. Key developments in this area include the national ESD reporting system and several initiatives that facilitate the adoption of environmental management system approaches (i.e. the Green Chooser project, EA Eco-efficiency Agreements, and the FRDC EMS Initiative, etc.).

ESD has now been embraced as a major objective of the fisheries legislation of most jurisdictions in Australia. This has included the recent introduction of statutory assessments of fisheries management regimes and aquaculture activities under national and various State and Territory legislation.

Equally challenging is the increasing environmental consciousness of the community – locally, nationally and internationally - coupled with its scepticism about the way in which fisheries resources and the marine environment generally are being used and managed. This is being realised not only in the political arena, but also in the market place, with seafood producers facing growing supply chain pressure associated with market preference for products from environmentally and socially responsible production systems.

These developments have required a shift in fisheries management to an ecosystem approach and the improved understanding of what ESD means in operational terms to seafood production systems. It has also required the adoption of adaptive management processes that promote the continual improvement of management performance which has created the need for ways of measuring and reporting on performance with respect to ESD.

In response to these challenging demands, there has been a concerted effort on the part of the industry, government and non government organisations to build the capacity of the seafood industry to enable it to respond effectively.

This project was designed to capitalise on various capacity-building initiatives in the seafood industry, as well as relevant initiatives in land based industries, to ensure that the information and skills development needs of persons engaged in the adoption of EMS in the seafood industry are addressed in a timely and effective manner. It aimed to develop a training resource and information service to underpin the successful adoption of EMS by the Australian seafood industry.



### 3. Need

A mechanism was required to capitalise on the investment governments and industry have made in these key initiatives, and to extend the necessary expertise and resources (including information, learning materials and support) to improve the knowledge and skills base of persons engaged in adopting EMS and implementing the ESD framework.

FRDC, in creating its Environmental Management Systems Initiative (FRDC Project 2000/084), also identified this need and allocated funds to ensure the persons employed under this initiative and associated industry champions are appropriately trained for their roles.

The Green Chooser project (FRDC project 200/146) provided particular insight into the key competencies required of persons engaged in adopting EMS. Importantly, it has highlighted that particular expertise exists, and provided a preliminary indication of the critical gaps in the skills base of the seafood community (industry and government).

This need is also reflected in the STA's Strategic Training Plan for 2001-2002, and the mid-review findings of the Seafood Industry Training Package Review which recommends a stronger emphasis on environmental awareness and promotion of ESD and environmental management throughout the training package.

Based on practical experience with the SeaQual initiative and the Green Chooser project, SSA identified the critical need for development of appropriate resources (training, information and support services). This project was designed to meet this rapidly increasing demand, and avoid the very real potential for inefficiency and confusion should there be a lag period in the provision of suitable training and support.

Through a partnership between SSA, STA and Ocean Watch, this project (as part of the FRDC ESD Assessment and Reporting Subprogram) addressed the need for timely access to information, appropriately skilled support and training in relation to EMS by:

- (a) Providing an information and training resource to improve the knowledge and skills base of persons engaged in developing and adopting environmental management systems approaches in the Australian seafood industry;
- (b) Delivering a training program to EMS Officers employed under the FRDC EMS Initiative, and associated industry champions; and
- (c) Facilitating a network of industry members, government and non-government organisations involved in environmental management in the seafood industry to enhance information exchange in relation to key developments in this rapidly changing environment and encourage collaboration and partnerships.

## **4. Objectives**

- (1) Provide an information and training resource to improve the knowledge and skills base of persons engaged in developing and adopting Environmental Management Systems (EMS) in the Australian seafood industry.
- (2) Deliver a training program to EMS officers employed under the FRDC EMS Initiative and associated industry champions.
- (3) Facilitate a network of industry members and government and non-government organisations involved in seafood environmental management to enhance information exchange.

## **5. Methods**

This project was designed to be undertaken over two years. Seafood Services Australia (SSA) commenced this project in May 2002.

### ***Project Management***

Seafood Services Australia Ltd (SSA) managed the project and provided support that ensured the project delivered agreed outputs within budget and on time. Other support was provided through in-kind support which ensured that the project linked with other Seafood EMS and ESD initiatives. The SSA board provided overall strategic advice and direction to the project.

### ***Project Officer***

A full time project officer was employed to undertake the necessary coordination, research and facilitation to achieve the project objectives and deliverables. The project officer also participated in the Technical Review Panel meetings and other forums under the Natural Heritage Trust (NHT) Pilot project.

### ***Consultation***

The SSA Network was expanded to include government and industry members involved in EMS in the seafood industry. The SSA Network provided a forum for enhanced information exchange and opportunities for collaboration and input into material being developed from all interested stakeholders. As was envisaged, the EMS Officers employed through the FRDC EMS Initiative and associated industry champions, as well as others engaged in the development of environmental management systems in the seafood industry were key participants in the expanded SSA Network. Consistent with existing SSA network arrangements, 2-3 network meetings were held each year, with the location rotated around Australia.

### ***Training***

#### **National Seafood Industry Training Package (NSITP)**

ASIC, in its capacity as the national seafood industry training advisory body, and STA were key contributors to this project. STA managed the development of units of competency for inclusion in the NSITP, consistent with the recommendations of the 2003 NSITP Review. To do this, a technical advisory group was established and chaired by STA, and comprised six other members including a SSA nominee. The involvement of the STA Executive Officer as a co-investigator of this project assisted the delivery of a cohesive and holistic approach to skills development in the Australian seafood industry.

SSA worked with STA to update the NSITP by coordinating updates in cooperation with STA in relation to competencies required of EMS facilitators for the successful adoption of environmental management systems and implementation of ESD reporting framework by the Australian seafood industry.

## **Training Resources**

SSA reviewed existing resources and services (learning support material, courses, etc) to assess the relevance to the seafood industry's needs. All relevant training resources were reviewed as part of this process.

Development and trial of new resources based on the Seafood EMS Chooser framework occurred. These included the Seafood EMS Self Assessment and Training Manual and the Seafood EMS Assessors Guide. These resources have undergone industry testing and were sent to STA for comment and to ensure that they were in harmony with the NSITP.

In addition, relevant external services (eg. Registered Training Organisations, research providers, communicators, etc.) were engaged as necessary to provide particular expert technical advice to the development, review, trial and evaluation of the resources.

## **Training Delivery**

Ocean Watch Australia was also a key contributor to the project. The practical experience and knowledge of the SeaNet extension officers, and Ocean Watch Australia generally, was critical in achieving the project objectives, particularly the induction programs for EMS officers, SeaNet officers and Industry mentors held in August 2003 and July 2004. Inclusion of the Executive Officer of Ocean Watch Australia, as a co-investigator ensured that the expertise and the lessons learnt through SeaNet activities were harnessed and extended to the project outputs.

The collaborative approach utilised in this project ensured that the skills development needs of the FRDC EMS Initiative were addressed in a way that complemented and built upon related training and skills development initiatives, and formed part of a holistic and integrated approach to skills development in the Australian seafood industry. This has been further expanded and delivered using the national AAA FarmBis, State-based FarmBis programs and the Pathways to Industry EMS program.

## 6. Results/Discussion

The six major outputs of this project were:

- The development and delivery of induction programs for FRDC EMS officers, SeaNet extension officers and industry champions in 2003 and 2004. See Attachment 3.
- The Seafood EMS website designed to include new resources and ideas about EMS. See Attachment 4.
- The Seafood EMS inventory developed to include links to seafood industry organisation's websites and environmental management plans. See Attachment 5.
- A revised version of the Seafood EMS Chooser which is presently in pre-publication form. Designed to help decide on the environmental management system needed for individual businesses or fisheries. See Attachment 6.
- The Seafood EMS Self Assessment and Training Manual (developed in conjunction with the Seafood EMS CD Project funded by National FarmBis). Designed to help develop and implement an EMS – and to have skills and knowledge recognised against EMS units of competency under the NSITP. See Attachment 7.
- The Seafood EMS Assessors Guide (developed in conjunction with the Seafood EMS CD Project funded by National Farmbis). Designed to help the Assessor judge skills and knowledge against the EMS units of competency in the NSITP. See Attachment 8.

The outputs achieved under each objective are discussed below.

### ***OBJECTIVE 1: Provide an information and training resource to improve the knowledge and skills base of persons engaged in developing and adopting Environmental Management Systems (EMS) in the Australian seafood industry.***

- SSA appointed a National Seafood EMS Coordinator for the life of the project. The National Seafood EMS Coordinator undertook the liaison, coordination, research and facilitation required to achieve the project objectives and widespread adoption of EMS through the seafood industry.
- The Seafood EMS Self Assessment and Training Manual developed in conjunction with the Seafood EMS CD Project was funded by National FarmBis. A draft of the Seafood EMS Self Assessment and Training Manual was launched in conjunction with the launch of the SEMS CD by Senator Judith

Troeth in March 2004. This draft will be continually improved under the training resources component of the Seafood EMS Pathways Project.

- The review of EMS competencies for the NSITP was completed and submitted in August 2003. SSA has been assisting training providers to develop programs addressing these competencies and enable industry members to gain qualifications to facilitate and implement EMS.
- SSA has almost completed trialling the Seafood EMS resources through introductory and follow-up workshops with industry groups. It is envisaged that under the Australian government's Pathways to Industry EMS program all resources created under existing EMS initiatives will be reviewed and further developed.
- SSA established a reference group for the trialling of the Seafood EMS resources which consisted of training providers, industry and EMS consultants.
- The trialling of support materials was also conducted via input from the FarmBis Technical Review Panel.
- SSA conducted introductory EMS workshops during March for three groups of oyster growers in Tasmania, with assistance from the Tasmanian Fishing Industry Council (TFIC). Follow-up workshops with these and other groups, including the Tasmanian Rock Lobster Association, were conducted in May 2003.
- SSA also conducted a series of workshops for several industry groups in Victoria in May 2003, with assistance from Seafood Industry Victoria, Seafood Training Victoria and SeaNet Victoria.

***OBJECTIVE 2: Deliver a training program to EMS officers employed under the FRDC EMS Initiative and associated industry champions.***

- SSA collaborated with organisations and industry groups in each state with a view to holding introductory EMS workshops, with follow-up EMS workshops for those groups that decided to develop an EMS when state EMS Officer funding had been approved. Workshops were held in Queensland, Northern Territory, Western Australia, Tasmania and Victoria.
- A follow-up workshop was conducted for the Bays and Inlets Fishery in Victoria, where EMS officer funding was approved in May 2003. SSA has been working with EMS officers in Queensland, New South Wales and South Australia, providing assistance with presentations and industry and community events as required. SSA has commenced working with EMS officers in Tasmania, the Northern Territory and expects to work with Western Australia as soon as approved funding comes on line.
- The collaboration between SSA, TFIC and oyster growers in Tasmania resulted in a successful application for a state EMS officer.

- SSA has successfully collaborated with the University of Queensland and Pacific Marine Consultants (PMC) to develop an EMS facilitator's training program. The first program, to be facilitated by the University of Queensland, was conducted in July 2003 and was attended by industry champions, state EMS officers and SeaNet officers.
- The second program was conducted in December 2003. Other, states have expressed interest in hosting an EMS facilitator's training program.
- An EMS training session was conducted in Sydney on August 2003 for SeaNet and EMS Officers. The objectives and outcomes are listed in Attachment 3.
- A further EMS training session was conducted in Canberra in July 2004 with SeaNet and state EMS Officers and industry mentors. The program is currently under development with input from Oceanwatch, SeaNet and state EMS Officers.

***OBJECTIVE 3: Facilitate a network of industry members and government and non-government organisations involved in seafood environmental management to enhance information exchange.***

- The SSA network meetings drawn from key players in seafood, the broader food industry, seafood industry peak bodies, marketing entities, food safety bodies, R & D agencies and the government agencies that also support the industry to participate in an information exchange on EMS in the seafood industry. Updates on EMS have occurred at all network meetings which has generated a flow on effect of interest in the area. The details of the network meetings held are outlined below.
- The network meeting in November 2002 increased the exposure of work being undertaken by SSA in the EMS area. Following the launch of the Green Chooser, SSA was asked to comment on a draft Environmental Management Plan produced by the Gulf of Carpentaria Commercial Fishermen and had an increased number of enquiries from both industry and government requesting EMS resources.
- EMS was discussed extensively at SSA Network meeting held in Melbourne on 25-26 March 2003. The meeting increased awareness of SSA's work in the area of EMS and to EMS initiatives underway in each state. Since the meeting, SSA has received a number of enquiries from industry representatives requesting EMS resources.
- EMS was discussed extensively at SSA Network meeting held in Sydney on 31 July - 01 August 2003. The meeting increased exposure to SSA's work on EMS and to EMS initiatives underway in each state. Since the meeting, SSA has received a number of enquiries from industry representatives requesting EMS resources.

- The network meeting held in September 2003 at Seafood Directions was used as an opportunity to give a presentation on the achievements to date on EMS and a chance to discuss opportunities arising from Seafood Directions 2003.
- The network meeting held in May 2004 at Brisbane was used as an opportunity for the NHT pilot groups involved in implementing an EMS to discuss their experiences with the network.

SSA has continued to extend the EMS resource library and information system. The SSA EMS website, at [www.seafoodems.com.au](http://www.seafoodems.com.au), has been online since January 2003 and is continually being updated. Work on the 'Seafood EMS Inventory', for inclusion on the Seafood EMS website, has been completed. A review of the 'Seafood EMS Inventory' is currently being conducted and will be completed by December 2004.



## **7. Benefits and adoption**

Benefits associated with the activities and products developed under this initiative will accrue progressively as individual stakeholder groups access and use the Seafood EMS resources.

At an individual business or fishery level, the Seafood EMS resources assist industry members to understand and decide on an environmental management system appropriate for their business or fishery. The Seafood EMS resources are about fostering industry to take ownership over them and utilise the resources in a way that suits their individual requirements.

It is clear that this project has created an impetus for EMS development and implementation. With continuity and some additional resources, the level of interest and the rate of implementation of an EMS is expected to multiply exponentially. Through this project, seafood businesses have been encouraged to assess their current profitability and sustainability and develop an EMS that will ensure that their fishing and business practices are profitable and sustainable.

The Seafood EMS pathways project will build on these successes and will help ensure that the potential benefits and outcomes from Seafood EMS initiatives are realised.

## 8. Further Development

The development of an EMS follows a *Plan-Do-Check-Act* cycle. This essentially means that the process involves first developing an environmental policy, planning the EMS, and then implementing it. It also includes checking the system and acting on results. The process is continuous because an EMS is a system of continual improvement in which an organisation is constantly reviewing and revising.

SSA is taking the same approach with the development of the Seafood EMS resources. There has been considerable feedback on the Seafood EMS resources during the developmental phase. As noted previously, the Seafood EMS resources are undergoing thorough industry testing.

Following this testing and incorporation of final amendments to the SEMS resources, the products will be released to the wider public through the SSA Seafood Bookshop. SSA has received a number of enquiries from both within and outside of the Seafood Industry for copies of the SEMS resources.

SSA will ensure that the products are subject to continual improvement over the coming years. This has been made possible through funding secured through the DAFF Pathways to Industry EMS program.

With support from the Pathways to Industry EMS Program, Seafood Services Australia held a National Seafood EMS Summit in Brisbane on 16 December 2003. Over 75 key stakeholders attended the workshop including seafood producers, seafood marketers and exporters, researchers, non government organisations (NGO's), investors, training organisations, certifying bodies, and standards agencies as well as representatives from governments (all states and territories).

The Summit provided a wealth of information to enable Seafood Services Australia Ltd (SSA) to develop a coordinated proposal for funding under the EMS Industry Pathways Program.

The Summit confirmed the vision for Seafood EMS as:

“EMS is regarded by all working in and supporting the seafood industry as the key to sustainable development of the industry”.

To achieve this vision the following key goals were agreed by Summit delegates.

- Nationally coordinate Seafood EMS initiatives so that learnings are extended throughout industry.
- Create a coordinated and supportive network of people who are skilled and can assist in achieving consistent and widespread adoption and documentation of Seafood EMS.
- Continue to improve communication and training to underpin adoption of Seafood EMS throughout the industry.

- Develop and implement a third-party certification system for Seafood EMS.
- Develop and implement a business support system to encourage stakeholder involvement in Seafood EMS, including assessing and demonstrating the associated benefits and costs.

Four key, interrelated pathways were identified to assist in achieving these goals. These are reflected in the current Seafood EMS Pathway project ie. Part 1 National EMS Development and Coordination and Part 2 Communication and Training.

The Seafood EMS Pathways Project key components are:

- National coordination of Seafood EMS initiatives to ensure consistency and efficiency in the rollout of EMS in the seafood industry.
- Communication and training to increase industry awareness and understanding of EMS, and to extend EMS resources and training programs nationally.
- Standards development and certification to provide an internationally recognised certification system that enable industry to demonstrate that it is meeting the requirements of customers, regulators, and the community.
- Business support and mentoring to help industry sectors and businesses meet the challenges associated with being early adopters of EMS.

The Seafood EMS Pathways project is the next logical step to the continuing extension and further development of the outputs from FRDC 2002/303.

## 9. Planned outcomes

Most of the outcomes listed below cannot be measured yet. There are early indications that changes are occurring in the Australian seafood industry that will be felt in years to come.

*(1) Improvement in the quality of the skills and knowledge base in the Australian seafood industry in relation to ecologically sustainable development, environmental and quality management systems, and environmental awareness generally.*

The development of the Seafood EMS Resources particularly the Self Assessment and Training Manual and the Seafood EMS Assessors Guide has given the industry an opportunity to get their skills and knowledge recognised against units of competency under the NSITP. The uptake by industry has been significant; the industry is beginning to be proactive in seeking training in EMS development. Under the EMS Pathways project, resources developed will continue to contribute to the improvement of industry's skills.

*(2) Success in the development and adoption of environmental management systems by the Australian seafood industry, enabling it to demonstrate improved environmental practices and performance and be internationally competitive.*

Between the commencement of the FRDC Green Chooser project FRDC 2000/146 in 2000 and the commencement of this project FRDC 2002/303 in 2002, approximately 25 industry groups involving hundreds of individual seafood businesses adopted, commenced or signalled an intention to commence the development and implementation of an EMS. Now in 2004 there are more than 50 groups who have adopted, commenced or signalled an intention to commence the development and implementation of an EMS.

It will be shown that in time, successful adoption of EMS's will provide improvements in environmental practices and performance and will strengthen the international competitiveness of the industry.

*(3) Significant cultural change within the industry whereby fishermen and aquaculturists view and consider issues relevant to their operations within the context of their contribution to ecologically sustainable development.*

The process of developing and implementing environmental management systems has already assisted some industry sectors to demonstrate and quantify impacts on and from their activities in the context of ESD. This trend is expected to continue as adoption of EMS spreads..

*(4) Increased industry participation in and ownership of the continual improvement of management and progress with respect to ESD objectives for relevant fishery and aquaculture sectors.*

The seafood industry has enormous ownership of the seafood EMS work completed under this project. Through their work on EMS, industry members are active participants in a range of initiatives designed to achieve ESD objectives including, for

example, membership on consultative committees dealing with regional and catchment area natural resource management issues.

*(5) Increased community and government confidence in the capability of seafood producers to develop and adopt environmental management systems, and the environmental responsibility of the seafood industry.*

The Australian and international community has a keen and increasing interest in making sure that our natural resources are used in a sustainable, responsible way. Significant pressure is now on industries and governments to demonstrate that they are meeting these expectations.

Through this project, industry sectors have had access to the tools and resources to enable them to develop robust EMS capable of demonstrating environmental performance through a range of mechanisms, including but not only through independent 3<sup>rd</sup> party certification. The rate and extent of development and adoption of EMS within the seafood industry is expected to continue to accelerate. The challenge will be to provide the underpinning framework to support it and ensure an appropriate incentive system exists.

## 10. Conclusion

It is important to build on successes and maintain momentum created through the activities undertaken during the project.

The collaborative approach utilised in the project has helped seafood industry groups to achieve consistency in their basic EMS documentation, by working with training organisations utilising resources developed under this project and the Seafood EMS CD Project funded by National FarmBis.

This project made significant progress in achieving the objectives set and in many ways achieved far more than was envisaged. Industry is now aware of the array of resources and information that is available to them when embarking on the EMS journey. This will only improve as some of the objectives and outcomes are realised from the EMS Pathways project which has been designed to improve the outputs and outcomes from past and current EMS initiatives.

This project has encouraged seafood businesses to assess their current profitability and sustainability and develop an EMS that ensures that their fishing and business practices are profitable and sustainable. The use and awareness of the Seafood EMS resources developed by SSA has been critical in achieving this outcome. The uptake by Registered Training Organisations of the resources has been paramount in extending the exposure of industry to the resources. EMS networks have also been created which will continue to share experiences during the development and implementation of an EMS.

Australia's reputation of "clean green" pristine waters together with the ever increasing global and domestic demand for seafood provide exciting opportunities for sustainable development of the seafood industry.

## 11. References

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- Developing environmental management standards for the Australian seafood industry 2000/146.
- ESD Reporting Framework - The 'How To' Guide for Wild Capture Fisheries.
- ESD Reporting framework – The 'How To' Guide for Aquaculture.
- FAO Code of Conduct for Responsible Fishing.
- Final report, Developing environmental management standards for the Australian seafood industry 2000/146.
- Final report Sustainable Seafood an Integrated Business Management Approach DAFF Project No. AAA387.
- Guidelines for the Ecologically Sustainable Management of Fisheries, and Accreditation Benchmarks for the Assessment of Fisheries under *Environment Protection and Biodiversity Conservation Act 1999*
- International environmental instruments – their effect on the fishing industry- Second Edition (Tsamenyi and McIlgorm, 1999).
- Seafood EMS Chooser (SSA 2002).
- Towards Sustainability (ANZECC, 1998)

## **Attachment 1 – Intellectual Property**

There are no issues relating to intellectual property.



## Attachment 2 - Staff

Name	Position	Period	Input
Ted Loveday	Managing Director, Seafood Services Australia	May 2002 – June 2004	Intellectual input to the resources, contracts management
Jayne Gallagher	Business Development Seafood Services Australia	May 2002 – June 2004	Intellectual input to the project  Ensured project remained on track
Adam Knapp	National EMS Co- Coordinator, Seafood Services Australia	May 2003 – June 2004	Responsible for the development of EMS resources including documentation, check lists, materials. Adam ensured that the project maintained links to other SSA EMS initiatives.
Anastasia Anderson	National EMS Co- Coordinator, Seafood Services Australia	April 2003 – May 2003	Responsible for the development of EMS resources including documentation, check lists, materials. Anastasia ensured that the project maintained links to other SSA EMS initiatives.
Karen Campbell	National EMS Co- Coordinator, Seafood Services Australia	May 2002 – January 2003	Responsible for the development of EMS resources including documentation, check lists, materials. Karen ensured that the project maintained links to other SSA EMS initiatives.

## **Attachment 3 – Agenda State EMS officers/ SeaNet and Industry Mentors training program**

### **SSA – OCEANWATCH: SEANET AND STATE EMS OFFICERS WORKSHOP (14-16 July 2004)**

#### **Background**

Seafood is Australia's fourth most valuable food-based primary industry — after beef, wheat and dairy products (ABARE<sup>1</sup>). The seafood industry produces seafood with a production value of \$2.5 billion annually. It is of vital importance to national and regional economies, is a major export earner, and employs more than 100,000 people in commercial fishing, aquaculture, seafood processing, wholesaling, export and retail, and in the supply of goods and services to the industry.

The seafood industry relies entirely on finite natural resources and healthy, productive fishery ecosystems. Increasing community concerns about the environment generally are resulting in more stringent environmental regulations. Natural resource based industries are being required to demonstrate that they are utilising our natural resources in a responsible and sustainable way.

Seafood, was the first industry in Australia to embrace the concept of 'sustainable development', and generally has a positive environmental record. The industry has campaigned heavily to protect the marine environment and is proactively managing its own impact on the environment.

Notwithstanding the positive initiatives and progress, more needs to be done. Fisheries are now required to meet ecologically sustainable development (ESD) criteria to maintain the right to export. Ecological assessments are also required for many fisheries under Federal and State regulations.

The industry is generally committed to continually improving its environmental performance and significant investments are being made in the development of improved fishing methods and initiatives to help industry sectors identify and adopt best practice.

*Towards Sustainability* (ANZECC, 1998) recommended that:

- Industry, governments and other organisations examine and monitor their environmental performance and set targets for improvement, through the broad adoption and implementation of environmental management systems (EMS)
- Industry associations develop model EMS to assist their members to adopt EMS
- States and Territories consider the innovative role EMS can play in assisting regulation.

#### **Workshop objectives:**

The workshop will be conducted with a high level of participant involvement and interaction to maximise targeted knowledge requirements. The objectives are:

- Strengthen existing links between SSA, Ocean Watch and SeaNet;
- Capacity building relating to presenting, media interactions and engaging seafood stakeholders in the delivery of EMS and SeaNet outcomes; and

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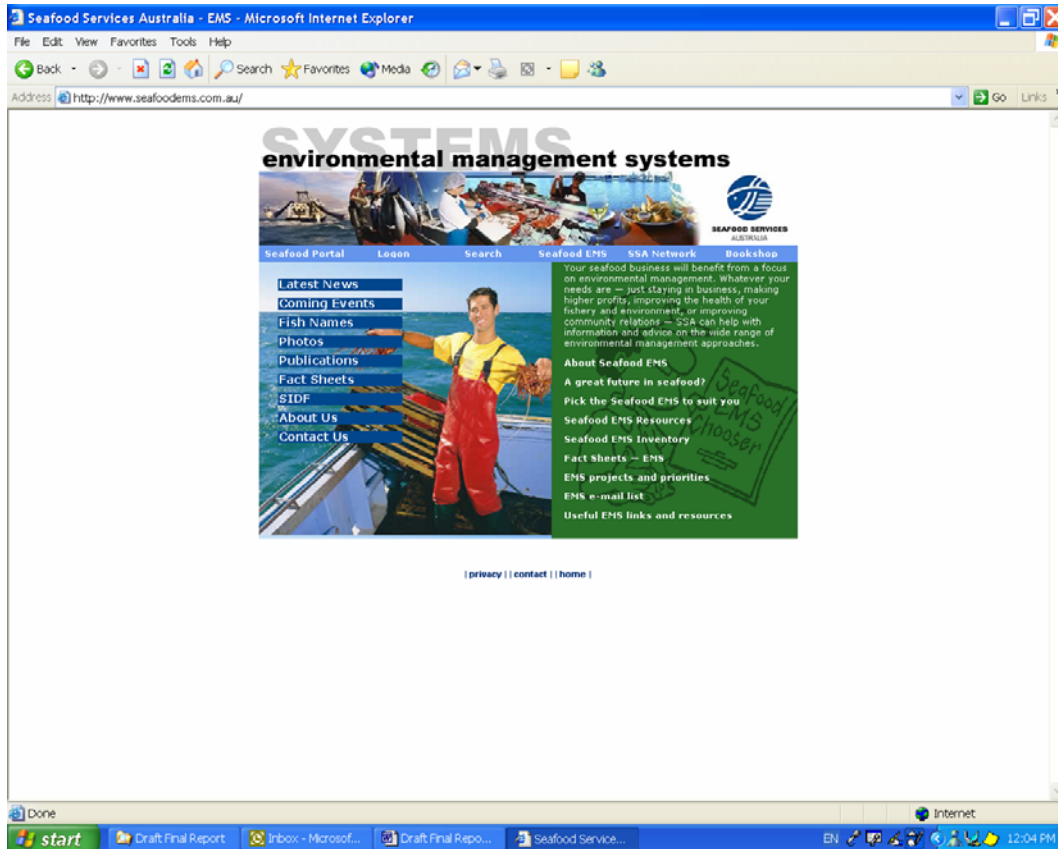
<sup>1</sup> *Australian Fisheries Statistics* (Australian Bureau of Agricultural Resource Economics, 2002)

- Provide a delivery mechanism for:
  - Discussion relating to on-ground, 'coal-face' implementation of relevant aspects of EMS and SeaNet extension work, supported by appropriate training and resources;
  - the information and skills development needs of persons engaged in facilitating the delivery of EMS and extension work in the seafood industry, addressed in a timely and effective manner; and
  - the provision of adequate training for EMS officers employed under the FRDC EMS initiative and SeaNet officers employed through NHT.

TIME	PROGRAM	FACILITATORS
	<b>DAY 1: Wednesday 14<sup>th</sup> July 2004</b>	
0900	Welcome and introduction	Ted Loveday, Anissa Lawrence, Emma Bradshaw
0910	Overview of SSA and EMS related programs, initiatives - introduction	Ted Loveday
0935	Overview of Ocean Watch	Anissa Lawrence
0945	Overview of SeaNet and involvement in EMS activities	Emma Bradshaw
0955	Briefing by SeaNet Officers and EMS officers about their EMS project involvement (~5 minutes each)	Facilitated by Emma Bradshaw All SN & EMS participants to input
<b>1045</b>	<b>Morning tea</b>	
1110	Seafood EMS Tools & Resources a run down	Ted Loveday
1140	Update from AFMA/DAAF/DEH – happenings and developments	Confirmed
<b>1240</b>	<b>Lunch</b>	
1310	Key Challenges & Issues (4 * 10 minute talks)	DB, CH, KW, SM
1430	Extension and facilitation - What are the Gaps?	Mixed groups
<b>1510</b>	<b>Afternoon tea</b>	
1530	Extension and facilitation - What are the Gaps? -Continued	Mixed groups
<b>1700</b>	<b>End of proceedings for day 1</b>	
1800	Drinks with Nicole Middleton's NRM group and Workshop Attendees	
1900	Workshop dinner (venue to be confirmed)	
	<b>DAY 2: Thursday 15<sup>th</sup> July 2004</b>	
0900	Extension and facilitation – Theory <ul style="list-style-type: none"> <li>• Extension/ facilitation theory - understanding what extension and facilitation really is a framework for designing programs.</li> <li>• Applying this to the context of SeaNet /EMS activities in each of the states.</li> </ul>	Derek Foster
	Extension and facilitation - Addressing the gaps <ul style="list-style-type: none"> <li>• How to motivate and encourage fishers to be involved</li> <li>• How to get fishers to promote their initiatives</li> <li>• How to get fishers to work as a team</li> <li>• How to manage the knockers (including in meetings)</li> <li>• Ensuring everyone has the opportunity to have their views heard</li> </ul>	Derek Foster/ Mixed groups
<b>1030</b>	<b>Morning tea</b>	
1100	Continuation of session one	Derek Foster/ Mixed groups

<b>TIME</b>	<b>PROGRAM</b>	<b>FACILITATORS</b>
<b>1200</b>	<b>Lunch</b>	
1300	<ul style="list-style-type: none"> <li>• Session Two: Techniques for extension/ facilitation. The role of industry champions</li> <li>• How to deliver technical information in a simple, easily digested format.</li> <li>• Resources available</li> <li>• Working with govt. agencies in providing industry information and perspectives (the meeting of top down and bottom up)</li> <li>• Guidance in the development and implementation of environmental monitoring programs targeted and performance audits</li> <li>• Audit review of current codes or plans and the morphing of these documents into EMS.</li> </ul>	Derek Foster/ Mixed groups
<b>1530</b>	<b>Afternoon tea</b>	
1600	Continuation of session two	Derek Foster/ Mixed groups
<b>1700</b>	<b>End of proceedings for Day 2</b>	
	<b>DAY 3: Friday 16 July 2004</b>	
0900	Media/presentation skills <ul style="list-style-type: none"> <li>• Preparation, preparation, preparation</li> <li>• Discussion of current issues for use as working examples</li> <li>• How to sell a story - getting the media interested</li> <li>• How to deal with media &amp; radio - Practical exercises and role plays in media interviews/ presentations</li> <li>• Write a presentation and present</li> <li>• Tips to writing a press release</li> </ul>	Martin Bowman
<b>1030</b>	<b>Morning tea</b>	
1100	Media training cont:	Martin Bowman
<b>1230</b>	<b>Lunch</b>	
1300	Media training cont:	Martin Bowman
1500	<b>Wrap up – bringing it all together</b>	Ted Loveday/ Anissa Lawrence/Emma Bradshaw
<b>1530</b>	<b>Finish</b>	

## Attachment 4 - Seafood EMS Website



## Attachment 5 - Seafood EMS Inventory

# SEAFOODportal

welcome to **SEAFOOD**services.net

[SSA Home](#)[Logon](#)[Search](#)[Seafood EMS](#)[SSA Network](#)[Bookshop](#)

[Home](#) > [Back](#) > [Industry Development](#) > [2. EMS](#) > [Seafood EMS Inventory](#)

**[ABOUT THE SEAFOOD EMS INVENTORY](#)** - The Seafood EMS Inventory includes links to seafood industry organisations developing an EMS. If you are developing an EMS, list it on the inventory to help promote your achievements. Look at other Seafood EMS Plans for ideas that may work for you.

**URL:** <http://www.seafoodservices.net/browse.php?viewCat=146>

**[ASIC Code of Conduct for Responsible Fishing](#)** - The Code will have general application to the whole of the seafood industry covering the wild-catch fishing sector, aquaculture and processors and marketers of seafood and seafood products. Specific fisheries or regional groups may develop more focussed Codes tailored to their own circumstances consistent with these general principles. The Code is voluntary, except in so far as parts of the Code are given binding legal effect by legislation.

The Australian Seafood Industry Council may revise the Code from time to time, taking into account developments in the seafood industry and its environment.

**URL:** <http://www.seafoodservices.com.au/files/asiccode.pdf>

**[Code of Practice for the Western Tuna and Billfish Fishery](#)** - Ocean Watch Australia Ltd and the SeaNet environmental extension service have developed an Industry Code of Practice for the Southern and Western Tuna and Billfish Fishery (SWTBF) in conjunction with the Western Australian Pelagic Longline Association (WAPLA). A species identification and handling guide has also been produced to accompany the Code. It is a formal response to the requirements placed on industry in both the By-catch Action Plan (BAP), and the Threat Abatement Plan (TAP) for seabirds. The Code of Practice sets out the principles and standards of behaviour for responsible fishing in the SWTBF. It is a demonstration of this fishery's long term commitment to ensuring the SWTBF is fished in a sustainable manner.

**URL:** [http://www.oceanwatch.org.au/SN\\_350.asp?intID\\_GD=183](http://www.oceanwatch.org.au/SN_350.asp?intID_GD=183)

**[East Coast Tuna Boat Owners' Association - Code of Practice](#)** - The East Coast Tuna Boat Owners' Association (ECTBOA) joined with environmental group Oceanwatch and its SEANET program to further development of the Industry's Code Of Conduct, which will see a self-regulatory approach developed by the industry in association with the Australian Fisheries Management Authority. It will assist in the implementation of plans like the By-catch Action Plan and the Threat Abatement Plan for the Incidental Capture of Seabirds.

**URL:** <http://www.tuna-ectboa.com/html/conduct.html>

**[Eco-Vision 2020](#)** - Eco-Vision 2020 is the environmental management plan of the Bribie Commercial Fishers' Association (BCFA), whose members operate in a 200 year old commercial net fishery at Bribie Island just north of Brisbane. BCFA members acknowledge that the community and government expect licensed fishers to exercise world's best practice in harvesting seafood. Eco-Vision 2020 reflects their commitment to ensuring seafood can be harvested indefinitely as the ultimate renewable resource.

**URL:** <http://www.2020ecovision.com>

**[Ecofish](#)** - Given the public demand for environmental accountability, there are few in the fishing industry not voluntarily pursuing new practices. Rather than rely on legislators to dictate the future of environmental management, we intend to take a pro-active approach and are working to establish sustainable Environmental Management Systems (EMS) for our fisheries. Our local fishing industry is in a leading position to shape the environmental management of fisheries for the next century. We are grasping this chance now and are working to establish EMSs to a level that have only been developed in a few fisheries across the globe.

**URL:** <http://www.ecofish.com.au/sustainable.htm>

**[GULF OF CARPENTARIA COMMERCIAL FISHERMEN ASSOCIATION - EMP](#)** - ENVIRONMENT MANAGEMENT PLAN FOR THE GULF OF CARPENTARIA COMMERCIAL FISHERMEN ASSOCIATION INC

Our Vision for the future is:

"A VIABLE SUSTAINABLE COMMERCIAL GULF FISHERY, RESPECTED BY ALL PEOPLE."

**URL:** [http://www.seafoodservices.com.au/files/goc\\_emp.pdf](http://www.seafoodservices.com.au/files/goc_emp.pdf)

**[Hawkesbury Trawl Environmental Action Plan](#)** - Trawl operators of the Hawkesbury River acknowledge that they have a duty of care to protect the fish resources and environment of the Hawkesbury River. In 2001 they united to form the Hawkesbury Trawl Association (HTA) in pursuit of the following common goals: Ensure the viability of the fishing industry; Protect the Hawkesbury River ecosystem; Gain the support of the community; Secure the future of fishing for all stakeholders; Have industry representation in decision making for the future.

The HTA Environmental Action Plan reflects the commitment of HTA members to a course of actions aimed at achieving these goals.

**URL:** <http://www.hawktrawl.net/>

**[Marine Debris: Responsible Action from Tasmanian Fishermen](#)** - What do Tassie fishermen do on the remote south west coast when far from home and pots and nets have been pulled and reset, the sun is shining and sea conditions are reasonable? Many go ashore to do their bit

for the marine environment. They walk the beaches and inlets collecting rubbish from the rocks and shoreline so that it can be properly disposed of when they return to port. These unsung environmental champions have been doing this for years without any trumpet fanfare or pat on the back - it just seems to them to be the right thing to do.

**URL:** [http://www.tfic.com.au/marine\\_debris.html](http://www.tfic.com.au/marine_debris.html)

[Suggest new link](#)  
[portal category suggestions](#)

## **Attachment 6 – 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

Second edition

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

[www.seafoodems.com.au](http://www.seafoodems.com.au)



**SEAFOOD SERVICES**  
AUSTRALIA



A CATALYST FOR SUSTAINABLE DEVELOPMENT OF THE SEAFOOD INDUSTRY





**SEAFOOD SERVICES**  
AUSTRALIA

This publication was developed by Seafood Services Australia Ltd and Ocean Watch Australia Ltd 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



  
**Australian Government**  
Fisheries Research and  
Development Corporation



  
**Australian Government**  
Department of Agriculture,  
Fisheries and Forestry

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

— Charles Darwin

# Seafood EMS — your key to future security!

Our industry's future, and access to the natural resources used by fisheries and aquaculture, will depend increasingly on our capacity to *demonstrate* that we are utilising these resources in a sustainable, responsible way.

More and more seafood industry businesses and organisations are setting up environmental management systems (EMSs) to improve — and demonstrate — good environmental performance. In the process, they are increasing their profits and improving their relations with the community.

An EMS can help you to gain access to the latest and best knowledge, to be innovative, and to reap the benefits of adopting the best and most efficient industry practices. Fisheries and aquaculture enterprises that want to achieve greater self-management can also use their EMS to demonstrate a standard of achievement that meets the needs of regulators within a self-managed system.

The *Seafood EMS Chooser* is the first step in deciding on what should be in your EMS. It provides you with an overview of what's involved, without going into too much detail. When you have the big picture, it's time to move on to the Seafood EMS Resources — manuals, a CD-ROM and a website — which will take you through step-by-step.

Your EMS won't be based on a "one size fits all" model — the *Seafood EMS Chooser* outlines the various choices you will make to meet your goals and tailor your EMS to your unique, day-to-day business activities. Similarly, your journey along the EMS path will be far from lonely — people who have already implemented EMSs are keen to pass on their experience, and industry trainers can help you to quickly acquire EMS skills and access government training assistance.

Seafood Services Australia is continually capturing the vast knowledge gained by the pioneers of EMS in our industry. Be assured — the Seafood EMS Resources are based on solid, practical experience. Our sincere thanks go to these many people who have shared their experiences and ideas with us.

Seafood Services Australia especially appreciates the funding it has received from the Australian Government, through the Department of Agriculture, Fisheries and Forestry and the Fisheries Research and Development Corporation, which has helped to make the Seafood EMS Resources a reality.



Russell Reichelt  
Chairman  
Seafood Services Australia

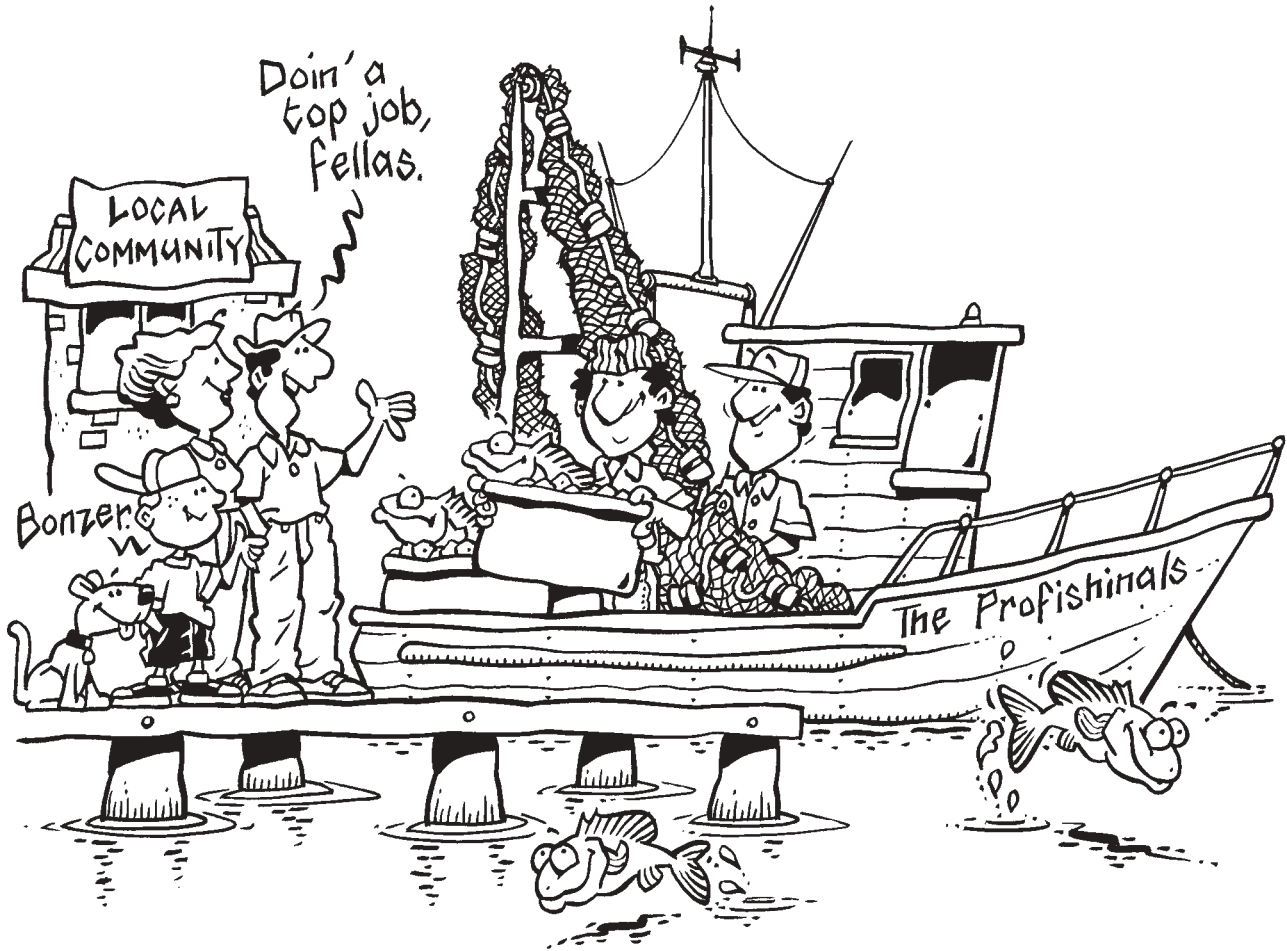


Patrick Hone  
Executive Director  
Fisheries Research and  
Development Corporation



Russ Neal  
Chief Executive Officer  
Australian Seafood  
Industry Council





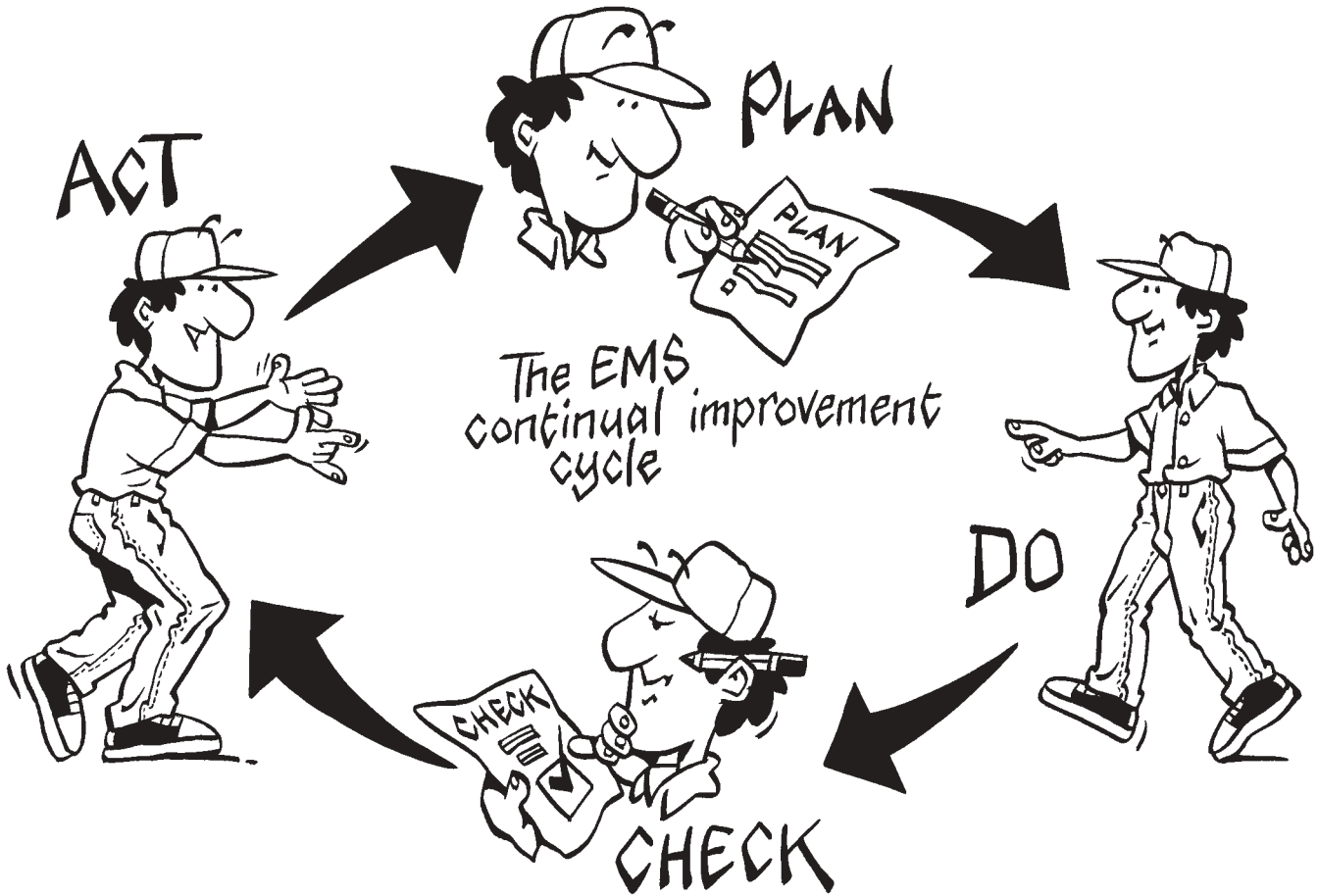
*Improve your  
environmental performance —  
and demonstrate it!*

# 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, sustainable way.
- Gain community support — good environmental performance is the key.
- Gain a competitive advantage through best environmental practice — and help to secure market access.
- Gain a reputation as a responsible operator — have more influence in debates about your industry.
- Demonstrate compliance with relevant laws.
- Increase safety and morale — fewer accidents are their own reward and can reduce insurance rates.

---

In this book and other Seafood EMS Resources, the term “environment” is used in its fullest sense. It refers to all the surroundings in which we operate — air; water; soil; land; natural resources; flora; fauna; and humans and their interactions, including economic, social and ecological interactions.



*It's essential to design your EMS to suit your own goals and priorities — then continually improve on what you achieve*

# What is an EMS?

An environmental management system (EMS) puts in place a continual process of planning, implementing, reviewing and improving the actions that an organisation undertakes to manage its risks and opportunities relating to:

- the environment
- food safety and quality
- occupational health and safety
- profitability
- public relations
- other aspects of the organisation.

The great thing about an EMS is that you can design it to suit your own circumstances and priorities. 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 other aspects of a business.

## **An EMS may cover:**

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

## **An EMS may be:**

- as simple as a code of best practice supported by a clear plan for implementation and compliance, or
- as comprehensive as a third-party certified system complying with international standards such as ISO\* 14000 or the Marine Stewardship Council certification scheme.

## **Key aspects of an EMS are:**

- a vision for the future and a clear plan of action for achieving that vision
- capacity in your organisation to implement the action plan and to monitor progress
- capacity to demonstrate continual environmental and other improvements.

---

\* ISO is the International Organization for Standardization, which has developed internationally accepted standards for quality management (ISO 9000 series) and environmental management (ISO 14000 series).

# 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:

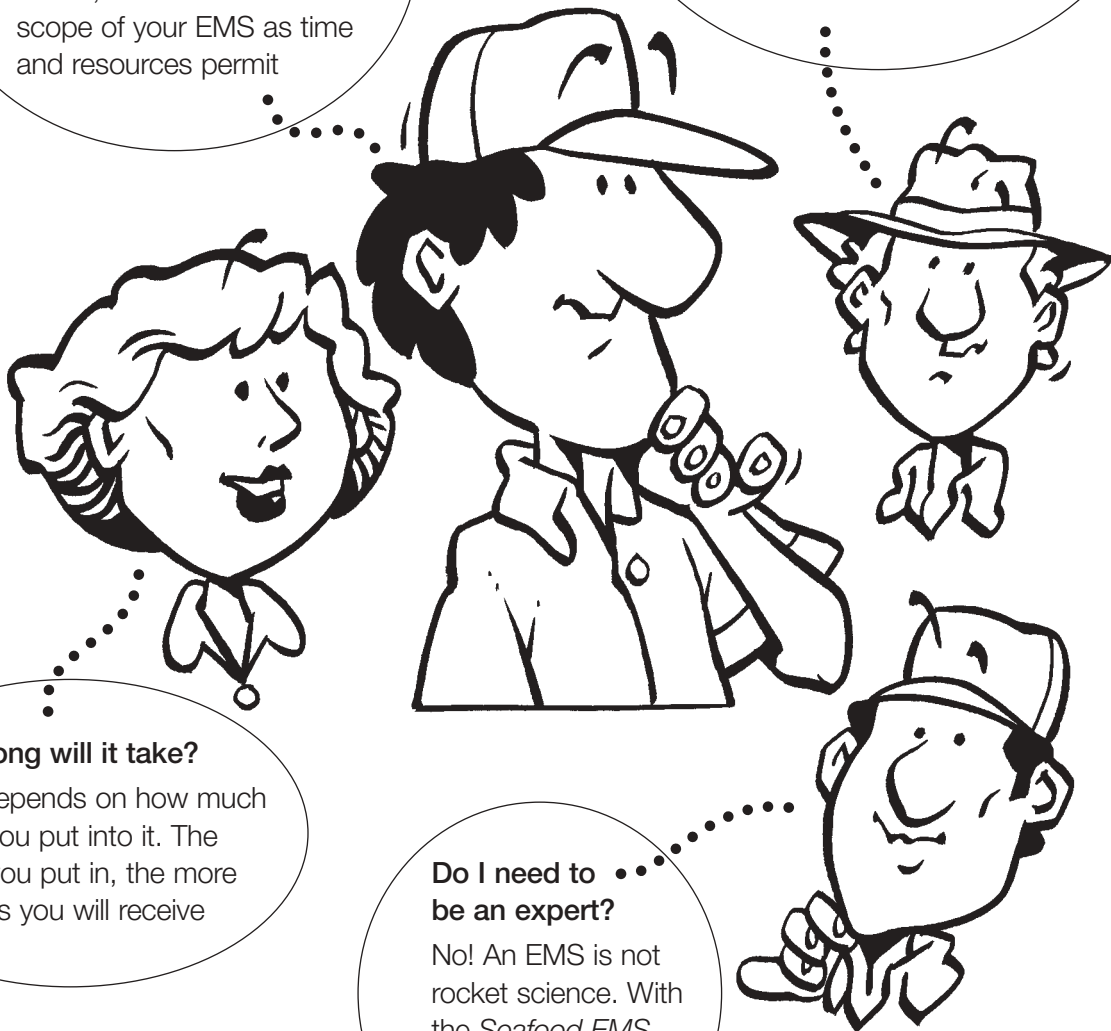
- increase business security
- improve efficiency
- increase profits
- reduce environmental impacts
- improve community relations

## 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!



# Definitions and jargon

Don't get bogged down in jargon — you have more important things to focus on!

SSA's Seafood EMS Resources simplify and demystify the EMS process so it can be picked up and used by the seafood industry with a minimum of fuss. The strongest of all messages from the industry EMS case studies involved in the development of the Seafood EMS Chooser was: "keep it simple".

In line with this, we have standardised the terms used in the Seafood EMS and have kept away from complicated or confusing management jargon as much as possible.

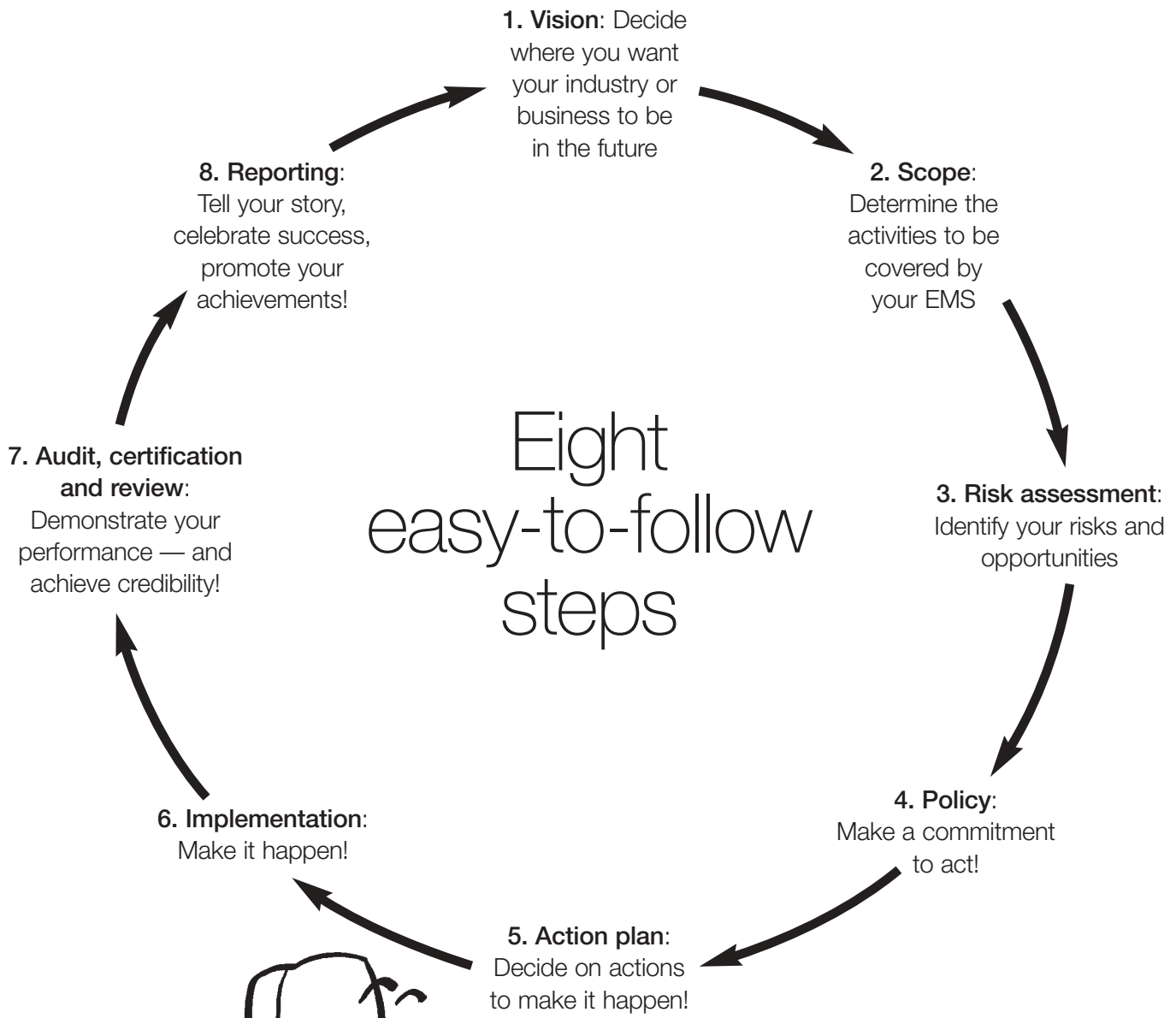
As the Seafood EMS continually improves, we'll further refine the terminology, but always in the interests of keeping it as clear and concise as possible.

For the moment, we *strongly recommend* that you stick with the terms used in the Seafood EMS model so that everyone can understand exactly what you mean.

Now you can spend your valuable time focusing on achieving results!



# Seafood EMS



# The eight Seafood EMS steps



To set up your own Seafood EMS, you need to follow the eight Seafood EMS Steps shown opposite. Study the diagram now, to understand the sequence of the steps before we move on to each in turn.

## Working through the steps — key points to remember

---

This section is an outline of what's involved in each of the eight Seafood EMS steps. Don't be concerned if they seem complex — the Seafood EMS Resources, outlined on page 28, will take you through the process step-by-step. Just absorb the general ideas when you look at the steps. After that, we'll show you how to get started.

---

When you get down to the business of doing your EMS, the Seafood EMS Self-assessment and Training Manual provides detailed advice, instructions, worksheets, examples and ideas, exercises and self-assessments to help you to develop and implement an EMS that meets your needs.

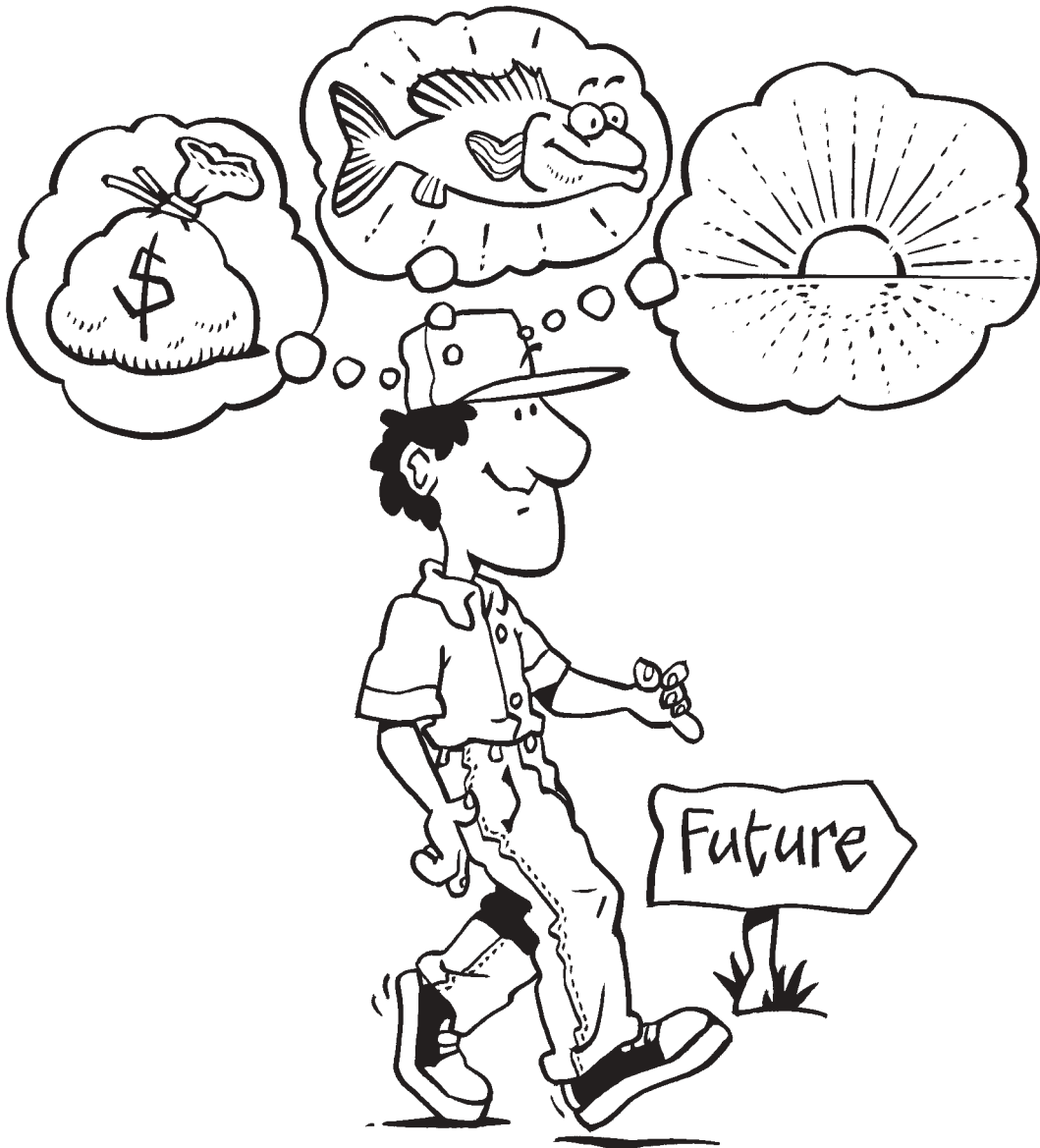
Some key points to remember as you work through this process are:

- 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 a normal part of the process
- follow the instructions, read the helpful hints, look at the ideas and examples
- use the checklists and worksheets in the Seafood EMS Resources to develop your EMS and to record the outcomes from each step — this information will help to form your EMS plan.

*The sequence and content of the eight Seafood EMS steps results from intensive consultation with seafood industry people who have been developing EMSs. We're grateful for their help!*



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



## Step 1. Vision: Decide where you want your industry or business to be in the future

**Your vision is a concise statement describing what you want your industry and business to look like in the future.**

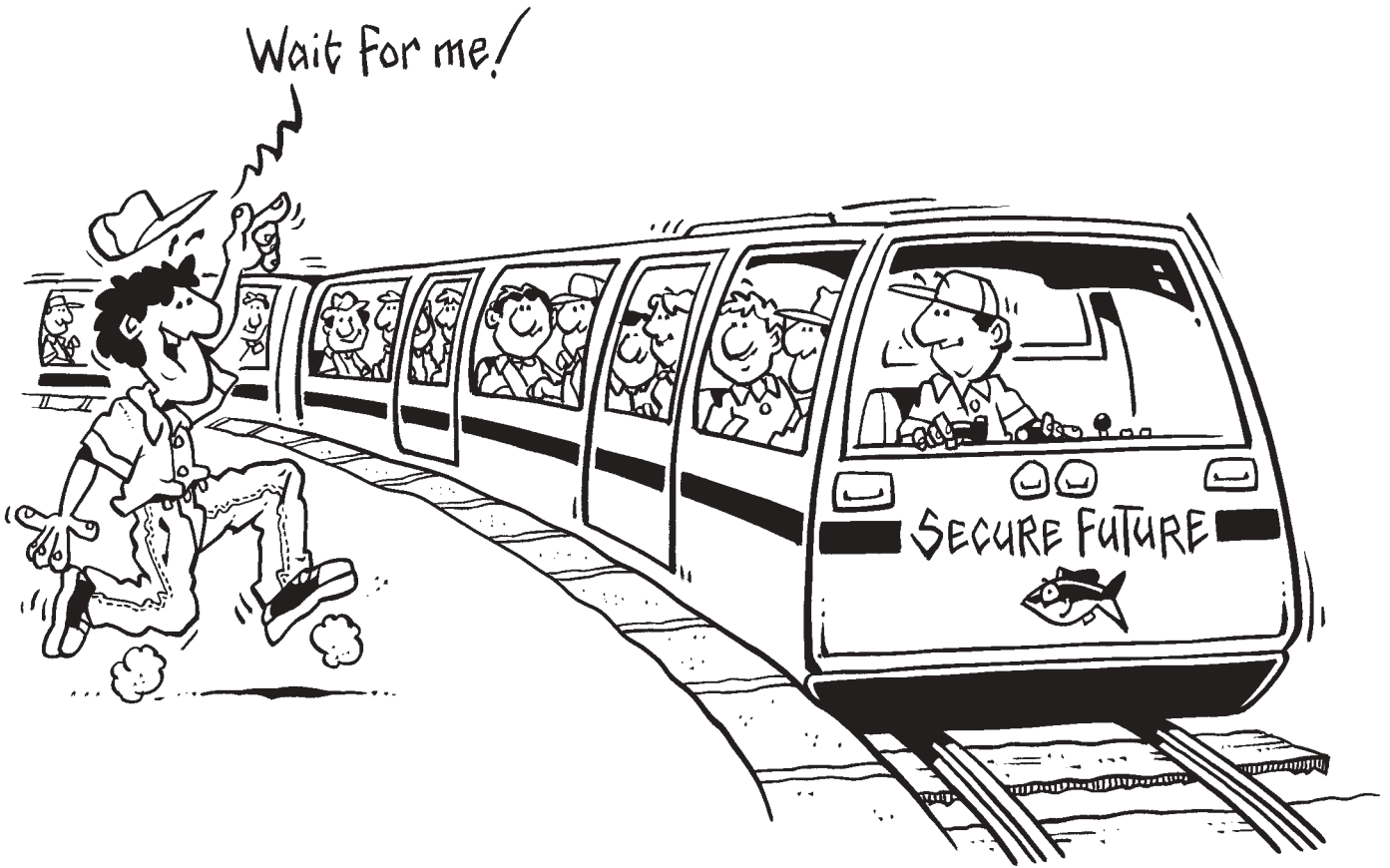
Your vision is an extremely powerful point of focus. In fact it's more than that — it's a tool, an over-arching “signpost” to achieving collective action from members of your group. A shared vision for the future gives you a solid base to achieve cooperation on many issues, and to work through complex or 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. It will help you to work out the **activities** your EMS needs to cover, **who** will need to come on your EMS journey, and **how** you will reach your destination.

### Helpful hints

- before you can agree on a vision, you need to define who you are as a group — if you don't have an established organisation, agree on a name that describes your group
- the best vision statements are brief and concise — 20 words or less is best — if it has to be longer, use dot points to divide it into manageable “bites”
- describe **what** you want your industry to look like in 5 to 10 years' time
- think more broadly than the physical environment (e.g. economic and social aspects)
- step back from today's challenges — think about the key characteristics of your future industry or business (e.g. profitable, secure resource access, public support, etc)
- avoid getting into any detail of **how** you will achieve your vision — that comes later
- don't get hung up on perfecting your vision statement the first time around — there will be plenty of opportunities to fine-tune it later
- keep it simple — for others to share your vision, they need to understand it
- make your vision credible — and reasonably achievable in the timeframe
- remember this is *your* vision — you need to be happy with it
- circulate your draft vision to people who were unable to be involved in developing it — they will be more likely to share “ownership”
- your vision is a great tool for positive promotion — include it in reports and on brochures to help others to understand your commitment to a sustainable, prosperous future
- check out the examples in the Seafood EMS Resources.

*If members of your organisation, business, fishery or aquaculture sector are actively looking for ways to improve the future, they will gain a powerful advantage over organisations that are not.*



*Determine the activities to be covered;  
consider who else needs to be involved*

## Step 2. Scope: Determine the activities to be covered by your EMS

**Your scope describes the sector, operations and activities to be covered by your EMS, and helps you to define the people who need to be involved.**

Under the Seafood EMS model, your scope will describe the industry sector and jurisdiction; fishery or aquaculture operations; area of operations; species; and fishing or aquaculture methods.

Be careful not to include activities that members of your group do not have any control over. The success of your EMS is dependent on being able to demonstrate that risks and opportunities associated with your activities are addressed.

However, you may decide later to take actions aimed at *influencing* other activities that impact on your industry or business. For example, you may decide to lobby for changes to land-based activities to reduce their downstream environmental impacts on your fishery.

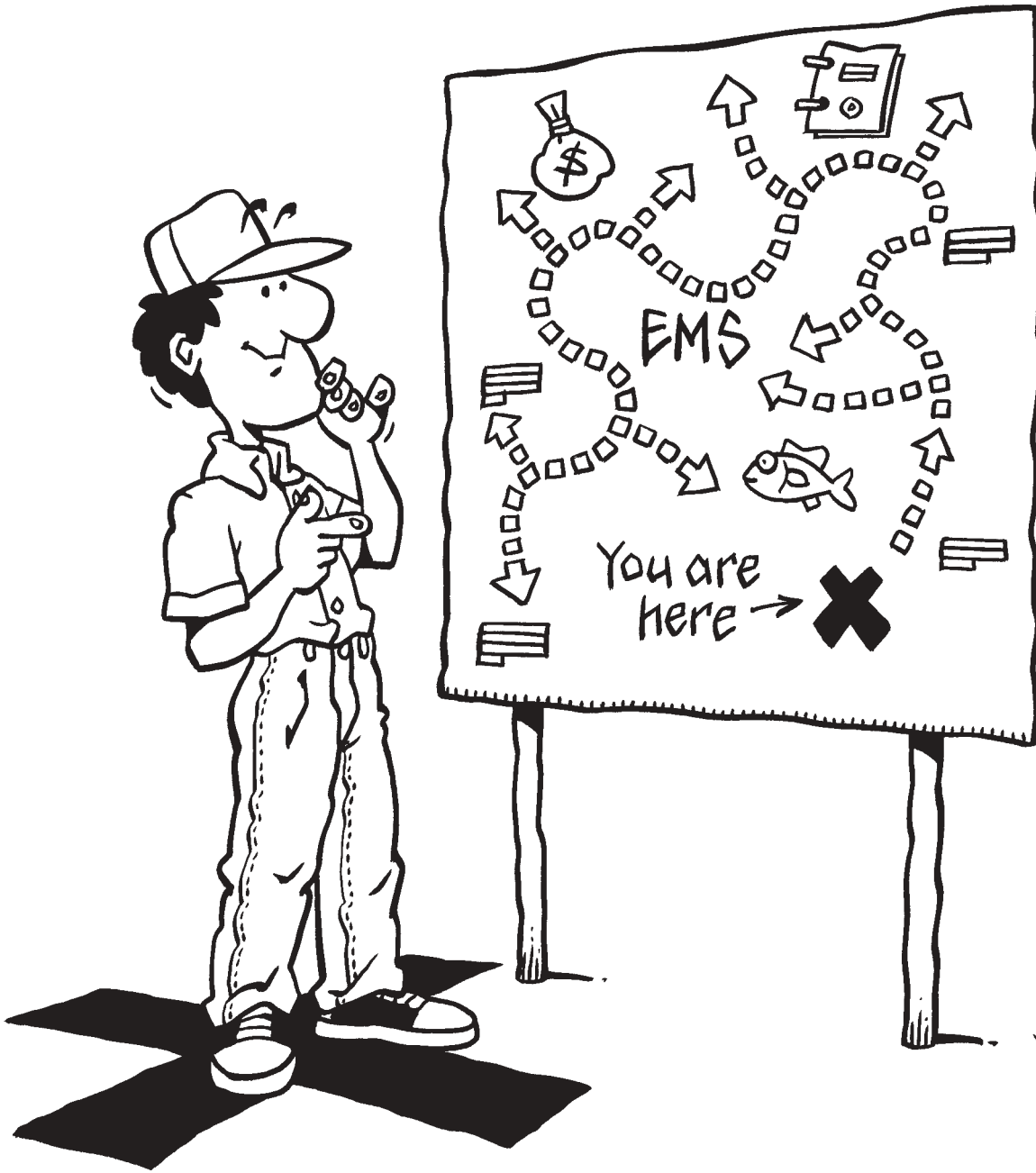
### Helpful hints

- be concise — avoid confusion about what your EMS covers and what it does not
- cover only the industry sector, activities, species and areas that are relevant to your members' operations
- don't confuse your scope with your priorities — your EMS should cover **all** of your operations with potential environmental impacts, even if you decide to address only high-priority issues for now
- you need a core group of people who are keen to “make it happen”, so get them involved early in the process to make sure they understand what you are doing — others will come on board when they see the EMS taking shape
- visit the Seafood EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au)) for some good examples — modify them to suit your situation
- briefly revisit your vision to ensure it is consistent with your scope
- start discussion on your EMS management structure — this will be formalised later.

The *Seafood EMS Chooser* you are now reading gives a broad-brush picture of what an EMS involves. To develop and implement your own EMS, you need more comprehensive information. You'll find it in the *Seafood EMS Self-assessment and Training Manual*, available from:

[www.seafoodbookshop.com.au](http://www.seafoodbookshop.com.au)

If you choose, you can have your skills and knowledge recognised against EMS units of competency under the National Seafood Industry Training Package. More information is in the *Seafood EMS Self-assessment and Training Manual*.



## *Identify your risks and opportunities!*

*People who go on the EMS journey often find that risks and threats are opportunities in disguise. Your risk assessment should also be an assessment of your opportunities!*

## Step 3. Risk assessment: Identify your risks and opportunities

**Your risk assessment helps you to identify the internal and external risks to your industry or business, and to decide which risks need preventative actions.**

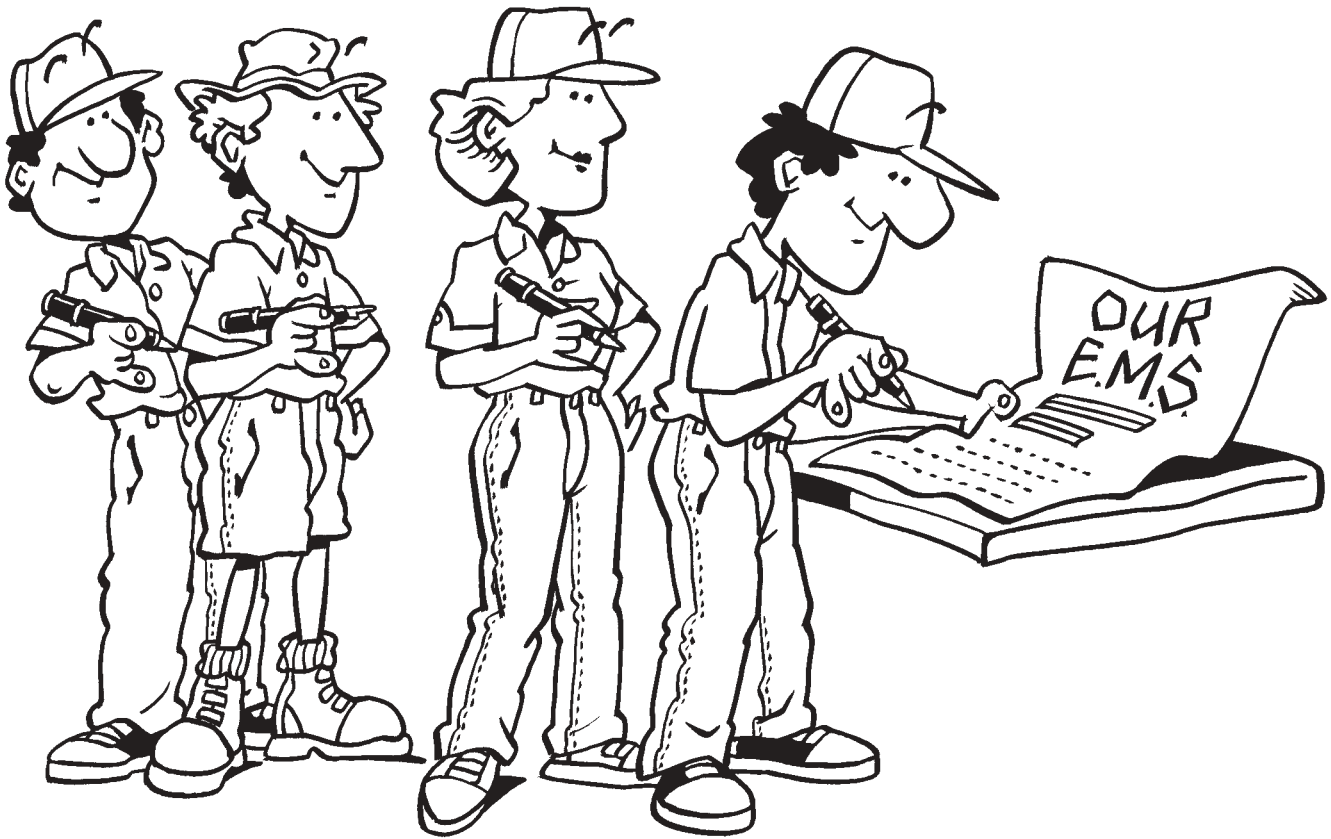
Risks to your industry or business may relate to the environment, food safety, OH&S, profitability or public relations. *Internal risks* are those arising as a consequence of your operations and activities. *External risks* are those arising from other people's activities, or from natural events such as extreme weather conditions.

By planning to manage your risks, you can put counter-measures in place to help offset negative impacts before they materialise. You can also capitalise on opportunities that may otherwise pass you by. However, to do this you need to know what those risks are and the level of risk they may pose. Then you need to decide which risks require corrective actions.

Risk assessment can help you to achieve more effective business planning, better cost control, higher efficiency, enhanced public perception of your industry, adoption of improved practices, more efficient utilisation of resources, and a stronger culture of continual improvement.

### Helpful hints

- this step is all 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)
- list as many of your activities as possible — then, work through each activity and identify the associated risks (these are internal risks)
- then move on to external risks — those associated with other people's activities
- decide which risks need corrective action, taking into account current arrangements
- don't get bogged down by considering what action to take — you'll decide that later
- consider the public's perception of your industry, and your image in the media
- think more broadly than the physical environment — consider economic and social aspects
- put all issues on the table — experience shows that sweeping any under the carpet will "cost you" in the long term
- remind yourselves of your common vision if the going seems tough
- identify the things you are doing well, and build on these strengths
- scan the horizon for future opportunities to forge a more secure industry
- identify many "good news" stories that can be used later to promote your EMS plan and your industry and business
- in this and the other Seafood EMS steps, remember that the Seafood EMS Resources, outlined on page 28, will take you through the processes step-by-step — for now, just absorb the general ideas when you look at these steps.



*Make a commitment to act!*

## Step 4. Policy: Make a commitment to act!

**Your policy is a commitment to manage your environmental and other risks.**

Your policy statement reflects your commitment to decide on and implement actions aimed at reducing or eliminating risks and capitalising on opportunities. It provides a framework to focus the efforts of your organisation on closing the gap between where you want to be in the future (step 1) and where you are now (step 3).

You also need to give your EMS some “legs”. Identify your industry champions, and lend them support. 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

- 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
- think of what you **want** to achieve — not just what you **think** you can achieve
- keep your policy brief and concise, so everyone understands it
- word your policy statement in terms that are clear and measurable, so that they can be specifically addressed in your action plan
- commit to addressing the impacts and opportunities identified in step 3
- make your commitments **reasonably achievable** — over-commitment may result in a loss of credibility
- don’t commit to changing activities that you have no control over — although you may decide to commit to influencing those activities
- road-test your policy statement with some friendly, objective, **external** interest groups before launching it — and address any legitimate concerns they raise
- consult as many industry members as possible to ensure they understand your policy, have some “ownership” over it, and have commitment to subsequent actions
- make every effort to accommodate the legitimate views or concerns of stakeholders
- ensure everyone in your group signs on to your policy statement
- briefly re-visit your vision and scope to make sure they remain compatible with your policy
- make the launch of your policy an opportunity for positive publicity — to demonstrate your environmental commitment to the public
- decide on an appropriate EMS management structure and the membership and role of your EMS management team
- decide on an organisation (existing or new) to take carriage of your EMS
- look for one or more leaders or champions in every group — the challenge is often to identify them and then to encourage them to take on a more formal leadership role, in this case to champion the EMS in the industry and community.





*Decide on actions to make it happen!*

## Step 5. Action plan: Decide on actions to make it happen!

**Your action plan defines the goals you are aiming to achieve in addressing each priority risk; the actions to be taken to achieve those goals; who is responsible; and a deadline for each action.**

Your action plan is your blueprint for the future. Already you will have done a lot of the work required. This step consolidates on that work to create a cohesive action plan with clear goals and allocations of responsibility.

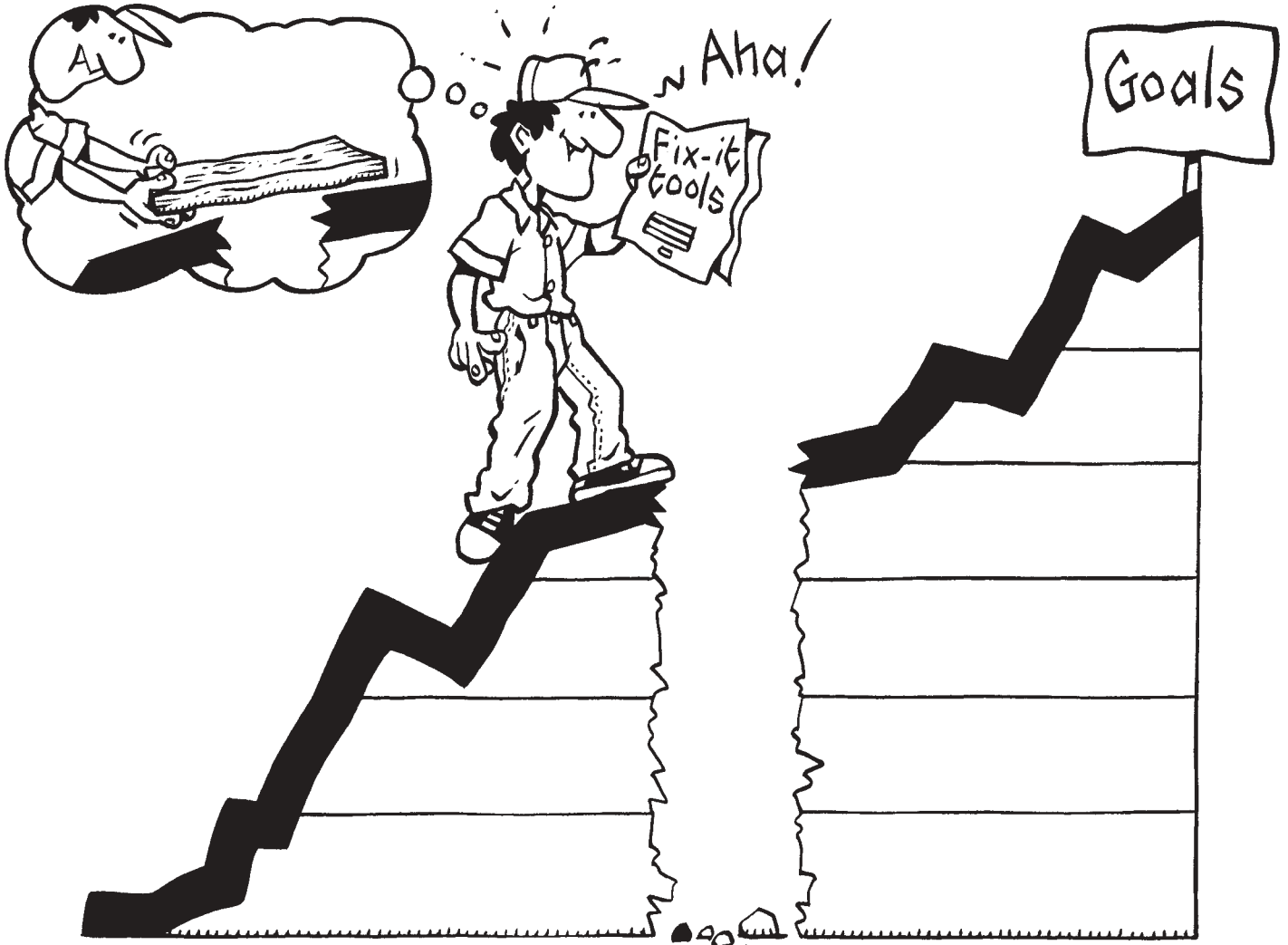
### Helpful hints

- involve everyone in your group — make sure they understand what is happening and inspire others to come on board
- look at codes of practice and ideas used by others to tackle similar issues
- set realistic and achievable goals, actions and completion dates — match these with your available resources
- utilise each individual's strengths — then work out how to acquire the missing skills the group needs
- develop a communication strategy and a training plan
- address high-priority issues first, then medium-priority as resources permit
- decide on actions to address each high-priority issue and nominate someone to be responsible for making it happen, even if several people are involved in doing it
- 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.

If you're reading this for the first time, you may be wondering about how complex the eight EMS steps are going to be. Don't worry — you aren't the first to ask that question.

In practice, the Seafood EMS Resources make the process easy to follow, guiding you step-by-step. Your EMS plan will be prepared over time, and isn't all that difficult. As you go on, you'll find everyone becoming more and more enthusiastic as they see more of the potential benefits.

Here's the ultimate indicator: **we haven't come across anyone yet who has successfully followed the EMS process and regretted it!**



*Do it and check it. Know what works  
and fix what doesn't!*

## Step 6. Implementation: Make it happen!

**In this step you will implement your action plan, and monitor and refine your actions to ensure you are achieving the outcomes you want.**

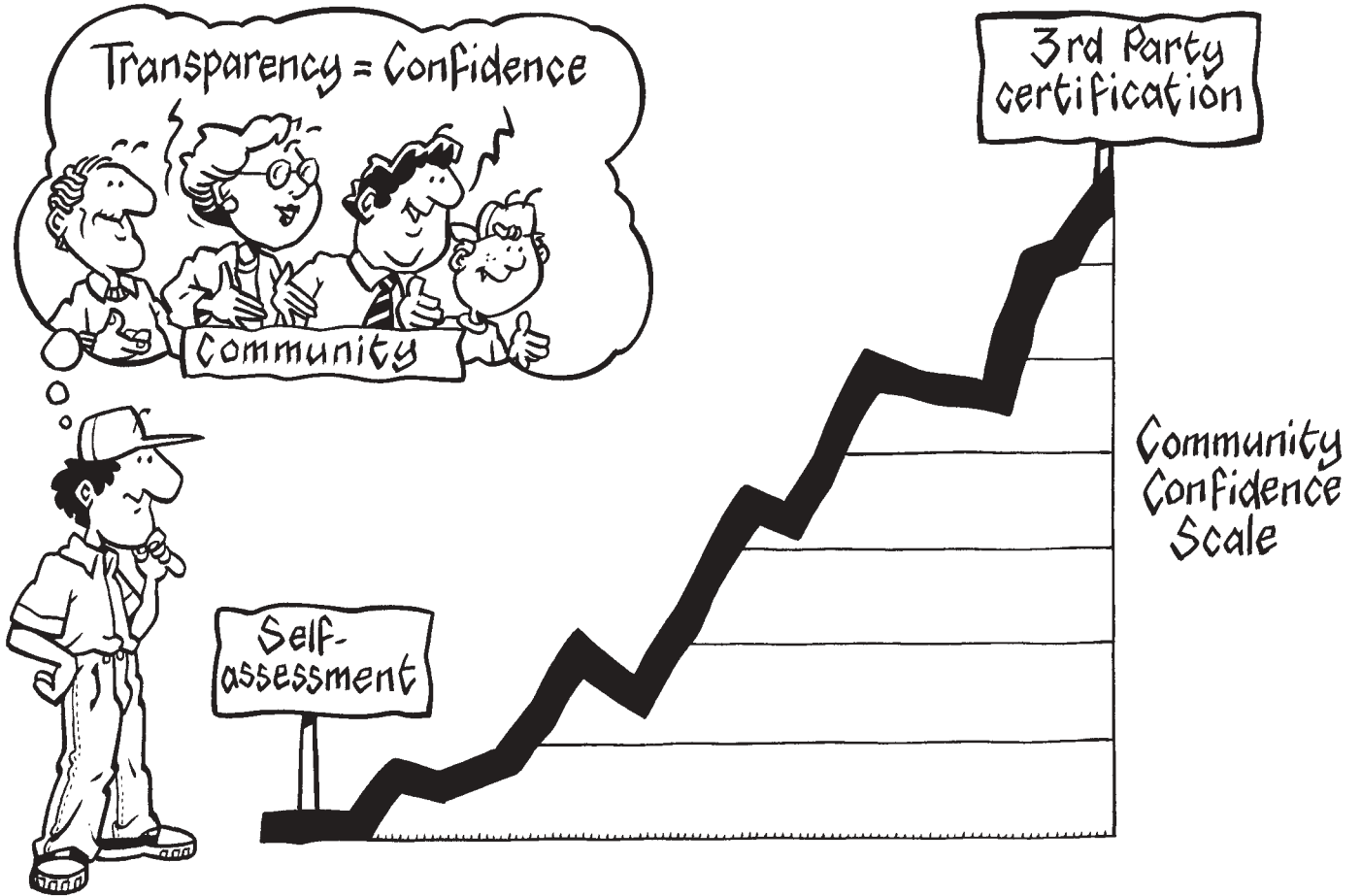
The previous five steps have covered planning where you want to be and how you will get there. You now start on the “doing” stage of your EMS.

By now you know what you have to do, and you know how you intend to do it. Next you need to put all of these plans into action. This requires your organisation to develop or acquire the capabilities to implement your EMS action plan. You will need a communication strategy, a training plan and resources to make the EMS happen.

As you implement your action plan, you need to monitor progress to make sure it is achieving the results you want. If what seemed like a good plan of action to address a particular risk does not work, you need to know so that you can take alternative action. 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 the consequences if they do not follow it. You could also resolve public criticism by publicly promoting the code of practice as the standards by which you work.

### Helpful hints

- monitor your actions and change them as circumstances require — what worked six months ago may not work now, because conditions change
- stick to monitoring the 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 those organisations accountable for doing their job
- use the Seafood EMS Resources — look at what has (and has not) worked for others
- remember that public opinion is a good indicator of how well your communication strategy is working
- involve the community as much as possible — this will help to build your credibility and will ensure that public opinion is based on good information
- review your priorities and action plan regularly to keep focused on key issues
- consider alternative actions that you can implement quickly if needed
- set up an efficient (but not complex) document control system — experience shows it's essential in helping to reduce your workload, eliminate duplication, and make sure everyone is working from the same and latest EMS documents.



*Demonstrate your performance —  
and achieve credibility!*

## Step 7. Audit, certification and review: Demonstrate your performance — and achieve credibility!

**Your audit program will help to continually improve your performance. It will also help to increase your credibility by demonstrating your improvement to stakeholders.**

The formula is very simple: more transparency = more confidence by others that you are achieving the outcomes you say you are achieving.

There are several options available for auditing an EMS. The one you choose should directly relate to the level of confidence in your performance that you want your customers, the community or governments to have. 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 process. But it may take more.

If you want your EMS to help to “bullet-proof” your industry against ill-founded claims about its environmental performance, consider having your performance independently assessed against international standards by a third-party auditor.

### Helpful hints

- be clear about who your customers are and what their needs are
- remember your customers include politicians who could deny your resource access
- involve the community when assessing progress on issues of community concern — this will help to avoid misunderstandings and ensure you are aware of public views
- help people in the community to understand the impacts of *their* activities and to accept responsibility for addressing them
- think about this: certification is formal recognition of your performance
- recognise that finding an audit team with all the necessary skills can be difficult, because the seafood industry's interest in EMS is relatively recent; it's likely to be more cost-effective to link up with other seafood industry businesses or organisations
- your auditors need to be familiar with regulations that are relevant to your operations
- you may also need to seek out auditor training programs that can be used by your own people; training can also be obtained on the job by being involved in audits
- avoid duplication of audits (duplication of audits = duplication of costs!)
- if your company already has an ISO 9000 system, consider using your quality auditors as EMS auditors — some additional training might be needed
- demonstrate your compliance with regulatory requirements
- continually improve your EMS by reviewing it at regular intervals — your audit report will help you to identify where improvements can be made
- make sure the management review answers the question: “Is the system working — is it *suitable, adequate and effective*, given our needs?”
- involve people in the management review who have the right information and knowledge, and can make decisions about the organisation and resources.



*Tell your story, celebrate success,  
and promote your achievements!*

## Step 8. Reporting: Tell your story, celebrate success, promote your achievements!

**Reporting your EMS achievements to stakeholders is critical — if you don't tell your good news stories, who will?**

Reporting EMS outcomes is essential if you are to demonstrate your environmental credentials to customers, governments and the community. Government agencies and research organisations report on what they are doing to meet their obligations. But who is telling *your* good news stories?

More and more, the community is demanding to know that industries using the nation's natural resources are doing so in a sustainable, responsible way. Governments are responding by requiring industries to demonstrate that their operations are responsible and sustainable.

Reporting also provides an 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 get to improve your public image as a responsible and accountable industry — it can help you to build a more positive, 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 everyone's 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, not the news media or pressure groups, put the issue in its proper perspective
- if you don't have a website, put your EMS reports on SSA's Seafood EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au))
- prepare a newsletter to highlight your achievements — include graphs and pictures that help to tell your story — look at other reports and newsletters for ideas
- remember that your EMS plan is a great source of information in its own right
- the *Community Communications Guide*, one of the Seafood EMS Resources described on page 28, has some great tips about getting your message across to your target audience.



# Your EMS plan

When you have completed the eight Seafood EMS steps, you will have the first draft of your EMS plan — the main document in which to put the main results of your work. The plan should present a good “mountain-top view” of your EMS, without going into too many details, so that it’s interesting and useful *internally* (to members of your group), and *externally* (to people who are interested in what you are achieving).

It’s important not to produce a “bottom drawer plan” — it’s essential that everyone in your group uses it and helps to modify it as you continually improve your processes. If the copies become dog-eared, you’re doing well!

A good external use for the EMS plan is to promote your achievements and success stories; in particular to guide your response to misleading information in the news media or elsewhere.

You’ll find more about the EMS plan in the Seafood EMS CD-ROM and the Self-assessment and Training Manual.



*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 (highlights, major achievements, history and background)
- your environmental policy and your group’s commitment to EMS
- your commitment to consultation with stakeholders
- an overview of your industry and sector, including highlighting its economic and social importance, giving examples of being an environmentally responsible industry, and providing a brief description (area, method, production) of your fishery or aquaculture sector
- summary of your action plan
- your achievements
- lots of photos (seafood, and plenty of smiling people in your group going about their business, talking to the public, helping the community)
- references to any source material.

## How to create your EMS plan the easy way

- use the Seafood EMS Resources (page 28) to help you to work through each step of the process and to record the information you generate in a way that allows it to be easily managed and analysed
- when you have completed the eight 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 who is objective and not “pushing their own barrow”
- provide a consultation copy to some objective stakeholders for initial feedback, then amend the draft to address legitimate concerns raised by reviewers
- consider making the draft plan available for wider consultation — then finalise the draft, taking into account legitimate comments
- launch version 1 of your EMS plan!

## Maintaining your EMS plan

- 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
- your master copy will be an electronic copy, probably in Microsoft Word, and you will benefit from:
  - nominating one person to be the custodian — responsible for maintaining the master copy, updating it etc (and making frequent back-up electronic copies, preferably on CD, and kept in a separate building from the working copy)
  - recording in the footer of each revised edition “edition [no.] of [date]” — for example, edition 2 of 25 November 2007”
  - maintaining a master list showing previous versions and their issue dates
  - keeping 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 to — include everyone directly involved in your EMS
- following each update, distribute a hard copy to everyone on that list
- also consider:
  - making your EMS plan (or a summary) available to the public
  - putting it on your website and creating a link from SSA’s *Seafood EMS* website
  - if you don’t have a website, putting it on SSA’s *Seafood EMS* website.

# Resources to help you

## **The Seafood EMS Resources**

Time and money can't be wasted when you're in business. SSA's Seafood EMS Resources help to de-mystify EMS and distil a huge amount of experience for you to tap into. The ideas and methods have been tested and refined by SSA and people in the seafood industry so that you can start preparing an EMS right now — one that's tailored uniquely to your situation.

You are already well through the introductory SEMS Resource — the publication you are reading now:

### **The Seafood EMS Chooser**

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

The other Seafood EMS Resources, listed below, are outlined on the following pages.

### **Seafood EMS CD-ROM**

... an interactive program to help you to set goals for the environment, food safety and quality, OH&S, profitability and community relations — and integrate them into your day-to-day business activities

### **Seafood EMS Self-assessment and Training Manual**

... to help you to develop and implement an EMS — and to have your skills and knowledge recognised against EMS units of competency under the National Seafood Industry Training Package

### **Seafood EMS Assessor's Guide**

... to help the Seafood EMS Assessor to judge your skills and knowledge against the EMS units of competency in the National Seafood Industry Training Package

### **Seafood EMS website**

... to bring you new resources and ideas about EMS as they are developed

*It's no longer necessary to "go it alone" in setting up your Seafood EMS — the Seafood EMS Resources are specifically designed to help you!*

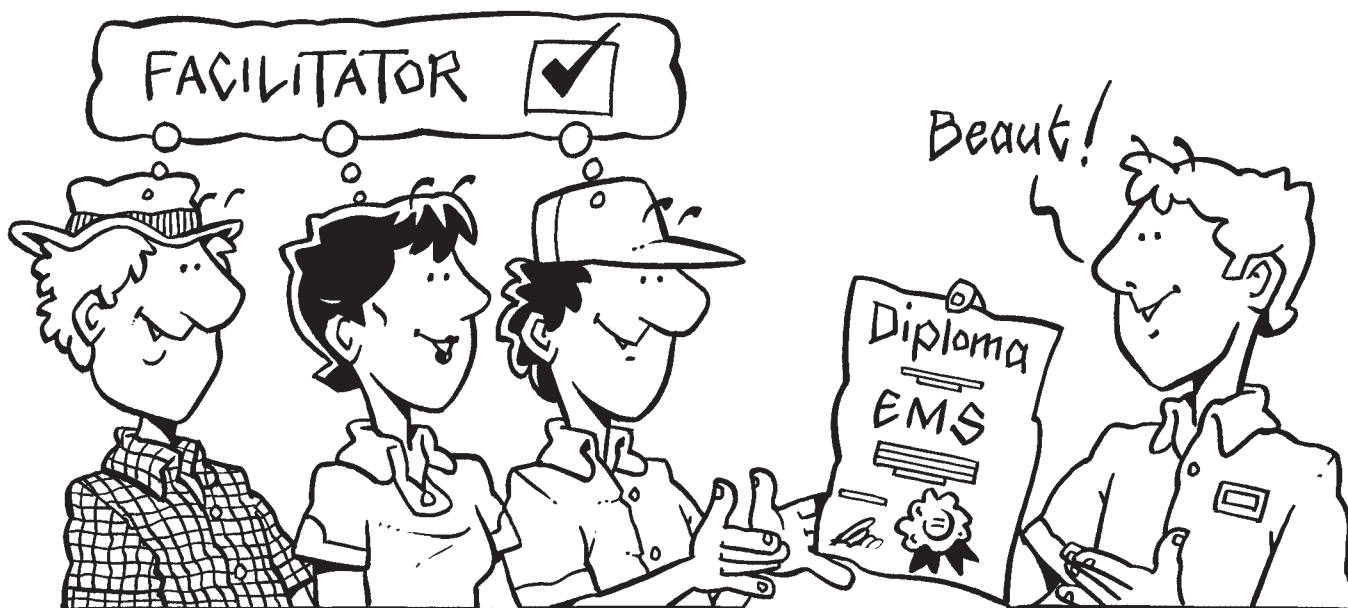


## Seafood EMS CD-ROM

The interactive electronic program on the Seafood EMS CD-ROM will help you to set goals for the environment, food safety and quality, OH&S, profitability and community relations — and integrate them into your day-to-day business activities.

Use the Seafood EMS CD-ROM to help you to work through the eight-step Seafood EMS process and record the information that you generate so that it can be easily managed and analysed. The program enables you to open any of the following plans in a Microsoft Word document, where they can be edited and fine-tuned as required:

- Seafood EMS Master Plan
- Environmental Management Plan
- Food Safety Plan
- OH&S Plan
- Profitability Plan
- Public Relations Plan.



## Seafood EMS Self-assessment and Training Manual

This manual includes customised worksheets, checklists and other information designed to help you to develop and implement an EMS that meets the particular needs of your organisation.

The manual is suitable for use by an industry organisation, such as an association, a group of enterprises with common interests, or an individual enterprise — the process to be followed is the same. Some of the tasks may vary depending on the size of your organisation.

*Even if you don't intend to become assessed, the Self-assessment and Training Manual is a really good tool for simplifying your work on an EMS*

By working through the manual, and successfully completing the exercises and assignments for each step, you can also have your skills and knowledge recognised against EMS units of competency under the National Seafood Industry Training Package. Statements of Attainment against these units of competency meet the seafood industry's requirements for an EMS Facilitator. You may then later qualify for a higher qualification through recognition of prior learning.

*By successfully completing the exercises and assignments in the manual you will meet the requirements of the units of competency for recognition as an EMS Facilitator*



## Seafood EMS Assessor's Guide

This guide helps the EMS Assessor to judge your skills and knowledge against the EMS units of competency in the National Seafood Industry Training Package. This ensures national consistency in the assessments, enabling people to be assessed by any registered training provider accredited for assessing these units of competency.

Please note: Although non-accredited training providers may possess the competence required to assess your skills against the EMS units of competency, they are unable to issue you with statements of attainment that recognise your EMS skills. A list of accredited training providers can be found at [www.seafoodems.com.au](http://www.seafoodems.com.au)

## Seafood EMS website

The seafood EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au)) brings you new resources and ideas about EMS as they are developed.

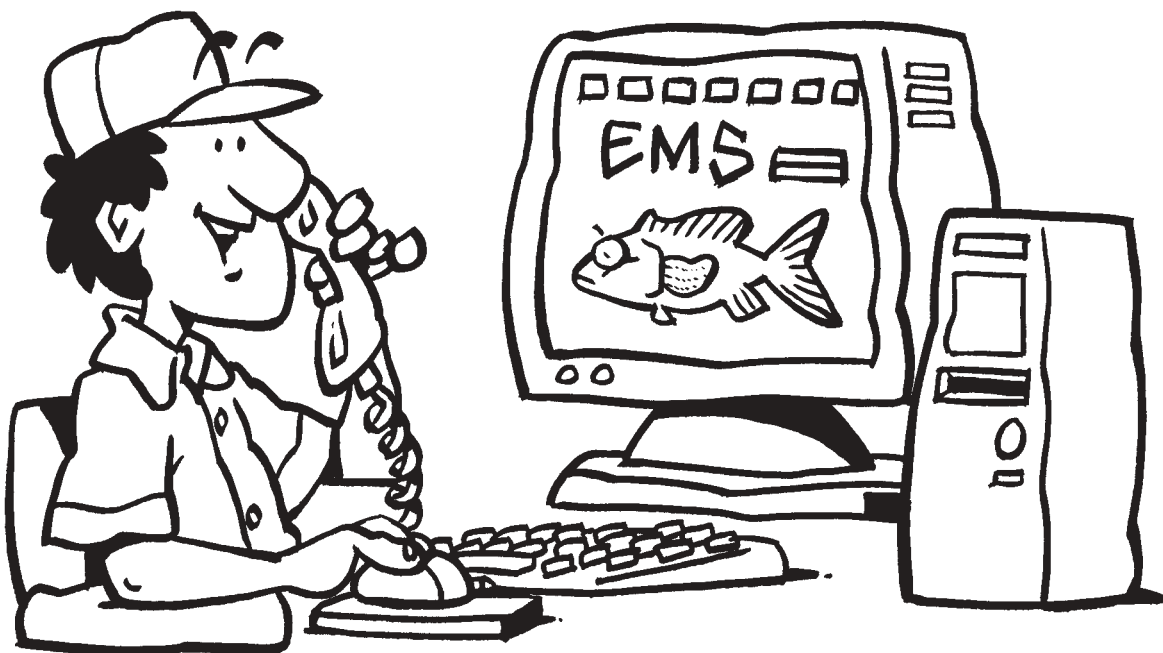


## The Community Communication Guide

The *Community Communication Guide*, developed for the Australian Seafood Industry Council (ASIC) and the Women's Industry Network — Seafood Community (WINSOC), is a resource that can help you to plan and implement effective communication strategies. It provides a practical framework for working through planning, communication and implementation of strategies for positive action, including:

- 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 guide is available from [www.seafoodbookshop.com.au](http://www.seafoodbookshop.com.au)



[www.seafoodems.com.au](http://www.seafoodems.com.au)

*SSA's many close links with industry ensure that you'll receive the benefits of their experience from the outset.*

### Contact SSA and tap into knowledge and ideas

SSA is continually improving the Seafood EMS Resources as we gain more knowledge and ideas from people and organisations already developing EMSs.



# Industry trainers can be a great help



A list of registered training providers accredited to deliver EMS training under the National Seafood Industry Training Package is available at SSA's EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au)). Contact seafood industry training providers and find out what EMS training they have on offer.

A training provider can develop and deliver a Seafood EMS training program tailored to meet your needs. In fact, the Seafood EMS program has been specifically designed, in conjunction with training providers, so that your EMS development and implementation can be undertaken within a training program framework.

A training provider can also help you to access training assistance under government programs, greatly expanding the outcomes that you can achieve for your investment in training.

# Some smart EMS tips

## Enjoy the benefits of your EMS

The benefits you receive from your EMS will be directly related to the time, effort and resources you and your colleagues put into it. The following tips will help you to use resources efficiently and gain access to other sources of help.

### For starters ...

- work smarter, not harder — look around for good ideas and successful models, including those outside the fishing industry
- understand the individual elements of an EMS, then start putting these elements in place
- follow a logical sequence to save time and money and minimise “false starts”
- match your expectations to your time and resources
- match your high-priority activities to your resources — get the biggest “bang for your buck”

*In a nutshell: Work smarter, not harder!*



### Don't re-invent the wheel ...

- use all existing resources — the Seafood EMS Resources are customised to specifically help people in the seafood industry
- use a computer, e-mail and the Internet to save vast amounts of time and money and gain direct access to a wealth of information
- contact training providers to help you to develop and implement your training plan
- contact a local TAFE college or a university's environmental department — your EMS will be an ideal topic for student projects, and the results of their studies should help to improve your EMS.

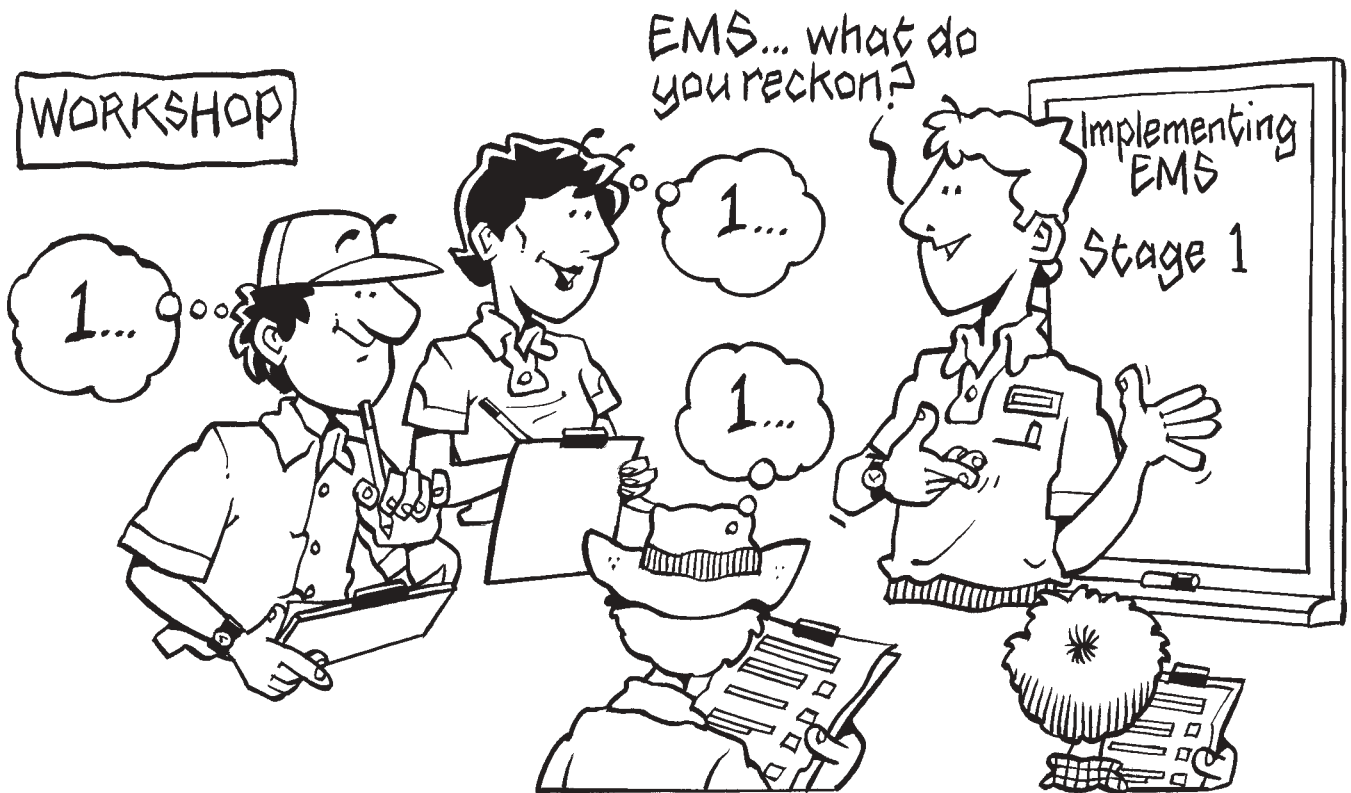
## Plan your approach...

- you can achieve a lot by having all members of your group pulling together and dedicating modest amounts of their free time towards specific tasks. Think about the impact that some anti-fishing groups have, with little more than 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
- from the outset, create a workable document control process and filing system — it will save frustration later
- if resources are limited, tackle the most pressing issues first and expand your actions 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
- if you are seeking certification, identify your documentation requirements up-front.

## Build on your strengths...

- when you think about it, you'll probably realise you already have many elements of an EMS in place
- you'll find that many of the issues you identify are already being addressed, even though a formal documented process may not exist, so that for many of them you may only need to document your current work practices
- always keep in mind that transparency is essential to success — a positive public image is vital to your industry
- remember that you not only need to do good things, you need to tell plenty of people about them — where will the community get its information from if you don't tell the good news stories?

*Do good things, and tell plenty of people about them!*



## *EMS workshops build support and commitment from others!*

### EMS workshops — to set and achieve common goals

For your EMS to be successful, everyone whose activities may be affected **must** understand and support it. Get them involved!

A good way to do this is through workshops, which can be structured as part of your formal training program, saving time and money. Make sure you invite everyone who needs to share your vision and goals.

The EMS is primarily about identifying and addressing risks and opportunities relating to your business and industry. You might like to give some thought to how your EMS could lead to benefits for all businesses in your industry sector — because many of these risks and opportunities will be similar to yours. It may eventuate that:

- your association takes action (for example, to maintain resource access)
- everyone in your association takes similar individual actions (for example, to reduce bycatch)
- each business takes action appropriate to their circumstances (for example, individual seafood safety plans).

## **SOME SMART EMS TIPS**

It therefore makes good sense to drive the development of your EMS using a group process through which issues needing collective and/or individual actions can be identified, common goals agreed, and progress monitored.

You will also be asking members of your group to “sign off” stages in the EMS’s development and ultimately to become signatories to the finalised EMS — and to be bound by it. The more involved they are in its development, the more they will have “ownership” of it and the less likely they will hold up final implementation.

Individual businesses may also wish to develop an enterprise-level EMS to provide a framework for the business to address issues arising from your group EMS, and other aspects relevant to that business. Such an EMS would fit in with your group EMS process.

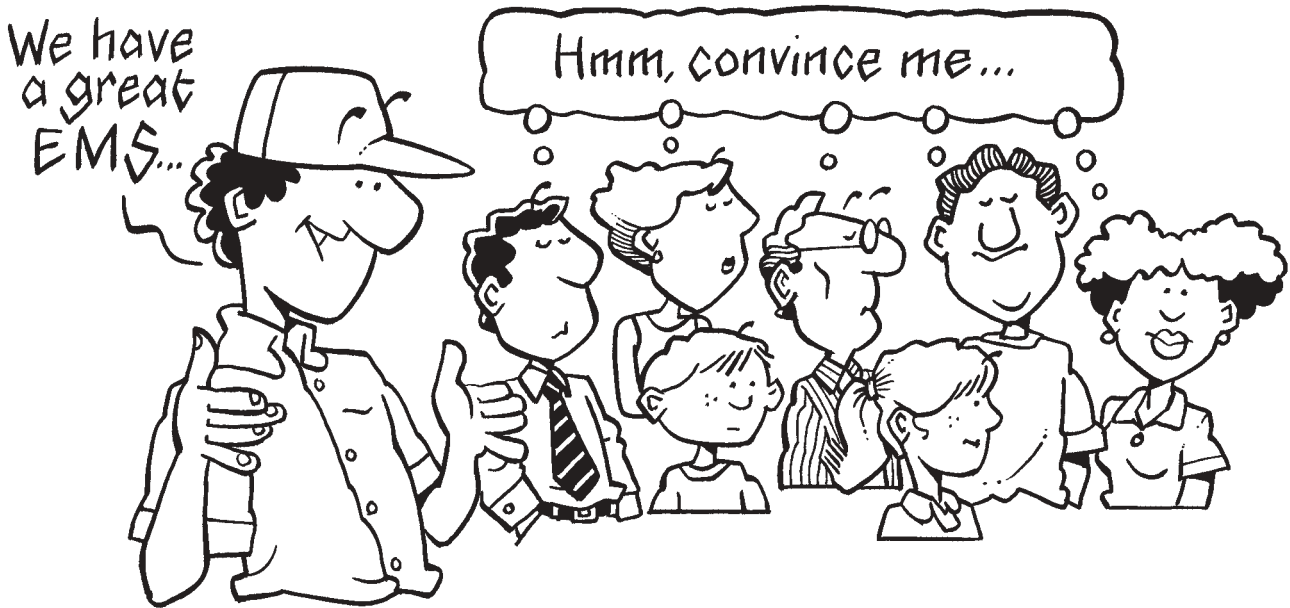


## EMS facilitators — to help drive the process

The Seafood EMS model is founded on practical, industry-based EMS case studies which identified the need for groups developing an EMS to **agree on a facilitator** early in the process.

The facilitator may be a member of the group, another industry person who is keen to champion the EMS process, or someone not directly involved in the industry. The facilitator needs to possess, or acquire, the skills and knowledge needed to help make the process of developing and implementing an EMS clearer and easier to follow. A good facilitator will enable the other people involved to work in ways that suit them best.

However, everyone must start somewhere, and with the Seafood EMS Resources, people who are keen to act as facilitators will quickly develop these skills.



## Communication — a critical success factor

### Public perceptions

Sadly, our seafood industry — held in such high regard overseas for having achieved world-class outcomes on matters such as sustainability and food safety — is often publicly maligned by Australians.

Changing the public's perceptions about our industry demands a broad, organised strategy aimed at all levels of the community and key decision-makers. Your EMS will generate a wealth of positive information and facts about our industry to underpin such a strategy. That's a good reason to use it!

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.

*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.*

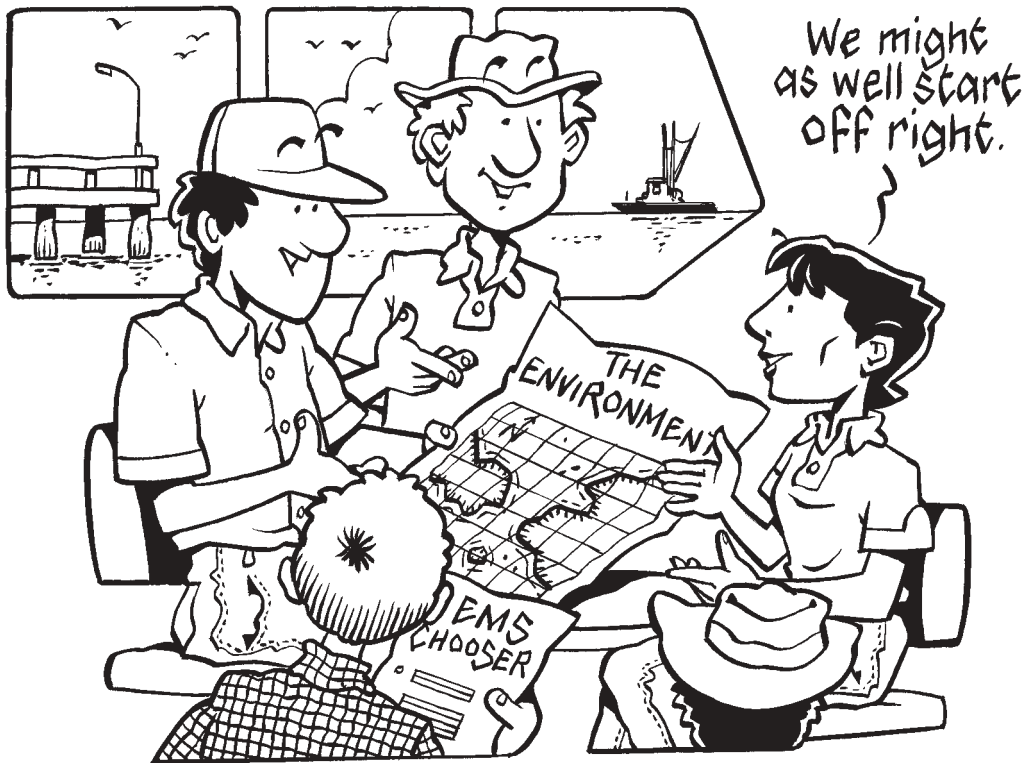


### Talk about EMS with your mates

You'll need broad support from your industry colleagues if your EMS is to be successful.



# Getting off to the right start



*A little planning can yield great results*

## Planning for EMS success

By now you have probably gathered that planning your EMS approach will help you to:

- save time and money
- achieve the best possible EMS results
- tap into existing ideas, knowledge and experience
- avoid duplication
- identify ideas that have worked for others
- avoid trying ideas that haven't worked for others
- gather the broad industry support that is critical for your EMS success.

Now you know the broad outline of what's involved in the EMS process, let's see if you are ready to start the process.

## Ready to start? Check for yourself!

### When you can tick each of these boxes, you are ready to start your EMS

As mentioned earlier in this Seafood EMS Chooser, a little planning can go a long way. Use this checklist to assess whether you are ready to start developing and implementing your EMS.

- 
- I have read all sections of the Seafood EMS Chooser.*
- I understand the basics of EMSs and the potential benefits from doing our own EMS.*
- I broadly understand the eight Seafood EMS steps, and the process of working through them sequentially.*
- I have discussed EMS with my mates and there is broad support to start the process.*
- I have contacted some industry training providers to discuss the programs they have on offer, and how they can help our group to gain access to government training programs.*
- I have contacted SSA to obtain the Seafood EMS Resources we need to use, and I broadly understand them.*
- We have identified how some of our existing resources can help with our EMS process.*
- We have chosen a facilitator (or are in the process of selecting one) to help us to drive and coordinate our EMS process.*
- We are planning EMS workshops to engage key industry stakeholders, and other stakeholders, in our EMS process.*

Enjoy your EMS journey!

*All of us at SSA wish you  
the very best for a successful  
and enjoyable EMS journey!*

Contact SSA for the latest EMS information:

[www.seafoodems.com.au](http://www.seafoodems.com.au)

[ssa@seafoodservices.com.au](mailto:ssa@seafoodservices.com.au)

phone 1300 130 321 toll-free.

EMS...  
what do you  
reckon?





“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

## **Attachment 7 – The Seafood EMS Self Assessment and Training Manual**

Attached is a CD version of the Seafood EMS Self Assessment and Training Manual (SEMS SATM.doc), a hardcopy is available from SSA on request.



# Seafood EMS

## Self-assessment and training manual

... to help you to develop an environmental  
management system and put it into practice



**SEAFOOD SERVICES**  
AUSTRALIA

LEADERS IN INDUSTRY DEVELOPMENT





# SEAFOOD EMS SELF-ASSESSMENT AND TRAINING MANUAL

**... TO HELP YOU TO DEVELOP AN EMS AND PUT IN INTO PRACTICE  
– AND TO HAVE YOUR SKILLS AND KNOWLEDGE RECOGNISED UNDER THE  
NATIONAL SEAFOOD INDUSTRY TRAINING PACKAGE**

Seafood Services Australia Ltd is proud to bring you, in this publication and others in the series of Seafood EMS Resources, the distilled wisdom of the industry leaders who have pioneered seafood environmental management systems in Australia.

The Seafood EMS Resources result from an intensive R&D program made possible by the Australian Government's investment of \$1.65 million of Natural Heritage Trust funds through industry partnership programs, including the EMS National Pilot and Pathways to Industry EMS programs. The seafood industry invested \$3 million in-kind in these latter two programs.

This R&D capitalised on the innovative strategic investments in environmental management systems in the seafood industry by the Fisheries Research and Development Corporation, with strong support from the Australian seafood industry.

The industry has earned a leading reputation around the world and among other primary industries for these ground-breaking initiatives and its enthusiastic uptake of seafood EMS. By using the Seafood EMS Resources, you're taking advantage of the best EMS experience currently available.

**[www.seafoodems.com.au](http://www.seafoodems.com.au)**



## Seafood EMS Self-assessment and Training Manual

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## QUOTES FROM THE SEAFOOD EMS PILOT GROUPS

### Northern Territory — barramundi

... better profits ... community confidence in our environmental performance ... more secure resource access ... a wider and deeper support for EMS among us ...

### Queensland — Moreton Bay fishers

... more resilient to change now that we understand continual improvement ... better community perceptions from our credible, positive stories ... higher credibility e.g. with conservation groups, because our EMS is based on scientific principles ... stronger relationships between us (UNITY!!) ...

### Victoria — Bays and Inlets

... we've changed the political landscape since getting into EMS ... the community recognition we've gained is helping our survival ... the notion has grown that the industry is a valued part of the community ...

### Tasmania — oysters

... our staff enjoy their jobs more — much happier ... proven sustainability means the business is more secure ... we're leading by good example in Landcare, local government etc ... EMS links up our QA, QMS, OH&S, management plans and controls, licence conditions and audit processes ... improved capacity to promote all-round quality and respond to market access issues ...

### South Australia — southern rocklobster

... EMS gives us a common language to communicate risks and threats and to talk about them in a non-threatening way ... communication channels between skipper and crews are opening up ... training has increased people's awareness of their responsibility ... third-party certification is generating digestible information to show the community ...

### Western Australia — pearls

... our participants took control of the agenda and expressed best practice in a form that's gone down well in the wider community ... stakeholders are more aware of the positive steps we're taking in managing risks ... the discipline in preparing cases in some detail has been good for us ... the status of our industry has gone up ...

**EMS REMINDS US THAT THE FUTURE IS OURS TO MANAGE**

---



## CONGRATULATIONS TO THE SEAFOOD INDUSTRY — LEADERS IN ENVIRONMENTAL MANAGEMENT SYSTEMS!

Five years ago, the notion that the Australian seafood industry would become a world leader in environmental management systems would have been considered far-fetched.

Today, the industry's EMS leadership is widely acknowledged throughout the world and our nation.

This achievement is testament to the inspiration and untiring effort of the staff and directors of Seafood Services Australia Ltd and of the many industry people who have contributed their expertise and time to making EMS work. Prominent among them are the members of the six pilot groups who, by trial and error, showed the way ahead for seafood industry innovators. They have demystified EMSs and have provided easily understood models specifically for the seafood industry.

The seafood industry's achievements have built on longstanding research and development investment in environmental management by the Fisheries Research and Development Corporation. The recent successful outcomes of the six pilot projects were enabled by timely investment by the Australian Government, starting in 2003: some \$1.65 million of Natural Heritage Trust funding was allocated through industry partnership programs, including the *EMS National Pilot and Pathways to Industry EMS*. The seafood industry, in turn, invested \$3 million in-kind in these latter two programs.

Through these initiatives, lessons learnt by the seafood industry are being transmitted to other Australian primary industries, further increasing their effectiveness. It is highly satisfying that these collaborations between the Australian Government and industry to enhance the future profitability and sustainability of primary industries have been so successful.

In five years, stimulated by Australian Government initiatives such as the Natural Heritage Trust, there has been a sea-change in attitudes about what is possible in managing the environment. Challenges that seemed insurmountable then can now be met by systematic approaches. Importantly, seafood environmental management systems also allow the industry to *demonstrate* responsible, sustainable natural resource management. Knowledge of this environmental responsibility is starting to spread throughout the community, with many eventual economic, environmental and social benefits in prospect from increased community confidence in the industry.

This publication, the *Seafood EMS Self Assessment and Training Manual*, is one of ten paper-based and electronic "Seafood EMS Resources", including an interactive CD-ROM and a website. It will help you to develop an EMS and put it into practice, and to have your skills and knowledge recognised under the National Seafood Industry Training Package.

It is with an immense sense of pride that I commend this publication to everyone who has the long-term profitability and sustainability of their seafood business or sector at heart.



The Hon. Sussan Ley, MP  
Parliamentary Secretary to the  
Minister for Agriculture, Fisheries and Forestry



## TOOLS TO HELP YOU TO DO BUSINESS BETTER — THE SEAFOOD EMS RESOURCES

You can't afford to waste time and money when you're running a business. So there's a lot to be said for taking advantage of the experiences of other people.

SSA's Seafood EMS Resources help you to do just that. Thanks to investments by the Fisheries Research and Development Corporation, the seafood industry and the Australian Government's Natural Heritage Trust Pathways to Industry EMS program, you can "pick the brains" of seafood industry people who have pioneered environmental management systems (EMSs) for our industry. We're proud that with their help, we've led the way in EMS — not only among Australian primary industries but world-wide.

We've thoroughly tested and refined all the Seafood EMS Resources so that you can start preparing an EMS — tailored to your unique situation — right now. Here they are:

### Choose the right environmental management system

... take a quick read through the **Seafood EMS Chooser**

### Develop your EMS and put it into practice

... follow the **Seafood EMS Self-assessment and Training Manual** — it also lets you have your skills and knowledge recognised under the National Seafood Industry Training Package

### Save time with handy worksheets

... included with the Seafood EMS Self-assessment and Training Manual, the **Seafood EMS Worksheets** help you to work through each EMS step

### Prefer an interactive program?

... then you'll really like the **Seafood EMS CD ROM** — it helps you to set goals for the environment, food safety and quality, OH&S, profitability and community relations, and to integrate them into your day-to-day business activities

### Be rigorous — get assessed

... the **Seafood EMS Assessor's Guide** can be used by an EMS Assessor to judge your skills and knowledge against the EMS units of competency in the National Seafood Industry Training Package

### Get recognised, get community support

... the Seafood **EMS Communication Kit** helps your EMS achievements to be recognised and supported by the community

### Grab new ideas

... visit the Seafood EMS website — **www.seafoodems.com.au** — to bring you new EMS resources and ideas

### Pick the brains of the trail-blazers

... Seafood EMS **Recipes for Success** tells you about the experiences of people in the Seafood EMS pilot groups

... and Walking the Talk — **Seafood EMS Case Studies** gives you more information if you need it

### Get together with your stakeholders

... the **Engagement of Stakeholders Study** helps you to decide on the best strategies

---

## ABOUT ASSESSMENT



### Why have your skills recognised?

Skills recognition is a formal process by which you provide evidence of your skills and knowledge and a qualified assessor evaluates it against relevant national competency standards. There are a number of benefits from going through this process:

- It confirms your skills and knowledge to you and to your work team. This gives you confidence that you know what you are doing and that your contributions in the workplace, in your EMS group and in industry forums, are valuable. Talk to someone who has been through the process, and ask how he or she has felt about it.
- Formal recognition of skills and knowledge can be used as supporting evidence in compliance or other 3rd party audits. For example, OHS, food safety and environmental management carry compliance obligations. If you have a Statement of Attainment (or a Qualification) showing that you have been assessed as competent in these areas then this can be used as evidence in the event of an investigation. If your enterprise is ISO endorsed, having your skills and those of other employees recognised makes certification much easier to achieve.
- In completing the recognition process you will be providing an example to others. It may encourage employees to improve their own skills leading to a more multi-skilled, creative and innovative workforce.

### How do you go about claiming recognition?

Recognition must be carried out by a workplace assessor through a Registered Training Organisation (RTO) that has the relevant authority to issue parchments. Your facilitator will be able to advise you on the units of competency that are relevant to environmental management, and to direct you to an RTO that can provide recognition services.

You can also look up Registered Training Organisations on the National Training Information System database at [www.ntis.gov.au](http://www.ntis.gov.au). (Choose Registered Training Organisations from the menu, and Search by Training Delivery. Select Training Package and scroll down to SF104 Seafood Industry. Select Training Providers from the menu on the left of the screen.)

The appointed assessor will advise you on the types of evidence that you can provide that demonstrate your skills and knowledge. Some of the worksheets you complete as you develop the EMS may be useful. Certainly documents from your workplace showing policies and procedures will be required. Once the assessor has evaluated your evidence against appropriate units of competency, you are advised either that you have achieved competency, or given feedback on additional evidence and further training that may be required. You will receive a Statement of Attainment for units in which your competence has been formally recognised.

## ABOUT THIS MANUAL

This Seafood EMS Self-assessment and Training Manual, including the Seafood EMS worksheets, its companion, the Seafood EMS Assessor's Guide, the Seafood EMS Communication Kit and the Seafood EMS CD provide the seafood industry with a national program for EMS training and assessment.

The program can be undertaken in several ways.

1. Registered training organisations may use the resources and offer it as part of their accredited seafood industry training courses. The benefit of taking this path is that it provides an integrated approach to the development of the seafood business, including environmental management and sustainability.
2. Organisations specialising in EMS may provide a facilitator to guide a group as its members develop either a shared EMS or as each individual focuses on his or her own seafood business. This path is likely to be most beneficial where there is an urgent and local environmental issue to be addressed by a number of seafood business operators.
3. Individuals can obtain the resources and use them as a guide to developing an EMS for their own seafood business. The benefit of this path is that you work at your own pace, and focus on the needs of your own business. This may lead to savings in time and cost.

This manual helps you through the development and implementation of an EMS that meets the needs of your seafood business.

When you successfully complete the activities and worksheets in this manual, you will have:

- **the skills** to develop an environmental management system (EMS), and
- **set goals** for managing risks relating to the environment, food safety and quality, OH&S, profitability and community relations, and
- **done** much of the work required to integrate the management of these risks into your day-to-day business planning and activities.

Whatever the development pathway, you can choose to have the skills and knowledge you acquire assessed against units of competency. Assessment (or recognition) is best undertaken after the program has been completed and the EMS has been in place for a period of time sufficient to show that it can be maintained and improved. The section following explains what is involved in assessment.

## HOW TO USE THIS MANUAL

- Read through the introduction and 'Getting Started' information.
- Follow each step in order, as each step is the building block for the next.
- The list at the end of each step detailing the worksheets used will help you ensure none are missed.
- The worksheet manual contains worksheets to help record your EMS plan, and some that act as templates that you can modify to suit your individual business or organisation.
- The helpful hints are useful, so be sure to read them all!

The system you develop will be designed specifically for *your* organisation! It will be based on the easy to follow Seafood EMS model which is underpinned by 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 manual is suitable for use by an industry organisation, such as an association, a group of enterprises with common interests, or an individual enterprise – the process to be followed is the same. Some of the tasks may vary depending on the size of your organisation.

***No single EMS fits all. You must decide what is appropriate to your organisation***

## INTRODUCTION TO EMS

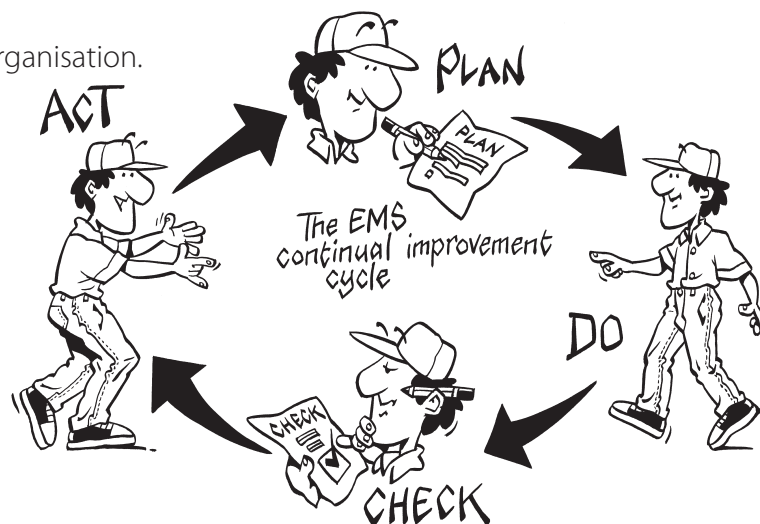
### WHY FOCUS ON THE ENVIRONMENT?

- Improve your bottom line — save time and money
- Use and target resources more efficiently — reap the potential cost savings
- Secure access to fisheries and aquaculture sites
- Demonstrate that you use natural resources in a responsible, sustainable way
- Gain community support — good environmental performance is the key
- Gain a competitive advantage through best environmental practice — and help to secure market access
- Gain a reputation as a responsible operator — have more influence in debates about your industry
- Demonstrate compliance with relevant laws
- Increase safety and morale — fewer accidents are their own reward and can reduce insurance rates

### WHAT IS AN EMS?

An environmental management system (EMS) puts in place a continual process of planning, implementing, reviewing and improving the actions that an organisation undertakes to manage its risks and opportunities relating to:

- the environment
- food safety and quality
- occupational health and safety
- profitability
- public relations
- other aspects of the organisation.



The great thing about an EMS is that you can design it to suit your own circumstances and priorities. 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 other aspects of a business.

**An EMS may cover:**

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

It's essential to design your EMS to suit your own goals and priorities.

**An EMS may be:**

- as simple as a code of best practice supported by a clear plan for implementation and compliance, or
- as comprehensive as a third-party certified system complying with international standards such as ISO 14000 or the Marine Stewardship Council certification scheme.

**Key aspects of an EMS are:**

- a vision for the future and a clear plan of action for achieving that vision
- capacity in your organisation to implement the action plan and to monitor progress
- capacity to demonstrate continual environmental and other improvements.

## CERTIFICATION

### **What do you want your fishery to achieve?**

Certification is a formal recognition of your conformance with a set of standards. The person or body responsible for carrying out the certification audit is called the certifier or certification body.

An individual or organisation may seek certification to:

- be eligible to use a particular brand or logo
- increase consumer confidence in their products
- gain or maintain access to markets
- gain a market advantage
- provide a benchmark for product and performance standards.

Certification schemes are many and varied, and will normally involve the following processes:

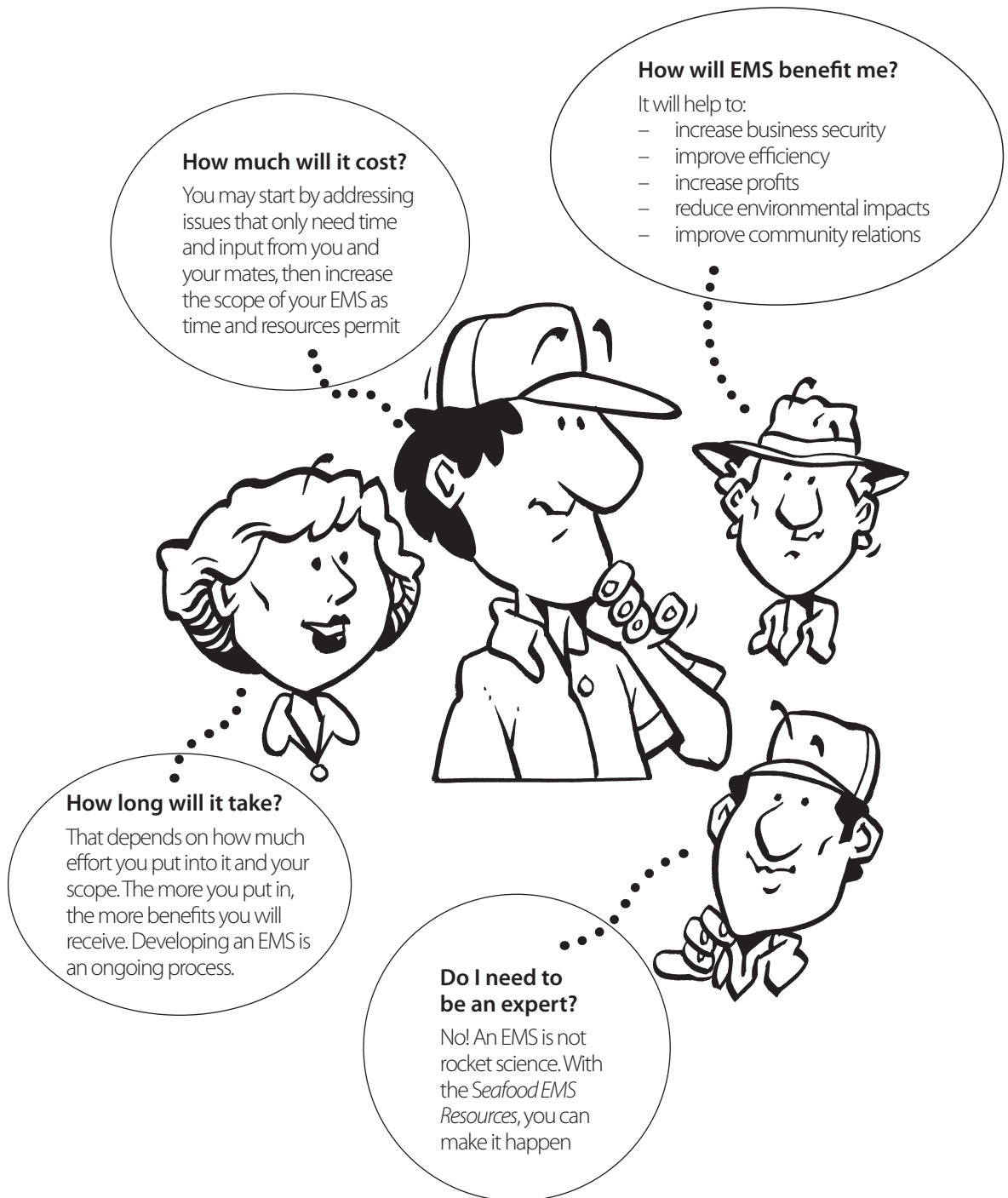
- select appropriate certification taking into account standards, process and cost
- select accredited certifiers
- confidential pre-assessment
- decide whether to proceed with full assessment
- certification body conducts full assessment including consultation
- peer report
- final decision on certification.

### **You need to decide on what type of certification you want.**

The type of certification you choose needs to be completely related to the outcomes you want to gain from certification.



## FREQUENTLY ASKED QUESTIONS



## DEFINITIONS AND JARGON

Don't get bogged down in jargon — you have more important things to focus on!

SSA's Seafood EMS Resources simplify and de-mystify the EMS process so it can be picked up and used by the seafood industry with a minimum of fuss. The strongest of all messages from the industry EMS case studies involved in the development of the Seafood EMS Chooser was: "keep it simple".

In line with this, we have standardised the terms used in the Seafood EMS and have kept away from complicated or confusing management jargon as much as possible.

As the Seafood EMS continually improves, we'll further refine the terminology, but always in the interests of keeping it as clear and concise as possible.

For the moment, we strongly recommend that you stick with the terms used in the Seafood EMS model so that everyone can understand exactly what you mean.

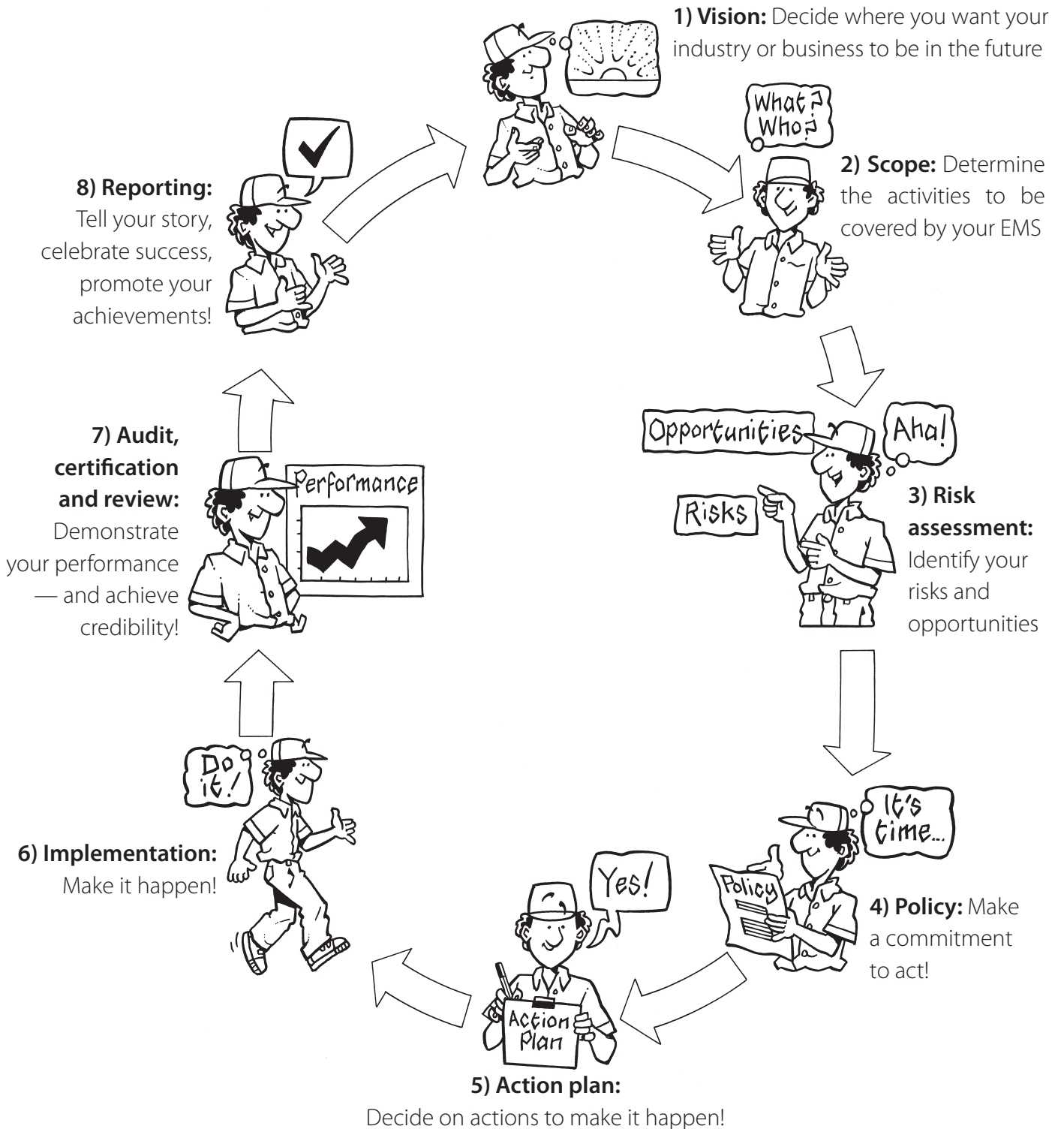
Now you can spend your valuable time focusing on achieving results!

***Avoid the jargon – just like fish names, multiple names and jargon used in EMS can be very confusing – stick to the Seafood EMS terms defined in each section***



# INTRODUCTION TO SEAFOOD EMS

## THE EIGHT SEAFOOD EMS STEPS



## YOUR EMS PLAN

When you have completed the eight Seafood EMS steps, you will have the first draft of your EMS plan — the main document in which to put the results of your work. The plan should present a good “mountain-top view” of your EMS, without going into too many details, so that it’s interesting and useful internally (to members of your group), and externally (to people who are interested in what you are achieving).

It’s important not to produce a “bottom drawer plan” — it’s essential that everyone in your group uses it and helps to modify it as you continually improve your processes. If the copies become dog-eared, you’re doing well!

So — **use your plan!** For example, you’ll find it useful to promote your achievements and success stories. In particular, use it to guide your response to misleading information in the news media or elsewhere.



*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 (highlights — include major achievements, history and background)
- your environmental policy and your group's commitment to EMS
- your commitment to consultation with stakeholders
- an overview of your industry and sector (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))
- summary of your action plan
- your achievements
- lots of photos (seafood, and plenty of positive images i.e. talking to the public, helping the community)
- references to any source material

## What not to include in your EMS plan

- do not include too many details — only include summary information, highlights, reference documents such as fisheries management plans, sources of further information — store your own detailed information in an organised filing system
- do not include irrelevant information that does not add value to your EMS plan
- do not include information that you do not want to include — remember, this is **your** plan

## How to create your EMS plan the easy way!

- use the Seafood EMS Resources to help you to work through each step of the process and to record the information you generate in a way that allows it to be easily managed and analysed
- 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 who is objective and not “pushing their own barrow”
- provide a consultation copy to some stakeholders for initial feedback — then amend the draft to address legitimate concerns raised by reviewers
- consider making the draft plan available for wider consultation — then finalise the draft, taking into account legitimate comments
- launch version 1 of your SEMS plan!

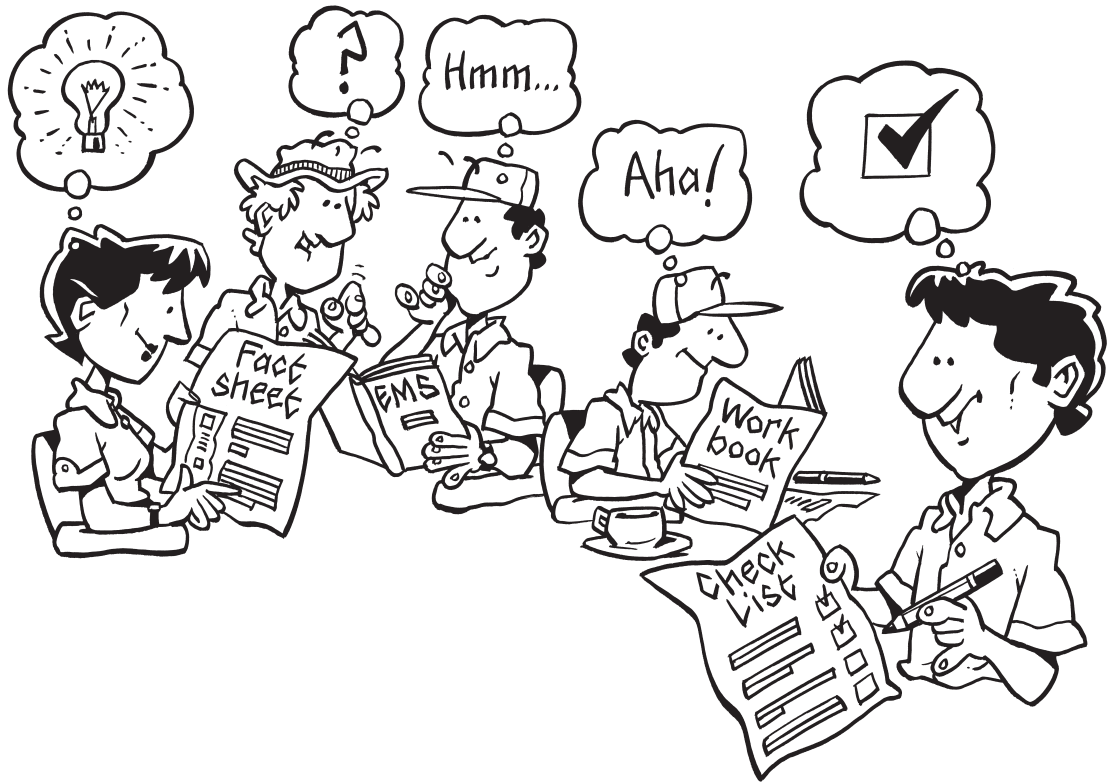
## Maintaining your EMS plan

- 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
- your master copy will be an electronic copy, probably in Microsoft Word, and you will benefit from:
  - nominating one person to be the custodian — responsible for maintaining the master copy, updating it etc (and making back-up electronic copies)
  - recording in the footer of each revised edition “edition [no.] of [date]” — for example, edition 2 of 25 November 2007”
  - maintaining a master list showing previous versions and their issue dates
  - keeping 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 to — include everyone directly involved in your EMS
- following each update, distribute a hard copy to everyone on that list
- also consider:
  - making your EMS plan (or a summary) available to the public
  - putting it on your website and creating a link from SSA's Seafood EMS website
  - if you don't have a website, put it on SSA's Seafood EMS website

## COLLECTIVE AND INDIVIDUAL ACTIONS



Your EMS is primarily about identifying risks to your business or industry, then determining, and taking appropriate action to address those risks. These may have the same potential impact on all businesses and organisations similar to yours, impact differently on all businesses, or impact only on your business.

Accordingly, the actions required to address particular issues may require:

- collective action through your association (eg, to maintain resource access)
- everyone in your association to take similar individual actions (eg, to reduce by-catch)
- each business to implement actions relevant to their particular circumstances (eg, individual seafood safety plans)

Under the Seafood EMS Model, you will drive the development of your EMS through a group process that identifies issues requiring collective and/or individual actions, sets goals and monitors progress.

Individual businesses may also wish to develop an enterprise level EMS that has strong linkages with your group EMS by providing a framework through which relevant actions may be implemented.

## EMS WORKSHOPS TO SET AND ACHIEVE COMMON GOALS



***EMS workshops are a great way to gain support and commitment from others!***

For your EMS to be successful, everyone whose activities may be affected must understand it. Get them involved!

A good way to do this is through workshops, which can be structured as part of your formal training program, saving time and money. Make sure you invite everyone who needs to share your vision and goals.

Give some thought to how your EMS might lead to benefits for all businesses in your sector of the industry. The EMS is primarily about identifying and addressing risks and opportunities relating to your business and industry. Many of these risks and opportunities will have the same potential effect on other elements of your sector of the industry. Actions needed to address particular issues may include:

- your association taking action (for example, to maintain resource access)
- everyone in your association taking similar individual actions (for example, to reduce bycatch)
- each business taking action relevant to their particular circumstances (for example, individual seafood safety plans).

It therefore makes good sense to drive the development of your EMS through a group process through which issues requiring collective and/or individual actions can be identified, common goals agreed, and progress monitored.



You will also be asking members of your group to “sign off” stages in the EMS’s development and ultimately to become signatories to the finalised EMS — and to be bound by it. The more involved they are in its development, the more they will have “ownership” of it and the less likely they will hold up final implementation.

Individual businesses may also wish to develop an enterprise-level EMS to provide a framework for the business to address issues arising from your group EMS, and other aspects relevant to that business. Such an EMS would fit in with your group EMS process.

Your workshops may be as formal or informal as you wish. Make sure you invite everyone who needs to share your vision and goals for the future. Worksheet 02 Conducting workshops can help you to organise and manage EMS workshops.

## COMMUNICATION — A CRITICAL SUCCESS FACTOR!

### Public perceptions

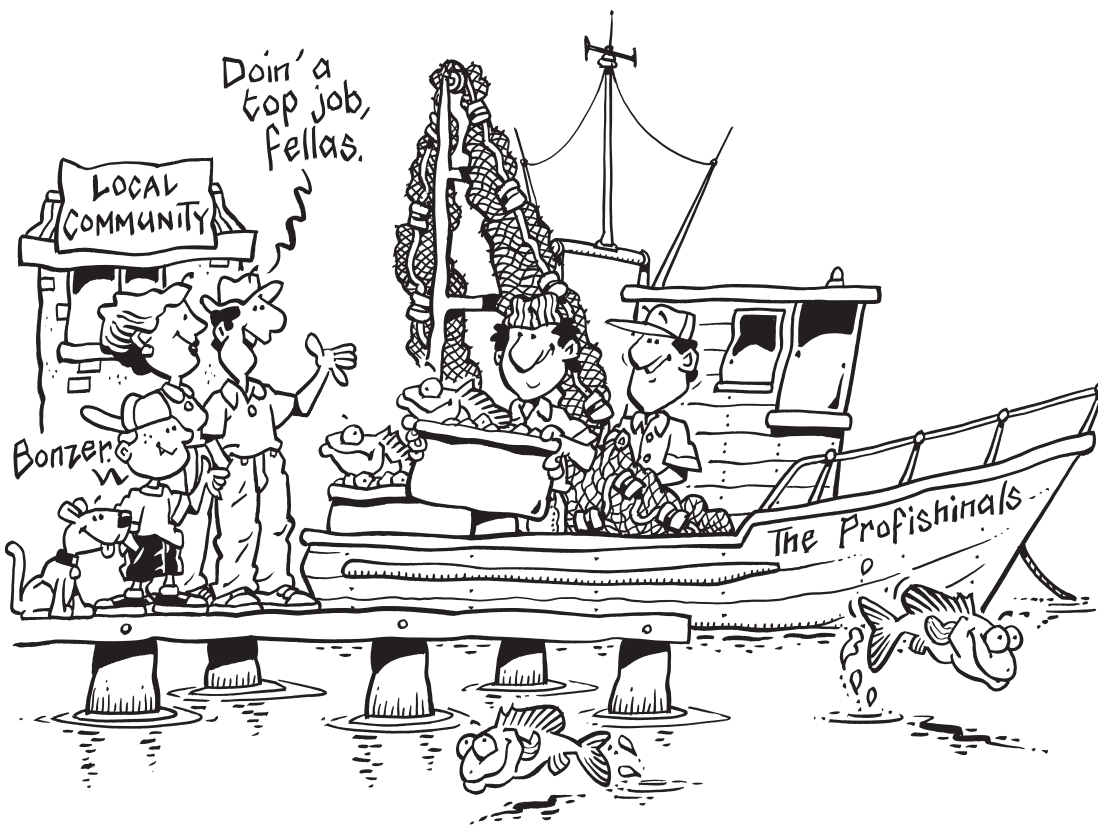
Sadly, our seafood industry — held in such high regard overseas — is often publicly maligned by Australians, despite having achieved world-class outcomes on matters such as sustainability and food safety.



Changing public perceptions about our industry demands a broad, organised strategy aimed at all levels of the community and key decision-makers. Your EMS will generate a wealth of positive information and facts about our industry to underpin such a strategy. That’s a good reason to use it!

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.

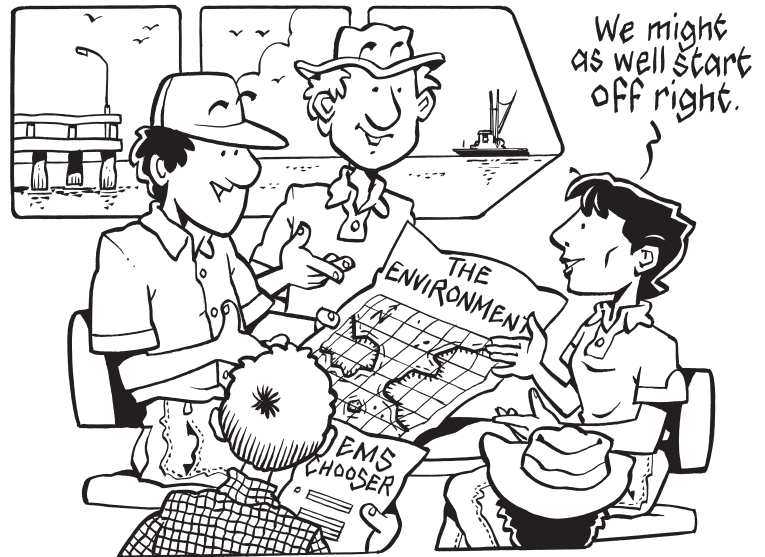
Often the people or groups that you find the most difficult to deal with — and the ones you might be hoping to avoid — are the ones you most need to communicate with.



***Improve your environmental performance – and demonstrate it!***

## GETTING STARTED

At this point, you have most likely read through the Seafood EMS Chooser to get yourself acquainted with EMS, and completed the checklist at the end. If you haven't, it is beneficial to get a copy, but certainly not necessary. Below are some things that you will need to do in order to get started.



### INDUSTRY TRAINERS CAN BE A GREAT HELP

It is best to start thinking about your training options now, so that you can make the necessary arrangements.

You can either do the training yourself, supplying your own people and resources, or use a training provider such as a Registered Training Organisation (RTO). If you elect to use a RTO, then the RTO will develop a training plan that outlines your requirements and the training programs to be delivered.

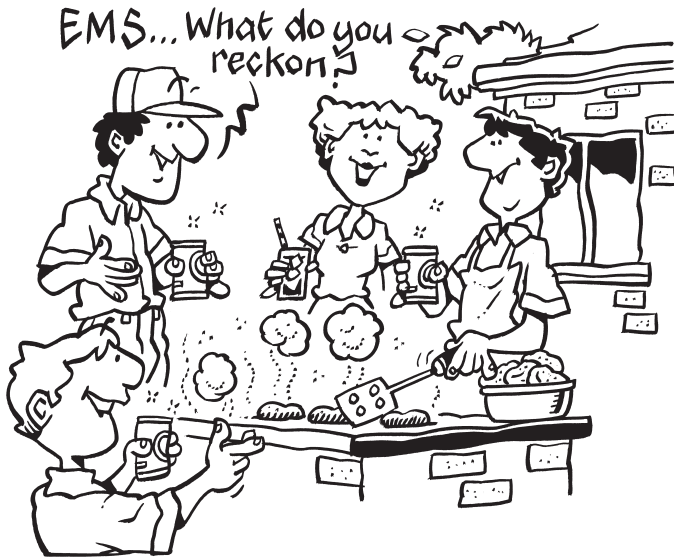
If you intend to do the training yourself, complete each schedule in Worksheet 18, Training Plan. By working through the steps, completing each schedule of the Training Plan Template as you come to it, you will develop your training plan. If necessary, modify the template to suit your needs.

A list of registered training providers accredited to deliver EMS training under the National Seafood Industry Training Package is available at SSA's EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au)). Contact seafood industry training providers and find out what EMS training they have on offer.

A training provider can develop and deliver a Seafood EMS training program tailored to meet your needs. In fact, the Seafood EMS program has been specifically designed, in conjunction with training providers, so that your EMS development and implementation can be undertaken within a training program framework.

A training provider can also help you to access training assistance under government programs, greatly expanding the outcomes that you can achieve for your investment in training.

## TALK ABOUT EMS WITH YOUR MATES



You'll need broad support from your industry colleagues if your EMS is to be successful.

Be sure to talk about EMS with everyone in your industry that you can, including:

- Colleagues
- Suppliers
- Buyers
- Family
- Other industry families
- Community members

## EMS FACILITATORS – TO HELP DRIVE THE PROCESS



The Seafood EMS model is founded on practical, industry-based EMS case studies, which identified the need for groups developing an EMS to agree on a facilitator early in the process.

The facilitator may be a member of the group, another industry person who is keen to champion the EMS process, or someone not directly involved in the industry. The facilitator needs to possess, or acquire, the skills and knowledge needed to help make the process of developing and implementing an EMS clearer and easier to follow. A good facilitator will enable the other people involved to work in ways that suit them best.

Facilitators do not need to be an expert in these areas and in many cases they will be just ahead of the group. However, they do need to be able to gain a good understanding of the group they are working with, the groups' strengths and weaknesses, and the resources available for the EMS.

The roles, skills, knowledge, tips and ideas of a facilitator are covered in Worksheet 01 Tips for EMS facilitators.

SSA also works with registered training providers to conduct Seafood EMS introductory courses aimed at providing the EMS novice with the basic skills and understanding they need to help industry groups get their EMS process underway. These courses are subject to demand and availability of funding.

## RESOURCES TO HELP YOU

You will need different types of resources at different stages of the EMS development. Make your life easier by creating an EMS resource register that can be easily accessed to identify the types of resources you need when you need them. Categorise your resources – suggested headings include:

- **SSA.** Seafood Services Australia publishes this document and many others with the express purpose of assisting the Seafood Industry in developing environmental management systems.
- **Internet.** The SSA website, with all its relevant links would be your first point of call. As you research various topics, you will come across many useful links include these here. The internet is an almost endless source of information on just about anything.
- **Publications.** Magazines, books, brochures, articles, videos, other than SSA. Once you are conscious of the need, it might be surprising just how much you find out there.
- **Education/training.** Trainers and educators can be an exceedingly useful resource. These people are sometimes aware of funding and training opportunities not generally known. Several registered training organisations specialize in seafood industry training. As you hear names or recommendations it is a good idea to keep them here for future reference.
- **Legislation.** Later you will create a Legal Register that will list legislation relevant to your operations. You need a system for monitoring changes and easily accessing this information.

## **DON'T RE-INVENT THE WHEEL ...**

- use existing resources — the Seafood EMS Resources are customised to specifically help people in the seafood industry
- use a computer, e-mail and the Internet to save vast amounts of time and money and gain direct access to a wealth of information
- contact training providers to help you to develop and implement your training plan
- contact a local TAFE college or a university's environmental department — your EMS will be an ideal topic for student projects, and that will help to improve your EMS
- consider contacting a Natural Resource Management facilitator to discuss the opportunities your EMS provides.

## **PLAN YOUR APPROACH...**

- you can achieve a lot by having 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 anti-fishing groups have, with little more than 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
- from the outset, create a workable document control process and filing system — it will save frustration later
- 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 resources are limited, tackle the most pressing issues first and expand your actions 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
- if you are seeking certification, identify your documentation requirements up-front.

## ORGANISE YOUR DOCUMENTS

You will need to create a workable filing system as early as possible in the process to manage the wealth of information that you will generate or collect. Worksheet 19 Document Control includes a Master List Document Control Form, which you can use as your filing system.

EMS documents should be reviewed, revised and approved on a regular basis so that up-to-date information is available on the task or work activity being performed. To keep track of revisions, use the revision table on the SEMS Individual Document Control Form provided in Worksheet 19 Document Control, and put this sheet at the beginning of all documents in your master list.

By using the Seafood EMS Resources, most of your EMS documentation is taken care of. However, an efficient document control system is essential to keep track of your EMS documentation and records.

Most importantly, an effective document control system will help to reduce your workload, eliminate duplication, and make sure everyone is working from the same and latest key EMS documents.

EMS documentation describes what you do and how you do it, while EMS records demonstrate that you are doing what the documentation said you would do.

To ensure against unintended use, obsolete documents should be promptly removed from all points of issue and points of use, while any obsolete documents retained for legal and/or knowledge preservation purposes, should be identified as such.

Hints:

- Use a minimum of tracking documents (master lists), controlled forms, controlled lists
- Develop the minimum number of forms
- If a form is to serve more than one purpose, make sure that it works for all uses
- Use the SEMS document control form for controlled documents that you need to track

## **BUILD ON YOUR STRENGTHS...**

- when you think about it, you'll probably realise you already have many elements of an EMS in place
- many of the issues you identify are already being addressed, even though a formal documented process may not exist — all you may need to for many of these issues is to simply document your current work practices
- transparency is essential to success — a positive public image is vital to your industry
- do good things and tell plenty of people about them — where will the community get its information from if you do not tell the good news stories?
- engage in the Natural Resource Management process – See appendix 1 for more information.

***Do good things, and tell plenty of people about them!***

## **ENJOYING THE BENEFITS OF YOUR EMS**

The benefits you receive from your EMS will be directly related to the time, effort and resources you and your colleagues put into it. The following tips will help you to use resources efficiently and gain access to other sources of help.

For starters ...

- work smarter, not harder — look around for good ideas and successful models, including those outside the fishing industry
- understand the individual elements of an EMS, then start putting these elements in place
- follow a logical sequence to save time and money and minimise “false starts”
- match your expectations to your time and resources
- match your high-priority activities to your resources — get the biggest “bang for your buck”.

***In a nutshell — Work smarter, not harder!***

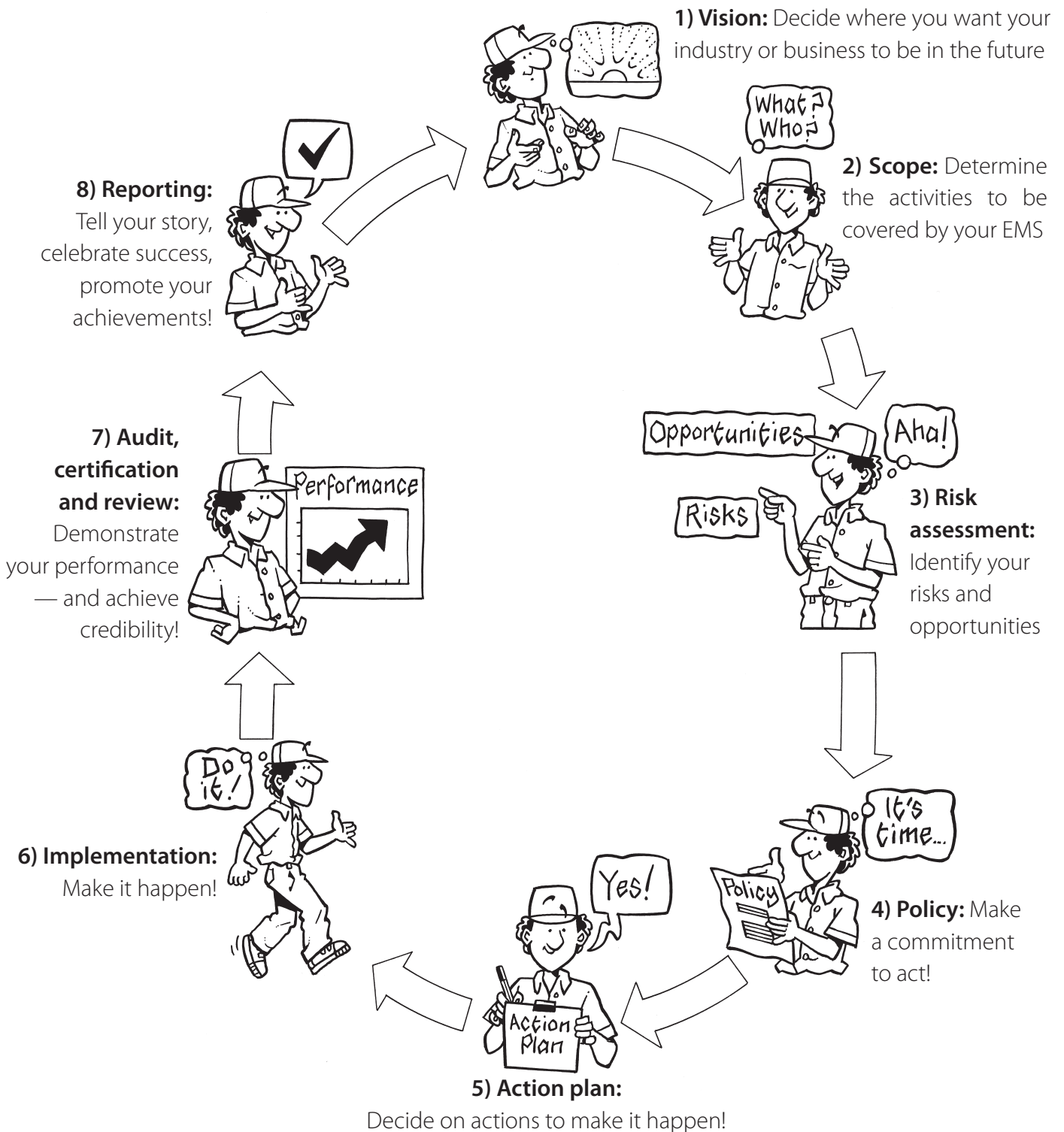


## **WORKSHEETS USED IN THE INTRODUCTION:**

Refer to the Worksheet Manual for worksheets used in the introduction.

- Worksheet 01 Tips for facilitators
- Worksheet 02 Conducting workshops
- Worksheet 19 Document Control

# DEVELOPING AND IMPLEMENTING YOUR SEAFOOD EMS





To set up your own Seafood EMS, you need to follow the eight Seafood EMS Steps shown on the opposite page. Study the diagram now, to understand the sequence of the steps before we move on to each in turn.

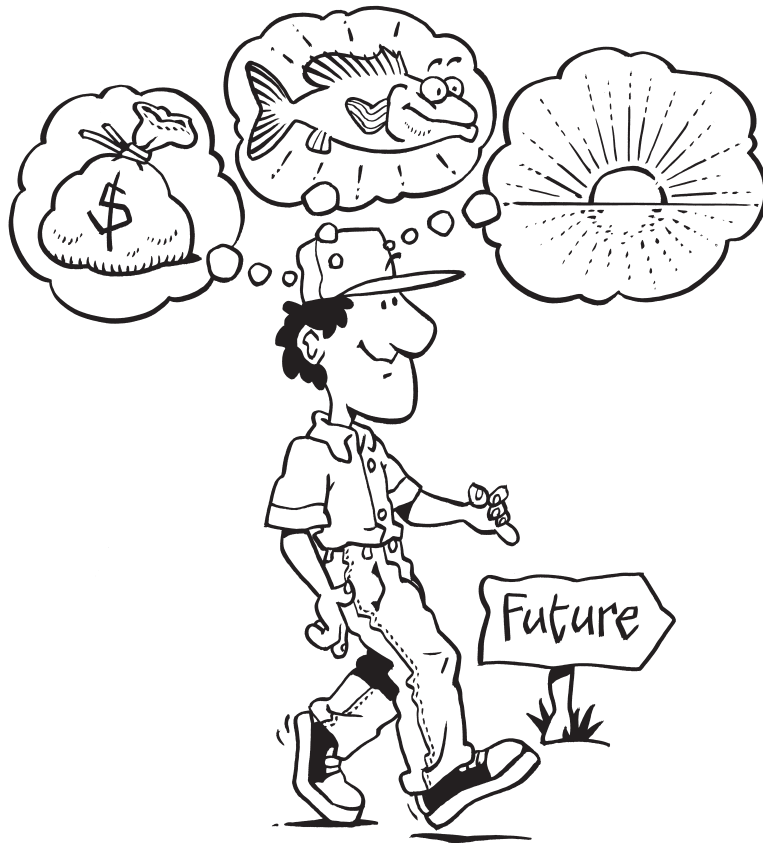
## **WORKING THROUGH THE STEPS — KEY POINTS TO REMEMBER**

This section is an outline of what's involved in each of the eight Seafood EMS steps. Read through and work through the steps.

Some key points to remember as you work through this process are:

- 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 a normal part of the process
- follow the instructions, read the helpful hints, look at the ideas and examples
- use the checklists and worksheets in the Seafood EMS Resources to develop your EMS and to record the outcomes from each step — this information will help to form your EMS plan.

The sequence and content of the eight Seafood EMS steps results from intensive consultation with seafood industry people who have been developing EMSs. We're grateful for their help!



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

## **Step 1. Vision: Decide where you want your industry or business to be in the future**

***Your vision is a concise statement describing what you want your industry and business to look like in the future.***

Your vision<sup>1</sup> is an extremely powerful point of focus. In fact it's more than that — it's a tool, an over-arching "signpost" to achieving collective action from members of your group. A shared vision for the future gives you a solid base to achieve cooperation on many issues, and to work through complex or 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. It will help you to work out the activities your EMS needs to cover, who will need to come on your EMS journey, and how you will reach your destination.

---

<sup>1</sup>**'Vision'** a concise statement that describes who you are and what you want your industry or business to look like in the future

## HELPFUL HINTS

- before you can agree on a vision, you need to define who you are as a group — if you don't have an established organisation, agree on a name that describes your group
- the best vision statements are brief and concise — 20 words or less is best — if it has to be longer, use dot points to divide it into manageable “bites”
- describe what you want your industry to look like in 5 to 10 years' time
- think more broadly than the physical environment — consider economic and social aspects
- step back from today's challenges — think about the key characteristics of your future industry or business (e.g. profitable, secure resource access, public support, etc)
- avoid getting into any detail of how you will achieve your vision — that comes later
- don't get hung up on perfecting your vision statement the first time around — there will be plenty of opportunities to fine-tune it later
- keep it simple — for others to share your vision, they need to understand it
- make your vision credible — and reasonably achievable in the timeframe
- remember this is your vision — you need to be happy with it!
- circulate your draft vision to people who were unable to be involved in developing it — they will be more likely to share “ownership”
- your vision is a great tool for positive promotion — include it in reports and on brochures to help others to understand your commitment to a sustainable, prosperous future
- check out the examples in the Seafood EMS Resources.

***If members of your organisation, business, fishery or aquaculture sector are actively looking for ways to improve the future, they will gain a powerful advantage over organisations that are not.***

## DEVELOPING YOUR VISION

Your vision is a concise statement describing what you want your industry and business to look like in the future.

In this step you will:

- develop a draft vision statement
- consider organisations<sup>2</sup> that may take carriage of your EMS
- agree on a person to act your EMS Facilitator for the time being
- create a contacts list for members of your group
- create a list of your other stakeholders
- document the above.

Like much of strategic planning, creating a vision begins with, and relies heavily on, intuition and ideas. As part of the process, you might brainstorm with your members or organisation about what you would like to accomplish in the future. Talk about and write down the values that you share in pursuing that vision. A variety of ideas adds strength to the process. People can spur each other on to more valuable dreams and visions – ideas of a positive future that they are willing to work hard for.

Organisations like yours, whose members are actively looking for ways to improve the future, have a powerful competitive and strategic advantage over other organisations.

***Members of your group must understand and share your vision. Get them involved and have them sign off on each draft.***

Some examples of visions are:

“A viable, sustainable commercial gulf fishery, respected by all people”  
(Gulf Fishermen’s Association, 2003).

“A prosperous and internationally competitive fishing industry, based on demonstrably sustainable resources, which provides high-quality product to consumers and enjoys strong community support.”

“A healthy marine ecosystem, sustaining present and future generations, with commercial fishermen harvesting high-quality products for the public.”

<sup>2</sup> ‘EMS organisation’ the organisation that you agree will take carriage of your EMS

## WORKSHEETS USED IN THIS STEP

Refer to the Worksheet Manual for worksheets used in this step.

- Worksheet 03 Record your vision
- Worksheet 04 Contacts register
- Worksheet 05 SEMS agreement form

## EXERCISE 1: APPLY THE THEORY

- 1 Peruse this section of the manual so that you understand what a vision is, why you need to have a vision, and how you go about developing it – pay particular attention to the helpful hints and examples.
- 2 Check out the Seafood EMS website at [www.seafoodems.com.au](http://www.seafoodems.com.au) for visions developed by other organisations developing an EMS.
- 3 Discuss EMS with other industry members whose interests are similar to yours – record the outcomes of discussions held at meetings or workshops.
- 4 Reach agreement as a group on the following:
  - a. your draft Vision
  - b. a person to act as EMS Facilitator for the time being
  - c. an organisation that may be well placed to take carriage of your EMS, OR
  - d. if a suitable organisation does not already exist, agree on a name for your group – an informal organisation is all that is needed for now
- 5 Record your organisation name and draft vision in Worksheet 03 Record your vision
- 6 Record the contact details of your members and stakeholders in Worksheet 04 Contacts register. Provide each member of your group with a copy.
- 7 Ask your members to sign their agreement to current outcomes in Worksheet 05 SEMS agreement form.
- 8 Place copies of all documents in your SEMS Folder and start Worksheet 19 Document Control.
- 9 Consult other industry members about your draft vision and make improvements where possible based on that consultation – remember to get as many people in your group to sign off on each draft of your shared vision.
- 10 Contact SSA if you need more information or advice about Seafood EMS.

### ***Make working copies of worksheets for use in this exercise.***

When you have discussed and documented this exercise, you will have done a lot of soul searching and you may well have a different vision from the one you started with. Whatever the case, you will have a clearer and more realistic view of your industry's opportunities and challenges.



You will also have some understanding of the strategies and tactics that you will need to consider to realise your vision and to jump hurdles encountered along the way. This will be very important for later steps. You will have also thought about the implications and benefits of realising your vision – people, plant, stock, finance, location, and organisation growth. What about the positive impacts on lifestyle, family, and so on? Remember the old adage: *“Be careful what you wish for – you just might get it.”*

## SELF-ASSESSMENT 1

When you have finished and you believe you have an agreed vision, complete this self-assessment. If you are satisfied with the result, move on to Step 2. If you are not satisfied, revise or revisit those areas that you were not happy with.

- ✓
- Have you agreed on an EMS facilitator?
- Have you discussed options for your EMS organisation?
- Have you recorded your organisation name and draft vision in the worksheet?
- Have you created a contacts register?
- Have your members signed their agreement to the outcomes to date?
- Have you placed copies of all documents in the SEMS Folder?
- Have you agreed on a process for consulting other industry members?
- Has your group discussed your values, aspirations and goals?
- Did you brainstorm your ideas in the process of creating your vision?
- Does your vision statement reflect your agreement on what you want your industry and businesses to look like in the future (5-10 years)?
- Is your vision statement clear, concise and brief?



*Determine the activities to be covered; consider who else needs to be involved*

## Step 2. Scope<sup>3</sup>: Determine the activities to be covered by your EMS

***Your scope describes the sector, operations and activities to be covered by your EMS, and helps you to define the people who need to be involved.***

Under the Seafood EMS model, your scope will describe the industry sector<sup>4</sup> and jurisdiction<sup>5</sup>; fishery or aquaculture operations; area of operations<sup>6</sup>; species<sup>7</sup>; and fishing or aquaculture methods<sup>8</sup>.

Be careful not to include activities that members of your group do not have any control over. The success of your EMS is dependent on being able to demonstrate that risks and opportunities associated with your activities are addressed.

You may decide to take actions aimed at influencing other activities that impact on your industry or business. For example, you may decide to lobby for changes to land-based activities to reduce their downstream environmental impacts on your fishery.

<sup>3</sup> **'scope'** a succinct description of the operations and activities to be covered by your EMS

<sup>4</sup> **'sector'** the aquaculture sector or fishery in which you conduct your commercial fishing or aquaculture businesses Note: a fishery is normally described in accordance with its fishery management plan (eg, Northern Prawn Fishery)

<sup>5</sup> **'jurisdiction'** the Commonwealth or State jurisdiction that has legislative responsibility over the industry sector in which members of your group conduct their commercial fishing or aquaculture businesses - normally the jurisdiction responsible for issuing licenses or permits

<sup>6</sup> **'area of operations'** the geographical area in which you conduct your fishing or aquaculture businesses

<sup>7</sup> **'species'** the species that you produce or harvest

<sup>8</sup> **'methods'** the production or harvesting methods that you use

## HELPFUL HINTS

- be concise — avoid confusion about what your EMS covers and what it does not
- cover only the industry sector, activities, species and areas that are relevant to your members' operations
- don't confuse your scope with your priorities — your EMS should cover all of your operations with potential environmental impacts, even if you decide to address only high-priority issues for now
- you need a core group of people who are keen to "make it happen", so get them involved early in the process to make sure they understand what you are doing — others will come on board when they see the EMS taking shape
- visit the Seafood EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au)) for some good examples — modify them to suit your situation
- briefly revisit your vision to ensure it is consistent with your scope
- start discussion on your EMS management structure — this will be formalised later.

## DEFINING YOUR SCOPE

Your scope describes the sector, operations and activities to be covered by your EMS, and helps you to define the people who need to be involved and clarify the activities that you accept direct responsibility for.

In this step you will:

- define and document your EMS Scope
- give initial consideration to your EMS management team (finalised under step 4)
- establish a legal register
- update your members contacts list
- update the list of other stakeholders.

### Legal register

To comply with applicable laws and regulations, you need to know what rules apply and how they affect what you do. The potential costs of non-compliance (possible damage to the environment, revenue loss and impact on public image, for example) can be very high.

The onus is on you as a professional to know what laws apply to your operations. This is not always an easy task given the level of regulation in some sections of the seafood industry.

Furthermore, different laws and regulations apply to different sectors of your industry and different parts of the country.

New or revised legal requirements might require modification of EMS elements.

By anticipating new requirements and making changes to your operations, you will minimise the risk of non-compliance and the potential associated costs.

An effective EMS should include procedures to:

- identify and communicate applicable legal and other requirements
- ensure that these requirements are factored into the organisation's management efforts
- keep abreast of any changes to relevant laws and policies

You need to create a Legal Register to record this information. Identifying applicable regulations, interpreting them, and determining their impacts on your operations can be a time-consuming task. Fortunately, there are many methods for obtaining information about applicable laws or regulations.

These methods include using the Internet; regulatory agencies (federal, state and local); Public libraries; customers, vendors and other companies; commercial services; trade groups etc.

## Examples

### Example 1: Scope (commercial fishing example)

Jurisdiction:	Queensland
Sector:	East Coast Trawl Fishery (Endorsements M1 and M)
Area of operations:	Moreton Bay
Species:	All permitted species (list)
Methods:	Otter trawl and beam trawl

### Example 2: Scope (aquaculture example)

Jurisdiction:	South Australia
Sector:	Aquaculture
Area of operations:	South Australia
Species:	Pacific oysters
Methods:	Oyster farming (all methods)

## WORKSHEETS USED IN THIS STEP

Refer to the Worksheet Manual for worksheets used in this step.

- Worksheet 05 SEMS agreement form
- Worksheet 06 Record your scope
- Worksheet 07 Legal register

## EXERCISE 2: APPLY THE THEORY

- 1 Peruse this section of the manual so that you understand what your EMS scope is, why you need to have a scope, and how you go about defining it – pay particular attention to the helpful hints and examples.
- 2 Check out the Seafood EMS website at [www.seafoodems.com.au](http://www.seafoodems.com.au) for the scope of EMSs developed by other organisations.
- 3 Discuss an appropriate scope for your EMS with other members of your group – record the outcomes of discussions held at meetings or workshops.
- 4 Reach agreement as a group on the following elements of your EMS scope:
  - a. jurisdiction
  - b. sector
  - c. area of operations
  - d. methods
  - e. species
- 5 Record your draft scope in Worksheet 06 Record your scope.
- 6 Create a legal register using Worksheet 07 Legal register.
- 7 Update your contacts register.
- 8 Discuss your EMS management team and its role (formalised later).
- 9 Summarise discussion on issues and decisions taken.
- 10 Ask your members to sign their agreement to current outcomes in Worksheet 05 SEMS agreement form.
- 11 Place copies of working documents in your Seafood EMS Folder.
- 12 Consult other industry members who have not been involved in defining the scope – remember to get as many people in your group to sign off on your progress.

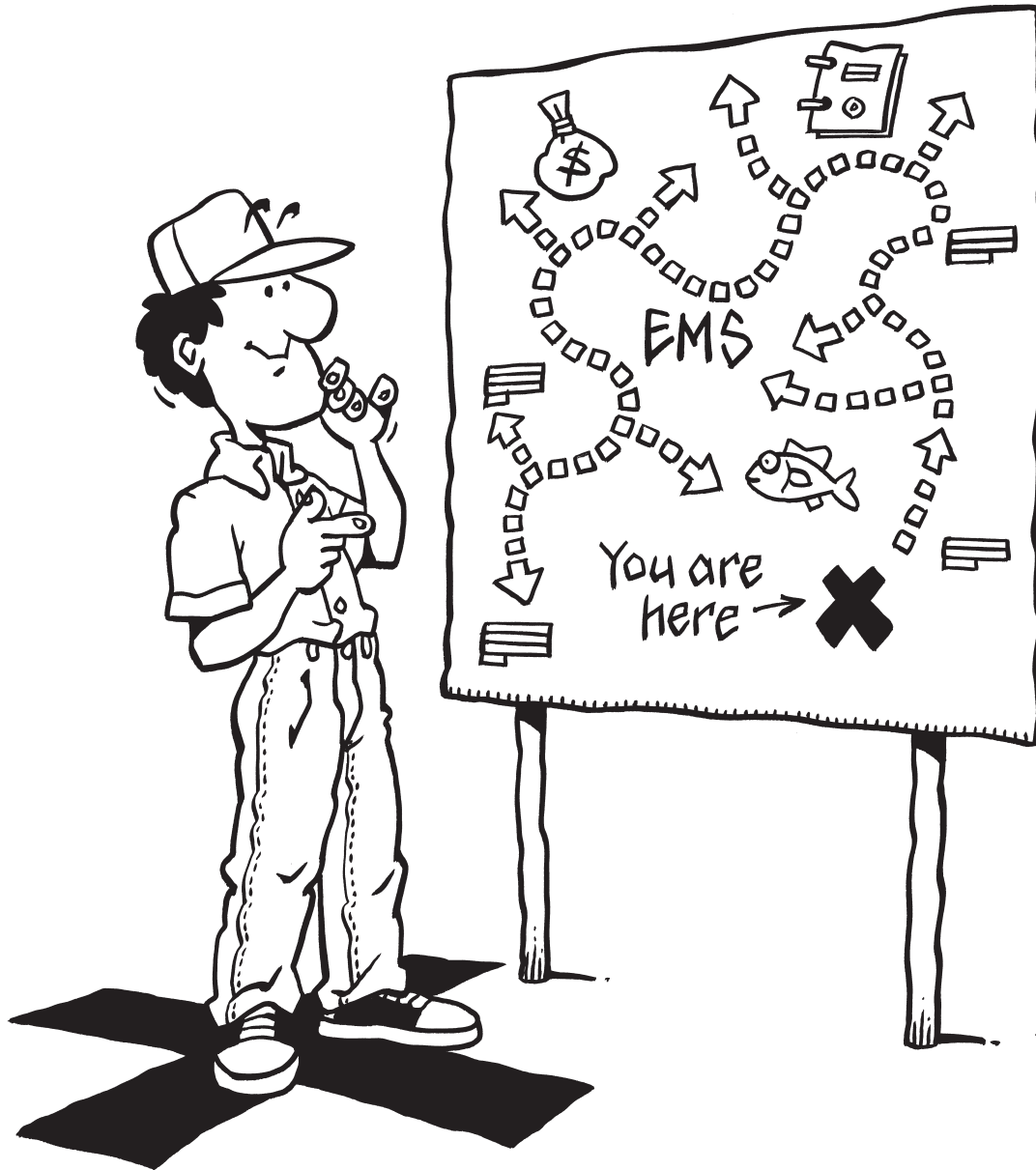
***Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.***

## SELF-ASSESSMENT 2

When you have finished all the tasks listed in Exercise 2, complete this self-assessment. If you are satisfied with the result, move on to Step 3. If you are not satisfied, revise or revisit those areas that you are not happy with.

- ✓
- Has your group discussed and agreed on your EMS scope?
- Does your scope clearly describe the operations to be covered by your EMS by: jurisdiction; sector; area of operations; methods; and species?
- Have you recorded your draft scope in the worksheet?
- Have you created a legal register?
- Have you discussed your EMS management structure and the membership and role?
- Have you updated the contacts register?
- Have your members signed their agreement to progress to date?
- Have you placed copies of all documents in the SEMS Folder?
- Have you agreed on a process for consulting other industry members?

## IDENTIFY YOUR RISKS AND OPPORTUNITIES!



*People who go on the EMS journey often find that risks and threats are opportunities in disguise. Your risk assessment should also be an assessment of your opportunities!*



## Step 3. Risk<sup>9</sup> Assessment: Identify your risks and opportunities

***Your risk assessment helps you to identify the internal and external risks to your industry or business, and to decide which risks need preventative actions.***

Risks to your industry or business may relate to the environment<sup>10</sup>, food safety<sup>11</sup>, OH&S<sup>12</sup>, profitability or public relations<sup>13</sup>. Internal risks are those arising as a consequence<sup>14</sup> of your operations<sup>15</sup> and activities<sup>16</sup>. External risks are those arising from other people's activities, or from natural events such as extreme weather conditions.

By planning to manage your own risks, countermeasures can be in place to offset negative impacts before they materialise, or to capitalise on positive opportunities that may otherwise pass you by. However, to do this you need to know what those risks are, and the level of risk they may pose. Then you need to decide which risks require corrective actions<sup>17</sup>.

Risk assessment can help you to achieve more effective business planning, better cost control, enhanced public perception of your industry, adoption of improved practices, more efficient utilisation of resources, and a stronger culture of continual improvement.

9 'Risk' the probability, amount or type of harm, loss or damage that may be caused by a hazard

10 'Environmental risk' an event that could cause impact on the environment

11 'Food safety and quality risk' an event that could cause a risk to the consumer of seafood, or which could impact negatively on the quality of seafood

12 'OH&S risk' an event related to your activities that could injure your personnel or any other member of the public

13 'Public relations risk' an event that could impact negatively on the image of your operations or industry

14 'Consequence' the level of impact if it does occur (negligible, minor, moderate, severe or major)

15 'Operation' a series or group of related activities involved in conducting your business

16 'Activity' something that somebody does in the conduct of your business

17 'Corrective action' means action to meet a goal, or address a goal that is not being met and to minimise the risk of that goal not being met in the future

## HELPFUL HINTS

- this step is all 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)
- list as many of your activities as possible — then, work through each activity and identify the associated risks (these are internal risks)
- then move on to external risks — those associated with other people's activities
- decide which risks need corrective action, taking into account current arrangements
- don't get bogged down by considering what action to take — you'll decide that later
- consider the public's perception of your industry, and your image in the media
- think more broadly than the physical environment — consider economic and social aspects
- put all issues on the table — experience shows that sweeping any under the carpet will "cost you" in the long term
- remind yourselves of your common vision if the going seems tough
- identify the things you are doing well, and build on these strengths
- scan the horizon for future opportunities to forge a more secure industry
- identify many "good news" stories that can be used later to promote your EMS plan and your industry and business
- in this and the other Seafood EMS steps, remember that the Seafood EMS Resources, will take you through the processes step-by-step — for now, just absorb the general ideas when you look at these steps.

## INTERNAL AND EXTERNAL RISKS

Your risk assessment needs to consider internal and external risks that may impact positively or negatively on your industry.

**Internal risks** are those arising directly from your operations. These are associated with your activities, for example fishing, handling product and loading fuel. These are risks over which you have some control and can directly manage with your EMS.

**External risks** are those associated with the activities of other people, and which may pose a direct or indirect risk to your organisation or business for example effluent discharge by local authorities and fertiliser runoff from farmland. These are risks that you do not have direct control over. However, your EMS can help you to plan actions aimed at influencing the activities in ways that reduce or eliminate those risks.

External risks can also be associated with natural events such as extreme weather conditions. Cyclones or droughts are examples. While you cannot influence the likelihood<sup>18</sup> of those events occurring, your EMS can help you to plan and implement measures aimed at minimising the impact on your organisation when these events occur.

## UNDERTAKING YOUR RISK ASSESSMENT

Your risk assessment helps you to identify the internal and external risks to your industry or business, and to decide which risks need preventative actions.

In this step, you will conduct a risk assessment. To do this you will:

- list the activities undertaken in conducting your operations
- identify potential hazards<sup>19</sup> associated with each activity
- briefly describe the potential risk associated with each hazard
- classify each risk type<sup>20</sup> (environmental, food safety and quality, OH&S, profitability or public relations)
- briefly describe current controls aimed at mitigating risks
- rank each risk<sup>21</sup>, taking into account current controls<sup>22</sup>
- identify your strengths, weaknesses, opportunities and threats
- update your contacts register
- document the above.

Remember, risks and threats are often opportunities in disguise – therefore your risk assessment is also an assessment of your opportunities!

Before you can manage risks to your business, you need to know what those risks are. You also need to know the level of risk they may pose, then decide what actions (if any) are needed to offset the risk level.

While risks are usually defined in negative terms, they may have positive outcomes and therefore be an opportunity.

<sup>18</sup> **'Likelihood'** the degree of probability (remote, rare, unlikely, possible or occasional)

<sup>19</sup> **'Hazard'** a factor, thing, element, condition, course or event (planned or unplanned) with the potential to cause an adverse effect on an organisation, its operation, process, or planning

<sup>20</sup> **'risk type'** the type of risk including environmental, OH&S etc. listed above

<sup>21</sup> **'risk ranking'** the level of risk determined by assessing the likelihood of that risk occurring and the consequence if it does

<sup>22</sup> **'current controls'** current management or control measures aimed at reducing or eliminating a risk

Start with your internal risks. Remember, every internal risk is associated with the activities of people involved in your operations. Risks that are not associated with your activities are external risks.

Accordingly, you first need to list as many of your activities as possible. Then, work through each activity and identify the associated hazards potential risks and current management arrangements aimed at avoiding or mitigating potential risks. Follow the same process to assess your external risks, those that are associated with other peoples' activities.

Risk assessments enhance decision making by giving you a greater insight into your strengths (what you are doing well), weaknesses (what you need to do better at), opportunities (to progress towards your vision) and threats (things that might get in the way). You can then start planning to close the gap between where you are now and where you want it to be in the future. The knowledge gained from your risk assessment will help you to achieve:

- more effective business planning
- better cost control
- improved efficiency through minimised losses and maximised opportunities
- enhanced public perception of your industry through adoption of improved practices
- more efficient utilisation of resources
- a strengthening culture for continued improvement
- a best practice and quality organisation

## **RISK TYPES AND RISK RANKINGS**

So that you can sort your risks for more effective reporting and management allocate one of the following risk types against each potential risk:

- **ENV** (environmental risk)
- **FSQ** (food safety or quality risk)
- **OHS** (occupational health and safety risk)
- **P** (risk to your profitability)
- **PR** (risk to your public relations)

Using the SEMS Risk Ranking Tool, you can determine a relative ranking for each risk that is quite adequate for the purpose of your EMS.

***The SEMS Risk Ranking Tool has been developed based on the risk assessment tool agreed to by all fisheries agencies in Australia through the FRDC's ESD Sub-Program***

After completing the process on the previous page, you will finish your risk assessment. However, there is one more very important decision to make before you can move onto the next step.

## **DECIDING WHETHER CORRECTIVE ACTION IS REQUIRED**

Is corrective action required? This critical question must be answered in relation to every risk identified in your risk assessment. The answer will determine whether or not you will further consider that risk in your EMS.

Do not get bogged down now by trying to decide what action you will take to mitigate risks. Those decisions will be made in Step 5 when you can properly focus on all of the options – there are likely to be several.

You need to decide which risks could result in unacceptable impacts on your organisation and therefore require corrective actions aimed at reducing or eliminating those risks. This simply requires a Yes/No answer at this stage – you will determine what action or actions to take later.

Using Worksheet 09 Ranking risks, work through each risk separately and record a yes/no answer in Worksheet 10 Risk report. If you feel the answer to any of the questions is no, corrective action should be taken (answer YES in worksheet 10), if the answer to every question is yes, corrective action is probably not required (answer NO in worksheet 10).

## **WORKSHEETS USED IN THIS STEP**

Refer to the Worksheet Manual for worksheets used in this step.

- Worksheet 08 Risk assessment
- Worksheet 09 Ranking risks & Corrective action
- Worksheet 10 Risk report

## EXERCISE 3 APPLY THE THEORY

- 1 Peruse this section of the manual so that you understand what a risk assessment is, why it is needed, and how you go about it – pay particular attention to the helpful hints.
- 2 Check out the Seafood EMS website at [www.seafoodems.com.au](http://www.seafoodems.com.au) for risks identified by other organisations.
- 3 Use the Worksheet 08 Risk assessment to assess your internal risks as follows:
  - a. List at least ten of your activities – these 10 activities should be spread across at least 4 operations in your business
  - b. Beside each activity, record the associated hazards
  - c. Beside each hazard, tick or briefly describe its potential risk
  - d. Beside each risk, briefly describe current controls that aim to reduce or eliminate that risk
  - e. Beside each risk, allocate a risk type (ENV, FSQ, OHS, P or PR)
  - f. Using Worksheet 09 Ranking risks, rank each risk, taking into account the current controls and record the ranking in the worksheet
  - g. in the same worksheet, use the corrective actions dot points to decide which risks require corrective action to reduce or eliminate the potential risk (Yes or No)
- 4 Follow the same process to assess and rank your external risks, and to decide whether corrective action is required.
- 5 Record all identified risks (including those that do not require corrective actions) in the Worksheet 10 Risk report (this report will be included with your SEMS Plan).
- 6 Discuss whether you need to review your vision or scope based on the risk assessment outcomes?
- 7 Update your legal register.
- 8 Update your contacts register.
- 9 Seek written agreement from members of your group to the outcomes to date.
- 10 Place copies of all working documents in your Seafood EMS Folder and complete Worksheet 19 Document control.
- 11 Consult other industry members who have not been involved in your risk assessment.

***Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.***

Review all that you have written for this step. Polish it and adjust it to suit yourself, but ensure that it is relevant to your organisation and that it addresses **all** the elements that apply to your organisation. Use the checklist that follows to ensure you have covered all relevant points.

Keep in mind that in the future, you will refer back many times to what you have written here. This is the result of much thought and research on your part and the information in it is **totally relevant** to your situation. It will be a valuable reference document and it is worth doing it thoroughly now.

### SELF-ASSESSMENT 3

When you have completed Step 3, do this self-assessment. If you are satisfied with the result, move on to Step 4. If you are not satisfied, revise those areas with which you were not happy.

Below is the list of topics you should have addressed:

- ✓
- Did you peruse the relevant Seafood EMS information about risk assessment?
- Did you use Worksheet 08 Risk assessment to assess you internal risks and:
- List at least ten of your activities (across at least 4 operations in your business)?
  - Beside each activity, record the associated hazards?
  - Beside each hazard, briefly describe its potential risk?
  - Beside each risk, allocate a risk type (ENC, FSQ, OHS, P or PR)?
  - Beside each risk, briefly describe current controls?
- Did you use Worksheet 09 Ranking risks, the risk-ranking tool to rank each potential risk and decide which risks require corrective actions to reduce or eliminate the potential risk?
- Did you follow the same process to assess and rank your external risks, and to decide whether corrective action is required?
- Have you recorded all identified risks (including those that do not require corrective actions) in Worksheet 10 Risk report?
- Did you discuss whether you need to review your vision or scope based on the risk assessment outcomes – and keep notes of those discussions?
- Did you update your legal register?
- Have you updated your contacts register?

**SELF-ASSESSMENT 3** (CONTINUED)

Have your members signed their agreement to progress to date?

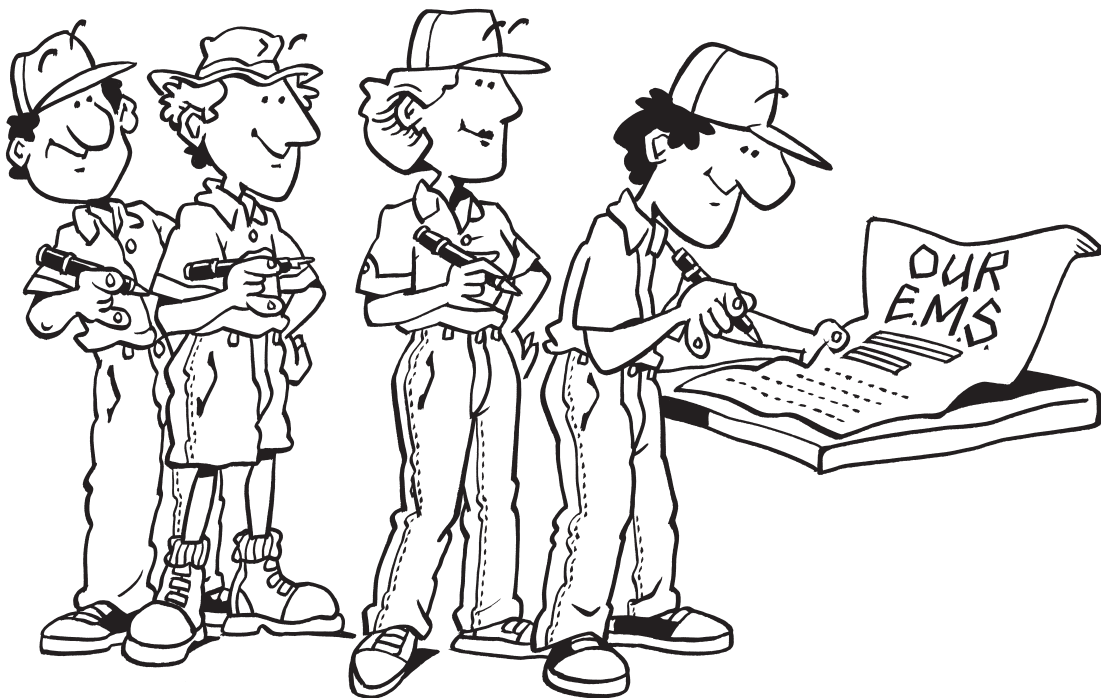
Have you placed copies of all documents in the SEMS Folder?

Have you agreed on a process for consulting other industry members?

You should submit your assignment only when you have ticked every box.







*Make a commitment to act!*

## **Step 4. Policy<sup>23</sup> & Management: Make a commitment to act!**

***Your policy is a commitment to manage your environmental and other risks.***

Your policy statement reflects your commitment to decide on and implement actions aimed at reducing or eliminating risks and capitalising on opportunities. It provides a framework to focus the efforts of your organisation on closing the gap between where you want to be in the future (Step 1) and where you are now (Step 3).

You also need to give your EMS some “legs”. Identify your industry champions, and lend them support. 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.

---

<sup>23</sup> **‘Policy’** your commitment to take actions aimed at reducing or eliminating risks and capitalising on opportunities

## 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
- think of what you want to achieve — not just what you think you can achieve
- keep your policy brief and concise, so everyone understands it
- word your policy statement in terms that are clear and measurable, so that they can be specifically addressed in your action plan
- commit to addressing the impacts and opportunities identified in Step 3
- make your commitments reasonably achievable — over-commitment may result in a loss of credibility
- don't commit to changing activities that you have no control over — although you may decide 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
- consult as many industry members as possible to ensure they understand your policy, have some "ownership" over it, and commit to subsequent actions
- make every effort to accommodate the legitimate views or concerns of stakeholders
- ensure everyone in your group signs on to your policy statement
- briefly re-visit your vision and scope to make sure they remain compatible with your policy
- make the launch of your policy an opportunity for positive publicity — to demonstrate your environmental commitment to the public
- decide on an appropriate EMS management structure and the membership and role of your EMS management team<sup>24</sup>
- decide on an organisation<sup>25</sup> (existing or new) to take carriage of your EMS
- look for one or more leaders or champions in every group — the challenge is often to identify them and then to encourage them to take on a more formal leadership role, in this case to champion the EMS in the industry and community.

<sup>24</sup>'EMS management team' the people selected by your group to oversee and drive your EMS development and implementation

<sup>25</sup>'EMS organisation' the organisation that you agree will take carriage of your EMS

## DEVELOPING YOUR POLICY

***Your policy is a commitment to manage your environmental and other risks.***

In this step, you will:

- develop a Policy statement
- determine your EMS management team and its terms of reference
- decide on your EMS association
- document the above.

Your policy should be explicit and use quantifiable terms. If you use phrases such as “We are committed to excellence and leadership in protecting the environment,” you should consider how you would demonstrate that such a commitment is being met.

Since it serves as the framework for determining and taking future action, your policy statement needs to be couched in terms that are sufficiently clear and measurable so that they can be specifically addressed in your action plan.

Your policy should at least commit your organisation to continual improvement, ethical and responsible business and environmental practices and compliance with relevant laws and regulations. Other policy commitments to consider are in the examples.

You need to consult as many industry members as possible when developing your policy to ensure they understand it, are committed to it, and have some ownership over and commitment to subsequent actions.

When your group has agreed on a draft policy, you should also consult other stakeholders who have a potential interest in the future directions and actions you are committing to pursue. Use your list of interested stakeholders for this consultation. Stakeholders that you should consider consulting include government agencies, financial institutions, insurers, customers, employees, investors, environmental groups, consumer groups, the general community, and importantly people involved in other sectors of the industry (eg, processors, marketers, etc).

When finalising your policy statement, make every effort to accommodate the legitimate views and concerns of your members and stakeholders.

## EXAMPLES

### Example 3: Policy (example using policy goals and commitments)

Policy goals:

- 1 To supply our customers with safe, quality seafood harvested in a sustainable and responsible way.
- 2 To improve community awareness and support for our industry and its practices.
- 3 To raise community and government awareness of our industry's important social and economic contributions, particularly in regional coastal areas.
- 4 To have a greater influence over other decisions that affect our industry, including decisions relating to the impact of other activities that impact on fisheries ecosystems.

#### Commitment to achieving policy goals

We are committed to identifying and implementing actions that enables our industry to:

- continually improve our environmental performance
- ensure the highest possible level of seafood safety and quality
- integrate environmental, economic and social factors into day-to-day planning
- raise awareness of the social and economic dimensions of our industry
- adopt and develop best practice
- understand and address legitimate community expectations about our industry
- encourage personnel to acquire relevant skills and training
- effectively report to the public on our industry's performance.

### Example 4: Policy (generic – brief)

Our organisation and its members are committed to:

- establishing and continually improving an EMS that covers our operations
  - complying with applicable laws, regulations, policies and licence/permit conditions
  - establishing targets and actions to minimise, as much as reasonably achievable, negative risks associated with our activities, and in particular the environmental risks
  - monitoring progress towards actions and targets
  - developing and implementing training programmes to ensure that environmental protection and awareness are priorities of members, employees and contractors, whose activities may have a significant impact upon the environment or community
  - openness and transparency, including consultation with interested stakeholders and provision of information about our industry
-

### **Example 5: Long Sound Professional Net Fishing Association**

The Long Sound Professional Net Fishing Association is committed, as an integral part of its function, to managing risks associated with the environment, food safety & quality, occupational health and safety, economic issues and community relations.

In particular, it is the association's policy to assure the ethical and profitable integrity of its members processes and facilities at all times and at all places. This will be achieved by encouraging and influencing members, associates and business partners to adhere to the following principles:

#### **Compliance**

We will comply with all applicable laws and regulations and will implement programmes and procedures to assure compliance. Compliance with environmental, commercial and ethical standards will be a key ingredient in the training, performance reviews and incentives of all members.

Membership of The Long Sound Professional Net Fishing Association will be conditional upon compliance with these principles. Each member will be a signatory to this document.

Suppliers and business partners will be appraised of this policy and preference will be given to those prepared to abide by its principles where it applies to them.

#### **Prevention**

The Long Sound Professional Net Fishing Association will encourage and assist its members to:

- Establish and meet our own standards where existing laws and regulations are not adequate to assure protection of the environment.
- Employ management systems and procedures specifically designed to prevent activities and/or conditions that pose a threat to the environment or the welfare and integrity of the association or its members.
- Strive to prevent releases to the atmosphere, land or water. Minimise the amount and toxicity of waste generated and to ensure the safe treatment and disposal of waste.
- Minimise risk and protect employees and the communities in which we operate by employing safe technologies and operating procedures, and to be prepared for emergencies.
- We will communicate our commitment to our suppliers and customers. We will solicit their contribution in meeting our goals and in turn will offer assistance to meet their goals.
- We will ensure public awareness of our industry and its good influences through regular community forums, press releases and informal networks.

## Continual Improvement

The association will constantly seek opportunities to improve its members' adherence to these principles through training, and will regularly solicit ideas from and report progress to its stakeholders and the community. The association will institute and maintain a formal system of monitoring, review and continuous improvement of our EMS.

{Signed}.....

Secretary  
The Long Sound Professional Net Fishing Association

## EMS MANAGEMENT STRUCTURE

You need to give your EMS some legs. An effective EMS management structure will enable everyone involved in your EMS to have their views and ideas heard and considered. It will also help to ensure your members are aware of their roles and responsibilities, why these are important, and the consequences of failing to comply. Your management structure should consist of:

- your EMS organisation – to act as steward for your EMS
- your EMS management team – to make sure it happens
- terms of Reference for your management team – to clearly define the role of the team on behalf of your members and organisation.

## EMS ORGANISATION

Seafood EMS case study groups found that an association that represented all members of the group was required to act as custodian for the EMS and to take overall responsibility for managing its development and implementation. Where a suitable organisation did not already exist, the case study groups formed a new association.

As well as being custodian of your EMS, an association provides a framework that:

- has the capacity to represent all members of your EMS group
- can speak with a single, united voice on behalf of your members
- can help to secure individual commitment to the EMS
- can help to protect the credibility of your members from the actions of less scrupulous operators
- can help to secure project funding — only legal entities can receive funding from government programs
- can limit the liability on individual members.



Your group may initially operate under an informal organisational structure, then evolve to a more formal structure as 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 industry organisations. Make sure they are fully aware of why you are establishing a new organisation, and in particular that you are committed to continuing to work with them on issues of common interest.

The types of organisations that may be suitable as your EMS organisation include:

- an existing organisation
- a new unincorporated association
- a new incorporated association
- a company.

Each of these options will offer particular strengths and weaknesses. You need to work through the following selection process before you make a decision. An overview of each type of organisation is provided in Worksheet 13 Guide to SEMS organisations.

### **SEMS organisation model rules**

The SEMS Organisation Model Rules can be used to establish an incorporated association, and have been customised to incorporate provisions that enhance the benefit that your members could achieve from their EMS. Provisions in the model rules include:

- objectives that require the association to promote continual improvement of the industry's economic and environmental performance, and social resilience
- provisions for membership of people, businesses and organisations involved in the industry
- provisions that require members to comply with codes and standards adopted by the association
- provisions that require members to commit to and participate in the development of the EMS.

## **EMS MANAGEMENT TEAM**

The principle role of your EMS management team is to make sure it happens, to identify and support your industry champions and to help identify and obtain the additional resources you will need from time to time.

If one person tries to do everything connected with the EMS, that person and the EMS will suffer. A variety of skills are needed – more than one person can reasonably be expected to have. The demands on one person's time would be far too great.

Establish your EMS management team early in the process. 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.

It is useful to have some cross membership between your EMS organisation and your EMS management team.

### **Terms of reference**

Establish your EMS management team early in the process. The terms of reference that your management team operates under should be clear from the outset and should include to:

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

An effective management team will:

- ensure that your EMS is developed in such a way that it achieves a high level of industry ownership and support from key interest groups and the community
- help to secure appropriate education and training programs for the industry
- initiate positive industry promotion opportunities arising from your EMS.

## **INDUSTRY LEADERS AND CHAMPIONS**

There will almost certainly be one, or several, leaders or champions in every EMS group. The challenge is often identifying these people and then encouraging them to take on a more formal leadership role, in this case to champion the EMS amongst the industry and the broader community.

The Seafood EMS case studies produced some exciting examples of grass roots industry members emerging from virtual obscurity to performing highly effective leadership roles and achieving outcomes that benefited the entire group. More information can be found in *Walking the Talk — Seafood EMS Case Studies*.

You need to actively identify and encourage your potential leaders and champions, and then provide them with the support they need to help your group achieve its vision.

If you are fortunate enough to have several champions amongst your group, try to agree on individual roles and responsibilities for each champion, and also on collective responsibilities that encourage them to work together on making your EMS a success.

## **WORKSHEETS USED IN THIS STEP**

Refer to the Worksheet Manual for worksheets used in this step.

- Worksheet 11 Record your policy
- Worksheet 12 Record your EMS management
- Worksheet 13 Guide to SEMS organisations
- Worksheet 14 Model rules for an association

## EXERCISE 4 APPLY THE THEORY

### Policy

- 1 Peruse this section of the manual so that you understand what a policy is, why you need a policy, and how you develop one.
- 2 Check out the examples in this section of the manual and EMS policies of other organisations on the Seafood EMS website at [www.seafoodems.com.au](http://www.seafoodems.com.au).
- 3 Discuss appropriate policy options with other members of your group.
- 4 Reach agreement as a group on an EMS Policy that commits your organisation to:
  - a. continual improvement
  - b. ethical and responsible business and environmental practices
  - c. compliance with relevant laws and regulations
  - d. taking actions to mitigate relevant risks identified in your risk assessment
- 5 Record your draft policy in Worksheet 11 Record your policy.
- 6 Determine a process to consult other stakeholders on your policy.

### EMS management structure

- 1 Peruse this section of the manual so that you understand the importance of your EMS management structure and how you go about establishing it.
- 2 Contact other EMS organisations and discuss the strengths and weaknesses of their EMS management structure – contacts are listed in the Seafood EMS inventory at [www.seafoodems.com.au](http://www.seafoodems.com.au)
- 3 Discuss appropriate EMS management structures with other members of your group.
- 4 Reach agreement on an EMS organisation – use Worksheet 13 Guide to SEMS organisations as a guide where appropriate. Then:
  - a. if you decide on an existing organisation, contact that organisation to discuss and determine if and how the necessary arrangements can be made to ensure your needs are accommodated, OR
  - b. if you decide on a new unincorporated association, agree on a name for the association, and work through and customise Worksheet 14 Model rules for an Association as a guide to the way you want to operate
  - c. If you decide to establish a new association, agree on a name for the association, customise Worksheet 14 Model rules for an Association to meet your needs, and follow the process required for incorporation
  - d. If you decide on a company, contact your legal and financial advisors for advice and to progress establishment of your company
- 5 As a group, agree on your EMS management team and its terms of reference.

- 6 Record the details of your EMS management structure in Worksheet 12 Record your EMS management.
- 7 Seek written agreement from members of your group to the outcomes to date.
- 8 Place master copies all of working documents in your Seafood EMS Folder, and complete Worksheet 19 Document control.

***Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.***

Review all that you have written for this step. Polish it and adjust it to suit yourself, but ensure that it is relevant to your organisation and that it addresses **all** the elements that apply to your organisation. Use the checklist that follows to ensure you have covered all relevant points.

Keep in mind that in the future you will refer back many times to what you have written here. This is the result of much thought and research on your part and the information in it is **totally relevant** to your situation. It will be a valuable reference document and it is worth doing it thoroughly now.

## SELF-ASSESSMENT 4

When you have completed Step 4, do this self-assessment. If you are satisfied with the result, move on to Step 5. If you are not satisfied, revise those areas with which you were not happy. You should be able to answer yes to all the following questions:

### POLICY



Have you perused the information available about EMS policy?

Have you discussed appropriate policy options with other members of your group?

Have you reached agreement as a group on an EMS Policy that commits your organisation to continual improvement, ethical and responsible business and environmental practices, compliance with relevant laws and regulations, taking actions to mitigate relevant risks identified in your risk assessment?

Have you recorded your draft policy in the worksheet?

Have you determined a process to consult other stakeholders on your policy?

## SELF-ASSESSMENT 4 (CONTINUED)

### EMS MANAGEMENT STRUCTURE

Have you perused the information available about EMS management structure?

Have you contacted other EMS organisations and discussed their EMS management structure?

Have you discussed appropriate EMS management structures with other members of your group?

Have you reached agreement as a group on an appropriate EMS organisation?

If you decided on an existing organisation, have you contacted that organisation to discuss if and how the necessary arrangements can be made?

If you decided on a new unincorporated association, have you agreed on a name and the rules under which you will operate?

If you decided on a new incorporated association, have you agreed on a name for the association, worked through the model rules and customised them to meet your needs, and followed the process required for incorporation?

If you decided on a company, have you contacted your legal and financial advisors for advice and to progress establishment of your company?

Have you agreed on your EMS management team and its terms of reference?

Have you recorded details of your EMS management structure in the worksheet?

Have members of your group agreed to the outcomes to date in writing?

Have you placed master copies all of documents in your SEMS Folder?





*Decide on the actions to make it happen!*



## **Step 5. Action<sup>26</sup> plan: Decide on actions<sup>27</sup> to make it happen!**

***Your action plan defines the goals<sup>28</sup> you are aiming to achieve in addressing each priority risk; the actions to be taken to achieve those goals; who is responsible; and a deadline for each action.***

Your action plan is your blueprint for the future. Already you will have done a lot of the work required. This step consolidates on that work to create a cohesive action plan with clear goals and allocations of responsibility.

<sup>26</sup> **'action plan'** plan describing the actions and steps to implement an EMS

<sup>27</sup> **'action'** the process of doing something in order to achieve a goal

<sup>28</sup> **'goal'** the end result that an action is intended to achieve; a target (must be measurable)

## HELPFUL HINTS

- involve everyone in your group — make sure they understand what is happening and inspire others to come on board
- look at codes of practice and ideas used by others to tackle similar issues
- set realistic and achievable goals, actions and completion dates — match these with your available resources
- utilise each individual's strengths — then work out how to acquire the missing skills the group needs
- develop a communication strategy and a training plan
- address high-priority issues first, then medium-priority as resources permit
- decide on actions to address each high-priority issue and nominate someone to be responsible for making it happen, even if several people are involved in doing it
- 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
- become familiar and involved in the Natural Resource Management process
  - contact your local industry association for more information.

## DEVELOPING YOUR ACTION PLAN

***Your 'Action Plan' defines the goals you are aiming to achieve in addressing each priority risk; the actions to be taken to achieve those goals; who is responsible; and a deadline for each action.***

In this step, you will:

- set goals for each risk requiring corrective action
- decide actions to be taken to achieve goals, by whom<sup>29</sup> and by when
- decide how to monitor<sup>30</sup> progress towards achieving goals
- consider audit processes (if any) required for each goal
- consider appropriate processes to report progress
- consider the resources required to implement the action plan
- document the above.

### ***An 'Action Plan' turns your environmental policy into concrete actions***

You have already done a lot of the work required. This step consolidates on the work you have already done to create your action plan. For example:

**Step 1** – you decided where you want to be in the future

**Step 2** – you defined what operations will be covered by your EMS

**Step 3** – you identified risks to achieving your vision, ranked these risks, and decided which ones require corrective action

**Step 4** – you committed to taking the actions required to address priority risks and established a management structure to drive the process

#### ***Now***

**Step 5** – you will set goals for each corrective action and decide on what action is needed, who will do that and by when, how progress will be monitored, audited and reported, and you will also consider the resources required

In undertaking your risk assessment, you gathered much of the data needed. To create your action plan, follow the process set out in Exercise 5 in this section of the Manual. The following information and explanations will help you work through the exercise.

<sup>29</sup> **'by whom'** the person responsible for implementing an action or making sure that the action is implemented  
<sup>30</sup> **'monitoring'** the process by which progress towards meeting a goal is measured

## Setting goals

In step three (risk assessment) you determined which risks require corrective action. For each of these risks you now need to set a goal reflecting what you want to achieve with any actions aimed at mitigating that risk.

Goals need to be quantifiable to be of any value. If you cannot quantify a goal, you cannot measure progress towards achieving it.

Goals may relate to the environment, food safety and quality, OH&S, profitability or community relations. You also need to ensure that your goals address the commitments reflected in your EMS policy.

Goals can take different forms, depending on the process being assessed. For complex processes, there may be several specific measurable targets within a goal, at different stages in the chain. Some examples are:

- fulfilling a yes/no measure, often within a set timescale (service, operational)
- achieving a set level of input (costs reduced by a certain percentage each year)
- achieving a set level of output (number of queries answered)
- achieving a set level of quality (number of complaints below a set level)
- realising outcomes (improved safety, training, public perception, transport, and so on)

It is crucial that goals are realistic (not a 'wish list') but at the same time challenging for those involved in the process.

Table 1 Examples of goals that can be quantified and goals that cannot

Goals that cannot be quantified	Goals that can be quantified
Reduce energy usage	Reduce fuel use by 10% in 2007
Reduce usage of hazardous chemicals	Eliminate use of CFCs by 2007
Improve compliance with permit limits	Zero permit limit violations

If you want to first reach agreement on a broad goal that may not be quantifiable and then work on getting agreement on more specific quantifiable targets, that is OK too. For example, your goal could be as follows:

- Reduce energy usage by reducing fuel use by 10% in 2007

Goals should be SMART:

- **S**pecific: clear, unambiguous and easy to understand by those who are required to achieve them
- **M**easurable: be gauged by referring to a specific measure or measures
- **A**chievable: expressing specific aims that personnel feel can realistically be achieved, with some effort: 'out of reach, but not out of sight'
- **R**elevant: to those who will be required to meet them; they must have enough control over their work to be able to meet them, or their motivation will suffer
- **T**imed: there should be a set timescale for achieving them; open-ended goals may not encourage focused effort on improving performance.

You should check for any relevant goals that may already exist and which can be adopted or modified. For example, when setting goals for by-catch reduction, look in relevant fisheries policy documents or management plans to see if they already define by-catch reduction targets that are required to be met for your fishery. Appropriate goals may be defined in legislation, policies, or plans developed by government agencies or industry bodies. They may be simply in your head and you may already be working to meet them – you may need to simply write them down.

### **Deciding action**

You now need to determine actions to achieve each goal. This could involve fine-tuning existing control measures or identifying new measures where none previously existed.

### **Allocating responsibility for actions**

If you want it to happen, someone must be responsible for making sure it does happen! Allocate someone the responsibility for making sure each action is implemented. This could involve that person doing it, or making sure others do it.

## Setting deadlines<sup>31</sup>

Deadlines need to be attainable, affordable and acceptable.

- by asking people to achieve a deadline they cannot meet, you run the risk of finding out that it's not done until it's actually due.
- trying to complete a task in a shortened deadline by cutting corners can have serious repercussions later on, and could cost you more money in the long run.
- an acceptable deadline is one that gets the job done in time to change it if there is something wrong. If you set the deadline the day you need it, you have no room for error.

To work on a larger project, divide it into sections, or small tasks. A good size for a task is one that you can tell immediately if it's complete or not when the deadline approaches. Your tasks should be spaced closely enough that your monitoring process (see the next section) will alert you early if the task is likely to run late. Conventional wisdom is that milestones further than a month apart are risky.

## Audit process<sup>32</sup>

It is time now to consider what audit process you want to set for each goal. For more information on auditing, refer to step 7.

## Reporting process<sup>33</sup>

It is important to consider appropriate processes to report progress. Utilise the Seafood EMS Communication Kit for some internal and external communication ideas.

## Resources

You need to consider the resources needed to implement and monitor the actions you decide. Access assistance from NRM facilitators in your region, make yourself known to them, and contact your local industry association for information. For more information on NRM facilitators, and how to contact them visit [www.nrm.gov.au/publications/facilitator-factsheet.html](http://www.nrm.gov.au/publications/facilitator-factsheet.html)

<sup>31</sup> **'deadline'** the time or date by which an action is to be completed

<sup>32</sup> **'audit process'** the process by which progress towards meeting a goal is evaluated

<sup>33</sup> **'reporting process'** the process by which progress towards a goal is reported

## WORKSHEETS USED IN THIS STEP

Refer to the Worksheet Manual for worksheets used in this step.

- Worksheet 15 Action plan

## EXERCISE 5 APPLY THE THEORY

- 1 Peruse this section of the manual so that you understand what an action plan is, why you need one, and how you develop it.
- 2 Contact other EMS organisations and view their action plans, the strengths and weaknesses – contacts are available on the Seafood EMS inventory at [www.seafoodems.com.au](http://www.seafoodems.com.au).
- 3 Discuss the elements of your action plan as a group.
- 4 In Worksheet 15 Action plan, list (in order of risk type, then priority) all of the risks (and their related activities) for which you decided in step 3 that you have determined require corrective action. Then, for each of these risks agree and record the following:
  - a. a goal that you want to achieve (with any actions aimed at reducing or eliminating each risk)
  - b. appropriate courses of action aimed at achieving each goal
  - c. the person or persons responsible for implementing each action or making sure that the action is implemented
  - d. the deadline by which an action is to be completed
  - e. the monitoring process used to measure progress towards meeting each goal (check out the monitoring checklist above)
  - f. the audit process (if any) used to evaluate progress towards meeting each goal
  - g. the reporting process used to report progress towards each goal
- 5 Seek written agreement from members of your group to the outcomes to date by asking them to sign the SEMS Agreement Form.
- 6 Place master copies of working documents in your Seafood EMS Folder, and complete Worksheet 19 Document Control.

***Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.***

Review all that you have written for this step. Polish it and adjust it to suit yourself, but ensure that it is relevant to **your** organisation and that it addresses **all** the elements that apply to your organisation. Use the checklist that follows to ensure you have covered all relevant points.

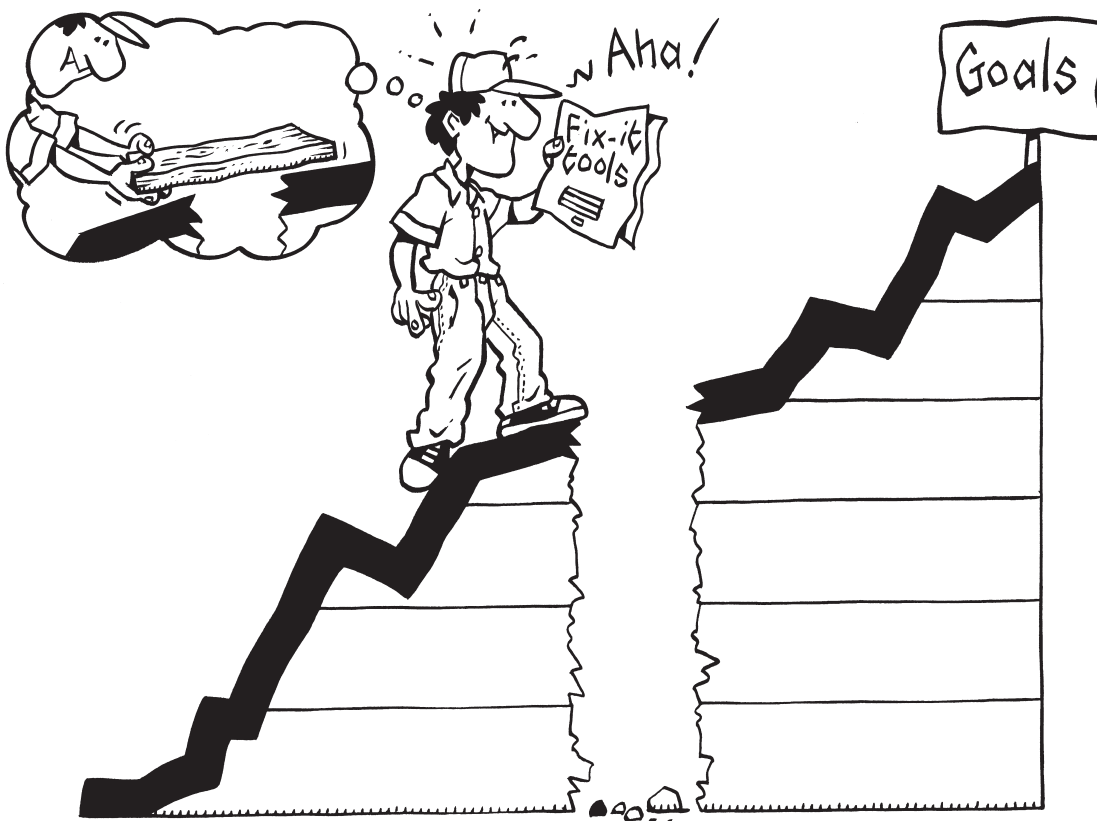
Keep in mind that in the future you will refer back many times to what you have written here. This is the result of much thought and research on your part and the information in it is **totally relevant** to your situation. It will be a valuable reference document and it is worth doing it thoroughly now.



## SELF-ASSESSMENT 5

When you have completed Step 5, do this self-assessment. If you are satisfied with the result, move to Step 6. If you are not satisfied, revise those areas with which you were not happy. You should be able to answer yes to all the following questions:

- ✓
- Have you perused the information available about EMS action plans?
- Have you discussed your actions plan as a group?
- Have you recorded in Worksheet 15 Action plan, all of the risks (in order of priority) that you decided in Step 3 require corrective action?
- For each risk, have you agreed as a group on:
- a goal that you want to achieve with any actions aimed at reducing or eliminating the risk?
  - appropriate courses of action aimed at achieving each goal?
  - the person or persons responsible for implementing each an action or making sure that the action is implemented?
  - the deadline by which an action is to be completed?
  - the monitoring process used to measure progress towards meeting each goal?
  - the audit process (if any) used to evaluate progress towards meeting each goal?
  - the reporting process used to report progress towards meeting each goal?
- Have you recorded your goals, actions, people responsible, deadlines, monitoring, audit and reporting process in Worksheet 15 Action plan?
- Have members of your group agreed to the outcomes to date in writing?
- Have you placed copies of all of documents in your SEMS Folder?



*Do it and check it. Know what works and fix what doesn't!*

## Step 6. Implementation: Make it happen!

***In this step, you will implement your action plan<sup>34</sup>, and monitor and refine your actions to ensure you are achieving the outcomes you want.***

The previous five steps have covered planning where you want to be and how you will get there. You now start on the “doing” stage of your EMS.

By now, you know what you have to do, and you know how you intend to do it. Next, you need to put all of these plans into action. This requires your organisation to develop or acquire the capabilities to implement your EMS action plan. You will need a communication plan<sup>35</sup>, a training plan<sup>36</sup> and resources to make the EMS happen.

As you implement your action plan, you need to monitor progress to make sure it is achieving the results you want. If what seemed like a good plan of action to address a particular risk does not work, you need to know so that you can take alternative action.

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 the consequences if they do not follow it. You could also resolve public criticism by publicly promoting the code of practice as the standards by which you work.

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<sup>34</sup> **‘action plan’** planned actions aimed at reducing or eliminating risks and capitalising on opportunities

<sup>35</sup> **‘communication plan’** a plan to allow you to work through strategies and implementation for positive action in improving community awareness,

<sup>36</sup> **‘training plan’**: a plan to assist you in ensuring your groups possess the skills needed to develop and implement your EMS.

## HELPFUL HINTS

- monitor your actions and change them as circumstances require — what worked six months ago may not work now, because conditions change
- stick to monitoring the 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 those organisations accountable for doing their job
- use the Seafood EMS Resources — look at what has (and has not) worked for others
- remember that public opinion is a good indicator of how well your communication strategy is working
- involve the community as much as possible — this will help to build your credibility and will ensure that public opinion is based on good information
- review your priorities and action plan regularly to keep focused on key issues
- consider alternative actions that you can implement quickly if needed
- set up an efficient (but not complex) document control system — experience shows it's essential in helping to reduce your workload, eliminate duplication, and make sure everyone is working from the same and latest EMS documents.

## THE IMPLEMENTATION STEP

***In this step, you will implement your action plan, and monitor and refine your actions to ensure you are achieving the outcomes you want.***

In this step, you will:

- create a task list<sup>37</sup> for each person or organisation responsible for implementing actions
- develop a training plan
- develop a communication plan
- develop a plan for emergency response<sup>38</sup>
- implement a document control system
- commence implementing and monitoring the actions determined under step 5
- document the above.

<sup>37</sup> 'task list' a list of EMS actions allocated to an organisation or individual

<sup>38</sup> 'emergency response plan': a plan to assist your responses in case of an emergency, and to also help you prevent emergencies.

## IMPLEMENTATION STRATEGIES

Key elements of your implementation strategy should include:

- monitoring progress
- task lists
- training program (skills development)
- communication plan
- organising yourself – documenting procedures
- operational control emergency response.

### Monitoring progress

An EMS without effective monitoring is like driving at night with the headlights off — you know you are moving but you cannot tell where you are going! Monitoring enables an organisation to:

- evaluate environmental performance
- analyse root causes of problems
- assess compliance with legal requirements
- identify areas requiring corrective action
- improve performance and increase efficiency.

You should develop procedures to:

- monitor key characteristics of operations and activities that can have significant impacts and/or compliance consequences
- track performance (including your progress in achieving objectives and targets);
- calibrate and maintain monitoring equipment
- through internal audits, periodically evaluate your compliance with applicable laws.

Review the kinds of monitoring you do now for regulatory compliance and other purposes (such as quality or health and safety management). How well does this serve your EMS purposes? What additional monitoring or measuring might be needed? Many of your actions may already be monitored by fisheries or environmental agencies, particularly if your goals are also reflected in management plans or government policies.

Monitoring and measuring actions can be a resource-intensive effort. One of the most important steps you can take is to clearly define your needs. While collecting meaningful information is clearly important, resist the urge to collect data “for data’s sake.”

You can start with a relatively simple monitoring and measurement process, then build on it as you gain experience with your EMS.

Work through each question below to determine cost effective ways of monitoring the success of current controls and actions set in step 5 in achieving each goal. Revisit and refine goals and actions as required.

Key questions to consider:

- Is the goal clear, achievable and measurable?
- Does progress towards this goal need to be measured and demonstrated?
- If so, what do you need to demonstrate, to whom, and what are the benefits?
- What information or data is required to measure progress towards the goal?
- Is this information collected under an existing system, and accessible? If yes, discuss with managers of that system.
- What options are available for collecting or accessing the required information?
- What is the cost of each of these options?
- Is there a cost effective industry based option that can be integrated into your day-to-day business?
- Will the benefits of demonstrating progress outweigh the cost of collecting the information needed to do that?
- Can we refine this goal in a way that enables more cost effective monitoring and maintain the associated benefits?

## Create and update task lists

Use Worksheet 16 Work programs to create a list of actions for each person and organisation responsible for implementing an EMS action. Copy the information for these lists from your action plan. The work programs are generated automatically from step six in the Seafood EMS CD. Review task lists and priorities regularly.

## Develop a training program

You need to decide right at the beginning whether you want to do the training yourself, or if you need to contact a Registered Training Organisation (RTO) to do the training for you.

Worksheet 18 Training plan sets out the key steps involved in developing a training plan. Create your training plan by following this guide and recording the information that you generate in the template.

The character of your training plan will depend on **who** is to do the training. If your organisation has decided to conduct the training itself, using its own people and resources, the training plan template must be completed.

However, if your organisation has elected to use a RTO, then the training plan will be the subject of negotiation between the organisation and the RTO. In this event, the agreed

upon training plan should be substituted for the training plan template. The RTO's training plan should deal with the same particulars as an in house training plan.

An effective training program will ensure that your group collectively and individually possesses the skills needed to develop and implement your EMS. For this reason, your training program should cast a wide net.

All members of your group will be involved in the development and implementation of your EMS in some way. They need to be aware of the need for training – theirs and others. For example, all personnel should be aware of your EMS policy, the significant impacts of their work activities, key EMS roles and responsibilities, procedures that apply to their work and the importance of compliance with EMS requirements. They should also understand the potential consequences of not following EMS requirements (such as unacceptable impacts, or unsafe work practices, and of potential fines or other penalties for non-compliance with relevant laws).

Appropriate training is the key to achieving this level of knowledge and awareness and needs to be tailored to meet the different needs of various people involved in the process.

If you plan to deliver recognised training (training leading to a qualification, for example, Certificate II in Seafood (Aquaculture), this training must be delivered and assessed by a RTO.

### **Develop a communication plan**

Communication is the key to ensuring everyone involved in your EMS understands what you aim to achieve, how you intend to achieve it and importantly, what their roles and responsibilities are.

Communication is also the key to ensuring you stakeholders understand the benefits of your EMS.

Communication is also needed to demonstrate organisation commitment, raise awareness and deal with concerns and questions about the organisation's activities and to inform interested parties about the organisation's EMS and performance. Results from EMS monitoring, audit and management review should be communicated to those within the organisation who are responsible for performance.

Effective internal communications will help you to:

- motivate your members and their workers
- gain acceptance for your plans and efforts
- explain your EMS
- ensure understanding of roles and expectations
- monitor and evaluate performance
- identify potential system improvements.

Members and their crews are likely to be more motivated if they:

- share an organisation's vision and value
- have a thorough understanding of their role, what they need to achieve, why and what the benefits are for them
- feel they are informed and their opinions and views are valued.

The organisation should have a written communications plan and training should be made available to all personnel to help them develop their communication skills. All aspects of communications should be reviewed and evaluated on an annual basis or at more regular intervals if necessary.

All new personnel should be briefed on communications and the communications channels they will use.

In communicating with personnel, it is helpful to explain what they need and why they need to do it. For example, when describing a requirement based on a regulation, explain the purpose behind the rule and why it is important. Also, make a clear connection between the requirement and how it applies to each person's role.

An organisation can communicate in a variety of ways including bulletin board pastings, internal newspapers, meetings and electronic mail messages, to name a few.

***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.***



If you haven't already, utilise the Seafood EMS Communication Kit. The kit is designed to provide you with the 'who, what, when, where, why and how' of communication, this kit uses the eight developmental steps for EMS from the Seafood EMS Chooser to provide a framework for communication activities.

## Organising yourself

By now, you will have a fairly good grasp on controlling and organising documents, using your Master Document Control list and individual document control sheets discussed earlier in the manual Worksheet 19 Document Control.

Using the Internet and a computer will help you arrange your document lists and keep organised more efficiently. Having electronic copies as well as hard copies of each document, if possible, is also a great way of ensuring important documents won't get lost, but be sure to keep all documents in one folder on your computer so you don't forget where they are!

Even if you want to carry out your document control completely in paper version, the internet and the SSA web site are an incredibly wealthy source of information, so be sure to use them!

**Documented procedures** can help your organisation to manage and control operations or activities that are complex and/or the potential impacts are significant, for example, management of significant environmental risks, and ensuring regulatory compliance.

Procedures can also play a prominent role in employee training. Documented procedures should be established where the absence of procedures could lead to the activities being conducted in a way that leads to unacceptable risk.

In determining which operations should be covered by documented procedures, look beyond routine activities. Activities such as equipment maintenance, management of on-site contractors, and services provided by suppliers or vendors could affect your organisation's performance significantly.

Where possible, use flow charts to document procedures as these simplify process and are a much more effective communication tool than pages of text.

Prepare draft procedures and review them with the people who will need to implement them. This will help to ensure that the procedures are appropriate, realistic and practical. Do not be surprised if reviewers come up with a simpler way to achieve the same results!

Review procedures you already have in place to comply with environmental and health & safety regulations. Some of these may be adequate to control significant impacts (or could be modified to do so). Use the example chart to make your own procedures register and keep track of what procedures are required and which ones need to be documented.

**Table1 SEMS procedures register**

Operation or activity	Procedure is needed (none exists)	Procedure exists but is not documented	Procedure exists and is documented	No procedure is needed
1	X			
2		X		
3		X		
4			X	

**Hints on writing procedures**

- try to address a given procedure in only one place, and then create cross-references (this will simplify making changes)
- understand the existing process. Start with a flow chart, if one is available. Build on informal procedures where possible
- focus on steps needed for consistent implementation
- use a consistent format and approach
- review draft procedures with employees that will have to implement them. (Better yet, enlist employees to help write them)
- keep procedures simple and concise. Excessive detail does not provide better control and can confuse the user.

**Fixing EMS problems – and avoiding them in the future**

No system is perfect. You will probably identify problems with your EMS (especially in the early phases) through audits, measurement or other activities. In addition, your EMS will need to change as your organisation changes and grows. To deal with system deficiencies, your organisation needs a process to ensure that:

- problems (including nonconformities) are identified and investigated
- root causes are identified
- corrective and preventive actions are identified and implemented
- actions are tracked and their effectiveness is verified.

EMS nonconformities and other system deficiencies (such as legal non-compliance) should be analysed to detect patterns or trends. Identifying trends allows you to anticipate and prevent future problems. Focus on correcting and preventing problems. Preventing problems is generally cheaper than fixing them after they occur (or after they reoccur). Start thinking about problems as opportunities to improve!

Some organisations find that they can combine some elements of their management review and corrective action processes. These organisations use a portion of their management review meetings to review nonconformities, discuss causes and trends, identify corrective actions and assign responsibilities.

## Emergency preparedness and response

You need to identify the potential for accidents and emergencies and develop appropriate procedures to respond to these. These procedures need to be communicated internally and tested to make sure that the response is effective and efficient.

### ***Do not think only about response – focus on how to prevent accidents.***

Despite an organisation's best efforts, the possibility of accidents and other emergencies still exists. Effective preparation and response can reduce injuries, prevent or minimize environmental impacts, protect employees and neighbours, reduce asset losses and minimise downtime.

An effective emergency preparedness and response program should include provisions for:

- assessing the potential for accidents and emergencies
- preventing incidents and their associated environmental impacts
- plans/procedures for responding to incidents
- periodic testing of emergency plans/procedures
- mitigating impacts associated with these incidents.

Consistent with the focus on continual improvement, it is important to review your emergency response performance after an incident has occurred. Use this review to determine if more training is needed or if emergency plans/procedures should be revised.

This is another area where you should not have to start from scratch. Several environmental and health and safety regulatory programs require emergency plans and/or procedures. Look at what you have now and assess how well it satisfies the items discussed above.

Two planning components that many organisations overlook are how they identify the potential for accidents and emergencies and how they mitigate the impacts of such incidents.

A team effort can identify most potential emergencies by asking a series of "what if..." questions related to hazardous materials, activities and processes. In addition to normal operations, the team should consider abnormal operating conditions and potential emergencies.

## WORKSHEETS USED IN THIS STEP

Refer to the Worksheet Manual for worksheets used in this step.

- Worksheet 16 Work programs
- Worksheet 17 Task worksheet
- Worksheet 18 Training plan
- Worksheet 19 Document control
- Worksheet 20 Emergency response

## EXERCISE 6 APPLY THE THEORY

- 1 Peruse this section of the manual.
- 2 Contact other EMS organisations and discuss implementation strategies – contacts on the Seafood EMS inventory at [www.seafoodems.com.au](http://www.seafoodems.com.au).
- 3 Discuss implementation strategies as a group.
- 4 Use Worksheet 16 Work programs to create a list of actions for each person or organisation responsible for implementing actions determined under step five.
- 5 Create a worksheet for each action using Worksheet 17 Task worksheet (one action per worksheet).
- 6 Undertake a skills analysis and create a training plan using Worksheet 18 Training plan.
- 7 Create an emergency preparedness and response plan using Worksheet 20 Emergency response .
- 8 Seek written agreement from members of your group to the outcomes to date.
- 9 Place copies of all documents in your Seafood EMS Folder, and complete Worksheet 19 Document Control.

***Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.***

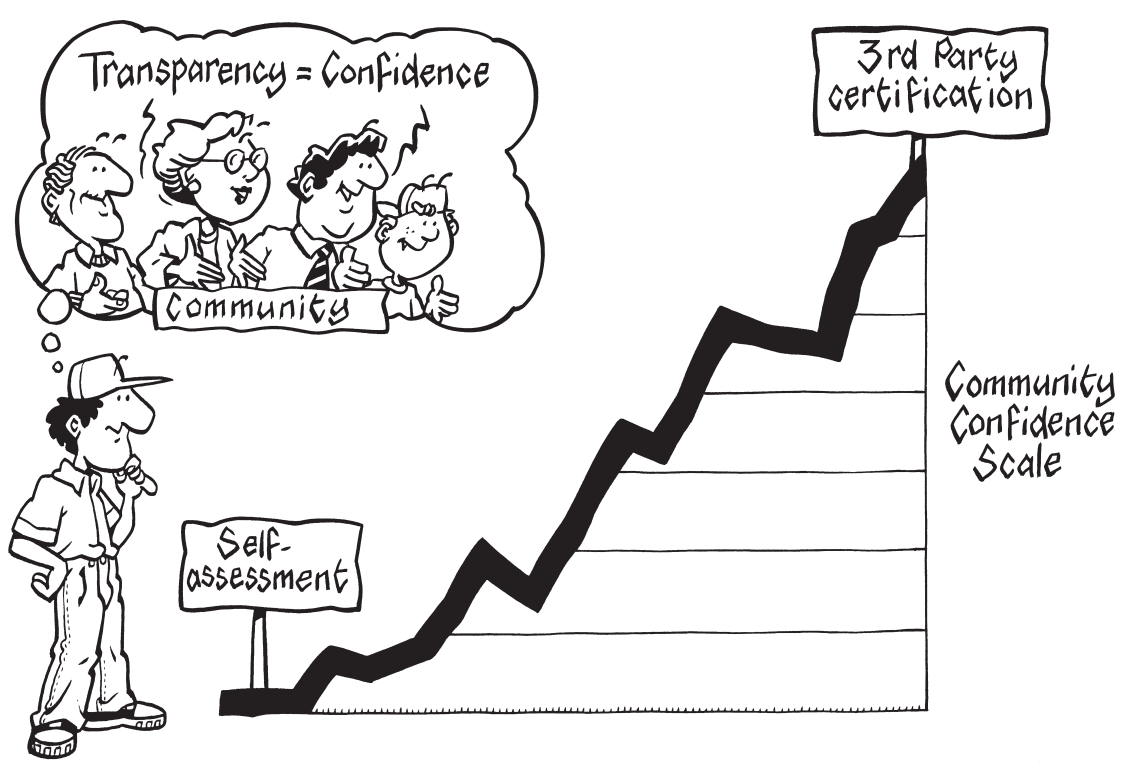
Review all that you have written for this step. Polish it and adjust it to suit yourself, but ensure that it is relevant to **your** organisation and that it addresses **all** the elements that apply to your organisation. Keep in mind that in the future you will refer back many times to what you have written here. This is the result of much thought and research on your part and the information in it is **totally relevant** to your situation. It will be a valuable reference document and it is worth doing it thoroughly now.

## SELF-ASSESSMENT 6

When you have completed Step 6, do this self-assessment. If you are satisfied with the result, move to Step 7. If you are not satisfied, revise those areas with which you were not happy. You should be able to answer yes to all the following questions:

- |  |                          |
|--|--------------------------|
|  | ✓                        |
| Have you perused the relevant information about implementation?  | <input type="checkbox"/> |
| Have you discussed implementation as a group?  | <input type="checkbox"/> |
| Have you created a work program for each person or organisation responsible for implementing actions determined under step five? | <input type="checkbox"/> |
| Have you undertaken a skills analysis and created a training plan?   | <input type="checkbox"/> |
| Have you created a communication plan?   | <input type="checkbox"/> |
| Have you created a document control process?   | <input type="checkbox"/> |
| Have you created a procedures register?  | <input type="checkbox"/> |
| Have you created an emergency preparedness and response plan?  | <input type="checkbox"/> |
| Have members of your group agreed to the outcomes to date in writing?  | <input type="checkbox"/> |
| Have you placed copies all of documents in your SEMS Folder?   | <input type="checkbox"/> |

All this is a lot of work. Just how much work it should be is your decision. Only you can decide how much is enough to do the job correctly for your organisation.



***Demonstrate your performance — and achieve credibility!***

## **Step 7. Audit<sup>39</sup>, certification and review<sup>40</sup>: Demonstrate your performance — and achieve credibility!**

***The formula is very simple: more transparency = more confidence by others that you are achieving the outcomes you say you are achieving.***

Your audit program will help to continually improve your performance. It will also help to increase your credibility by demonstrating your improvement to stakeholders.

There are several options available for auditing an EMS. The one you choose should directly relate to the level of confidence in your performance that you want your customers, the community or governments to have. 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 process, but it may take more.

If you want your EMS to help to “bullet-proof” your industry against ill-founded claims about its environmental performance, consider having your performance independently assessed against international standards by a third-party auditor.

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<sup>39</sup> **'audit'** a systematic and process of objectively obtaining and evaluating evidence to determine whether an organisation's EMS conforms to the EMS audit criteria set by the organisation, and for communication of the results of this process to management.

<sup>40</sup> **'review'** a review of your EMS aimed at identifying and correct deficiencies in the system

## HELPFUL HINTS

### Auditing

- be clear about who your customers are and what their needs are — talk to them about the level of confidence they expect
- consider that one of your main customers may be the political process — it could deny your future access to fishing grounds or aquaculture sites
- consider other ways of making your process transparent — for example, involve the community when assessing your progress on issues of concern to the community
- by involving the community in the process you can avoid misunderstandings, ensure you are clear on the public's true objectives and views, help communities to accept responsibility for addressing community-based impacts, and provide communities with opportunities to learn about your industry
- regulatory environmental assessments may also apply to your fishery — consider having your EMS audited against standards that meet those requirements too
- the seafood industry's interest in EMS is relatively recent, so finding an audit team that possesses all of the necessary skills can be difficult; it is likely to be more cost-effective to link up with other seafood industry businesses or organisations
- try also to find out which auditors give good value for money in your price range; you should judge audits on the quality of findings rather than on the number of findings
- a basic requirement is for auditors to be skilled in auditing techniques and management system concepts — your auditors also need to be familiar with environmental and other regulations that are relevant to your operations, and the nature of the operations
- you may also need to seek out or encourage relevant auditor training programs to be established which can also be used by your own people; auditor training can also be obtained on the job by being involved in audits conducted by experienced auditors
- avoid duplication of audits (duplication of audits = duplication of costs!)
- if your company already has an ISO 9000 system then you are on the right track. Consider using your internal quality auditors as EMS auditors. Although some additional training might be needed for EMS auditing, many of the required skills are the same
- certification is formal recognition of your performance — think about it.



## DEVELOPING THE AUDIT PROGRAM

***Your audit program will help to continually improve your performance. It will also help to increase your credibility by demonstrating your improvement to stakeholders.***

In this step, you will:

- Develop an audit program for your EMS
- Develop a process for reviewing your EMS

Audits are a vital element of your EMS. They help you to:

- continually improve your system by identifying and resolving deficiencies
- gain the confidence of your customers (consumers, regulators, community) in your performance, business and industry

Periodic audits can be particularly valuable, especially in smaller organisations or enterprises. Managers are often so close to the work performed that they may not see problems or bad habits that have developed. Periodic EMS audits will help determine whether all of the requirements of the EMS are being carried out as required.

### ***Transparency = confidence!***

When considering what audit process you require, remember, the formula is very simple. Increased transparency = increased confidence.

The audit program that you choose should directly relate to who your customers are, their expectations (Table 2), and the level of confidence that you want them to have in your performance.

**Table 2 Typical customer expectations**

Customer	Expectations
Seafood consumer	Safe, sustainable seafood
Community	Natural resources are being used sustainably and responsibly, animal welfare
Governments	Compliance with regulatory requirements

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 relevant EMS processes such as the internal assessment relating to that issue.

Audits generally fall into the following three categories:

**“Internal audit”** – a self-assessment process conducted by people within the organisation

**“2nd party audit”** – conducted by a body that is not fully independent and may have direct interest in the outcome (for example, a regulatory body auditing an organisation’s compliance with regulations for which that body is responsible)

**“3rd party audit”** – conducted by a fully independent body that is accredited as having the competence required to undertake the particular audit

**Table 3 Audit/assessment options and deliverables**

Audit process	Deliverables		
	Continual improvement	Internal and 2nd party confidence	External and community confidence
Internal audit/self assessment	Yes	No	No
2nd party audit	Yes	Yes	No
3rd party audit without certification	Yes	Yes	Limited
3rd party audit with certification	Yes	Yes	Yes

***Even if you have an effective internal audit program, consider periodic external audits to ensure objectivity***

## Certification

Certification is formal recognition of your conformance with a set of standards. The person or body responsible for carrying out the certification audit is called the certifier or certification body.

An individual or organisation may seek certification to:

- be eligible to use a particular brand or logo
- increase consumer confidence in their products
- gain or maintain access to markets
- gain a market advantage
- provide a benchmark for product and performance standards

Certification schemes are many and varied, and will normally involve the following process:

- select appropriate certification taking into account standards, process and cost
- select accredited certifiers
- confidential pre-assessment
- decide whether to proceed with full assessment
- certification body conducts full assessment including consultation
- peer report
- final decision on certification

## **KEY ELEMENTS OF YOUR AUDIT PROGRAM**

### **Audit focus**

Your EMS audit should focus on objective evidence of conformance. It is a check on how well your system meets your own EMS requirements. It is not an assessment of how well employees are doing their jobs. Auditors should discuss identified deficiencies with people who work in the relevant area as this will help the auditors verify that their findings are correct.

Auditors should not evaluate, for example, why a procedure was not followed – you do that later. Also, avoid auditors with a ‘gotcha’ mentality.

### **Communication**

Before an audit, communicate the audit scope, criteria, schedule and other relevant pertinent information to the people in the relevant area to avoid confusion and facilitate the audit process.

### **Sources of evidence**

Evidence may be gathered during your audit through:

- interviews
- document review
- observation of work practices

### **Key audit elements**

For your EMS audit program to be effective, you should:

- develop audit procedures and protocols
- determine an appropriate audit frequency
- select your auditors (train auditors if conducting an internal audit)
- maintain audit records

## **Audit procedures**

Audit procedures should describe:

- audit planning
- audit scope (areas and activities covered)
- audit frequency
- audit methods
- key responsibilities
- reporting mechanisms
- recordkeeping

## **Audit frequently**

To determine an appropriate frequency of your EMS audits, consider the following factors:

- the nature of your operations and activities
- your significant environmental and other risks (which you identified earlier)
- the results of your monitoring processes
- the results of previous audits

As a general rule, all parts of the EMS should be audited at least annually. You can audit the entire EMS at one time or break it down into discrete elements for more frequent audits.

## **Selecting auditors**

A basic requirement is for auditors to be skilled in auditing techniques and management system concepts. Your auditors also need to be familiar with environmental and other regulations that are relevant to your operations, and the nature of the operations. For example, it is not much use selecting auditors to audit a commercial fishing EMS if they do not have any knowledge about the industry or the environment in which it operates.

Relevant scientific skills can be very helpful and are essential for audits against some standards.

Because of the seafood industry's relatively recent interest in EMS, finding an audit team that possesses all of the necessary skills can be difficult. It is likely to be more cost-effective to link up with other seafood industry businesses or organisations.

You may also need to seek out or encourage relevant auditor training programs to be established which can also be accessed by your own personnel. Auditor training can also be obtained on the job, by being involved in audits conducted by experienced auditors.

The following criteria must be met when selecting your auditor. Auditors should be:

- independent (of the activity being audited)
- appropriately qualified (ISO 14012.2: Guidelines for Environmental Auditing, specifies the personal attributes and skills required of auditors)
- objective
- impartial
- tactful
- attentive to detail
- removed from any conflict of interest that could compromise the outcome of the audit.

### **Auditor independence**

Auditors should be independent of the activities being audited. This can be a challenge for small organisations, particularly when conducting internal audits. Options to enhance auditor independence include:

- negotiate audit services collectively with other similar organisations
- use external auditors
- have personnel audit areas for which they are not directly responsible

### **Integrating audits**

Avoid duplication of audits! Duplication of audits = duplication of costs!

Consider integrating your EMS and regulatory compliance audit processes, but keep in mind that these audit processes may have different purposes. While you might want to communicate the results of EMS audits widely, the results of regulatory compliance audits might need to be communicated in a more limited manner.

If your company is registered under ISO 9000, consider using your internal quality auditors as EMS auditors. While some additional training might be needed for EMS auditing, many of the required skills are the same.

***Results of regulatory compliance audits are often good indicators of EMS deficiencies. Use compliance audit findings to guide your EMS efforts.***

## **AUDIT APPROACHES**

This section gives an overview of audit approaches relevant to the seafood industry.

### **Internal audits / self assessment**

The self-assessment process is a method for evaluating what you are doing, why you are doing it, and what you must do to improve your organisation's performance. Without self-assessment you are likely to repeat mistakes. Generally, an organisation that carries out a self-assessment of its own management system tends not to provide much assurance to interested parties and the community of an organisation's environmental claims.

### **Involving the community**

You may actively involve the community in the process of developing and/or reviewing your EMS. This can help to avoid misunderstandings and ensure you are clear on the public's true objectives and views so they can be addressed.

An effective community consultation plan will address attitudes and perceptions that the community holds about the industry, as well as developing relationships and trust.

### **Guidelines for Involving the Community in Monitoring and Evaluation**

- obtain the community's agreement for a participatory approach – make it official
- make sure objectives and methods are clear from the outset. Methods should be simple and adapted to the local culture and ways of doing things
- recruit community members who truly represent community views and attitudes.

A participatory approach with the community can:

- help communities accept the responsibility for addressing community based impacts
- enable members of the public to take responsibility for activities that they benefit from
- reduce the need for external experts, and lowers costs
- provide communities with an opportunity to learn about your industry.

## Second party audits

A second party audit is an audit conducted by an external organisation to determine your compliance with standards or regulations set by that external organisation.

A second party audit may be conducted by an external organisation that wants to monitor your compliance with their quality standards, or by a government agency that wants to monitor compliance with the regulations that they administer.

While second party audits may engender the confidence of the external organisation that conducts it, and will help you continually improve your system, they may not provide the level of transparency required to gain public's confidence. Second party audit processes can be distorted because the auditors can easily become biased as they have a direct pecuniary interest in the outcomes.

Furthermore, because second party audits by their very nature are non-competitive, you may be faced with inflated audit costs and no opportunity to seek a more cost effective option such as alternative auditors or integrate the audit into your overall EMS audit.

As a general rule of thumb, a second party audit process should be able to be undertaken as cost-effectively as a third party audit, which will also provide more confidence in the outcomes, if the company or regulator undertaking the audit so desires.

### Department of Environment and Heritage Fishery Assessments

To satisfy the Australian Government requirements for a demonstrably ecologically sustainable fishery, a fishery or fisheries (if a species is caught in more than one fishery), must operate under a management regime that meets Principles 1 and 2 of the *Guidelines for the Ecologically Sustainable Management of Fisheries*. It is important when deciding on the type of auditing system you are going to use to understand Principles 1 and 2, if you are required to meet them.

**Principle 1** – A fishery must be conducted in a manner that does not lead to over-fishing, or for those stocks that are over-fished, the fishery must be conducted such that there is a high degree of probability the stock(s) will recover.

**Principle 2** – Fishing operations should be managed to minimise their impact on the structure, productivity, function and biological diversity of the ecosystem.

*The Environmental Protection and Biodiversity Conservation Act 1999* establishes benchmarks for the Environmental assessment of fisheries. A Terms of Reference is used in the assessment of the fishery to establish details, which include:

- Description of the fishery
- The environment likely to be affected by the fishery
- Proposed Management Arrangements for the fishery
- Environmental Assessment of the Fishery
- Management measures and safeguards to ensure ecological sustainability
- Monitoring and Alternatives
- Information Sources

The environmental assessment must be conducted under State or Australian Government legislation. The terms of reference must be prepared in consultation with the Department of the Environment and Heritage.

The purpose of the assessment is to identify negative impacts that may be caused by your operation, how they impact the environment and how to prevent them. Whilst there is no requirement for an Environmental Impact Assessment to be conducted for all activities, this type of second party audit system produces a higher level of confidence in your audit results than a self-assessment because it encompasses State or Federal legislation.

The assessments are conducted by Department of Environment and Heritage's Sustainable Fisheries Section (SFS) on behalf of the Australian Government. Submissions are prepared by the fishery management agency against the *Guidelines for the Ecologically Sustainable Management of Fisheries* (available from the SFS or at <http://www.deh.gov.au/coasts/fisheries/assessment/guidelines.html>). The Guidelines outline principles and objectives designed to ensure a strategic and transparent way of evaluating ecological sustainability.

### **Environmental Consultants**

A second party option is having an environmental consultant engaged by you to do your audit. Consider the options; do a search on the internet.



## Third party audits

This is an evaluation of a company by a certification body, and it lends its name to the concept that there are three parties involved: the company, the certification body and the theoretical customer that the certification body is auditing on behalf of.

Third party audits allow you to:

- evaluate your current practices, policies, procedures, and programs
- determine your level of regulatory compliance
- recommend appropriate program development, modification, or consolidation
- develop a program plan to meet your specific needs.

### SSA Third Party Audit

SSA is currently working on developing a transparent and objective third party auditing regime for EMS audits with JAS-ANZ, the Joint Accreditation System of Australia & New Zealand. SSA has a goal of achieving the development and implementation of a third-party certification system that is acceptable to Department of Environment and Heritage (DEH), for more information contact SSA.

### ISO 14001

ISO 14001 is part of the ISO 14000 series, voluntary environmental management standards and guidelines developed by the International Organisation for Standardisation (ISO). ISO 14001 is a standard for establishing and maintaining an environmental management system. Specific outcomes are not given to you; this standard allows you to develop your own EMS to suit your own operation. Certification is given to verify that a successful management process has been established.

The ISO 14001 Standard examines the management process only, and not the environmental outcomes or product. For this reason, ISO 14001 certification provides no information or assurance about the level of environmental impact a certified organisation's achieves.

The ISO 14001 Standard is not specific to fisheries or aquaculture, but is applicable across all sectors and all organisations. The ISO 14001 Standard was developed to bring consistency and common understanding to the design of environmental management systems in the global marketplace.

An independent certifier accredited by JAS-ANZ evaluates a management system to determine whether it meets the ISO 14001 Standard.

Even without certification, the ISO 14001 Standard and others in the ISO 14000 series can provide useful guidance to designing and improving your management system, for more information visit [www.iso14000.com](http://www.iso14000.com).

### **Marine Stewardship Council**

Marine Stewardship Council (MSC) offers certification to marine capture fisheries if they meet the principles and criteria for good management and sustainability established by MSC. The aim of MSC is to encourage sustainable fishing operations through product eco-labelling aimed at consumers.

An eco-label is a symbol that indicates an environmentally friendly product. This allows consumers the choice to buy environmentally friendly products. Contact the Fisheries Research and Development Corporation for a copy of the "Ecolabelling guide". [www.frdc.com.au](http://www.frdc.com.au)

The MSC is an international accreditation body for sustainable fisheries, for more information visit [www.msc.org](http://www.msc.org)

The MSC label is increasingly recognised in Europe and the USA with some major retailers implementing policies of selling a minimum amount of MSC labelled product.

## **REVIEWING YOUR MANAGEMENT SYSTEM**

### **What is a management review?**

The key question that a management review seeks to answer: "Is the system working (that is, is it suitable, adequate and effective, given our needs)?"

An EMS Management Review is conducted to evaluate the effectiveness of your organisation's EMS and its role in the goals that you set. Continually improve your EMS by reviewing it at regular intervals — your audit report will help you to identify where improvements can be made. Results of your EMS audits therefore need to feed into your EMS management review.

***The results of regulatory compliance audits are often good indicators of EMS deficiencies; use compliance audit findings to guide your EMS efforts, and include them in your management review.***

Your audit results can help you to identify trends or patterns that need to be fixed and gaps or deficiencies that need to be corrected. Your management review can help you to:

- maintain management focus on agreed goals
- improve the EMS and its performance
- ensure the system's cost-effectiveness.

### **Management Review Tips**

- changing circumstances might be internal to your organisation (such as new facilities, changes in catch, new customers, etc.) or might be external factors (such as new laws, new scientific information or changes in access rights)
- involve people in the management review process who have the right information and knowledge, and people who can make decisions about the organisation and resources
- determine how often to conduct the management review so that it will work best for your organisation; consider combining these reviews with other meetings, but at a minimum, consider conducting management reviews at least once per year
- during management review meetings, make sure that someone records what issues were discussed, what decisions were arrived at, and what action items were selected
- be sure that someone follows-up and progresses action items
- at the end of each review, you should come away with at least one improvement to the management of your EMS, this way you know you are continuously improving
- after your first review, don't be disconcerted if you have many changes to make.

This is a good step towards improvement, and it is best done as soon as possible after you implement your EMS.

### **Conducting your management 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 targets been met?
- What changes are required to the system to reflect the changing circumstances (i.e. changes to legal and other requirements, improved understanding of issues/ research results, changes in societal values, etc.)?
- Have resources been used appropriately?
- Are 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 employees, 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.

## **WORKSHEETS USED IN THIS STEP:**

Refer to the Worksheet Manual for worksheets used in this step.

- Worksheet 21 Audit policy and procedures
- Worksheet 22 Management review

## **EXERCISE 7 APPLY THE THEORY**

- 1 Peruse this section of the manual.
  - 2 Contact other EMS organisations and discuss the audit process they adopted – contacts on the Seafood EMS inventory at [www.seafoodems.com.au](http://www.seafoodems.com.au).
  - 3 Discuss audit options as a group.
  - 4 In Worksheet 21 Audit policy and procedures lists goals and actions by the audit processes that you determined for them in step 5.
  - 5 Agree on your EMS audit and certification approach and document the reasons for taking this approach including:
    - a. 1st party, 2nd party or 3rd party
    - b. certification sought (if any)
    - c. audit procedures and protocols
    - d. audit frequency
    - e. auditor selection process
    - f. integration with other audits
  - 6 Communicate information about your audit process to all members of your group.
  - 7 Develop and describe your management review procedure, including how you will implement recommendations arising from it. Use Worksheet 22 Management review as required, and to record the description of your management review procedure.
  - 8 Seek written agreement from members of your group to the outcomes to date.
  - 10 Place copies of working documents in your Seafood EMS Folder.
-

***Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.***

As with other steps, this is a lot of work. Just how much work it should be is your decision. Only you can decide how much is enough for you and **your** organisation. The quality of your work is in the results, and the results are indicated by your documentation.

## **SELF-ASSESSMENT 7**

When you have completed Step 7, do this self-assessment. If you are satisfied with the result, move to Step 8. If you are not satisfied, revise those areas with which you were not happy. You should be able to answer yes to all the following questions:

- |  |                          |
|--|--------------------------|
|  | ✓                        |
| Have you perused the relevant information about audit, certification and review?   | <input type="checkbox"/> |
| Have you discussed audit, certification and review as a group?   | <input type="checkbox"/> |
| Did you list your goals and actions by the audit the processes that you determined for them in step 5?                               | <input type="checkbox"/> |
| Have you agreed on your EMS audit and certification approach and document the reasons for taking that approach?                      | <input type="checkbox"/> |
| Have you selected an objective audit team?   | <input type="checkbox"/> |
| Have you communicated information about your audit process to members of your group?   | <input type="checkbox"/> |
| Have you developed and described your management review procedure, including how you will implement recommendations arising from it? | <input type="checkbox"/> |
| Have you recorded information about your audit, certification and review process in the worksheets?                                  | <input type="checkbox"/> |
| Have members of your group agreed to the outcomes to date in writing?  | <input type="checkbox"/> |
| Have you placed master copies all of documents in your SEMS Folder?  | <input type="checkbox"/> |

***Tell your story, celebrate success, and promote your achievements!***



## **Step 8. Reporting: Tell your story, celebrate success, promote your achievements!**

Reporting your EMS achievements to stakeholders is critical — if you don't tell your good news stories, who will?

Reporting EMS outcomes is essential if you are to demonstrate your environmental credentials to customers, governments and the community. Government agencies and research organisations report on what they are doing to meet their obligations. But who is telling your good news stories?

More and more, the community is demanding to know that industries using the nation's natural resources are doing so in a sustainable, responsible way. Governments are responding by requiring industries to demonstrate that their operations are responsible and sustainable.

Reporting also provides an 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 get to improve your public image as a responsible and accountable industry — it can help you to build a more positive, 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 everyone's 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, not the news media or pressure groups, put the issue in its proper perspective
- if you don't have a website, put your EMS reports on SSA's Seafood EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au))
- prepare a newsletter to highlight your achievements — include graphs and pictures that help to tell your story — look at other reports and newsletters for ideas
- remember that your EMS plan is a great source of information in its own right
- the Seafood EMS Communication Kit and the Community Communications Guide, have some great tips about getting your message across to your target audience.

## DEVELOPING YOUR REPORTING PROGRAM

***Reporting your EMS achievements to stakeholders is critical — if you don't tell your good news stories, who will?***

In this step, you will:

- Develop a program to report your progress (who, how and when)

In the process of developing your EMS, you created and gathered a wealth of positive information about your industry. Now is the opportunity to use this information in easy to understand forms that are suitable for a range of great good news stories.

You need to think about who you should report to, what your messages are, and the best way to communicate your messages to your target audience. To do this, take advantage of a ready made proven strategy developed specifically for the Seafood Industry.



## The Community Communication Guide

The Community Communication Guide (CCG) 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 CCG is an excellent communication tool developed through extensive industry consultation, which meets the communication needs identified by the industry. It is an essential resource for the EMS process. Below is a general template to assist you when implementing your community communication plan. It is to be used as a guide only in conjunction with the CCG.

### Key elements of the Community Communication Guide

#### Objectives

Describe the objectives of the plan.

#### Target Audience/s

Identify the audience/s you will be communicating to.

#### Key Message/s

Identify the key message/s you want to communicate to the target audiences.

#### Methods

Identify the methods by which you are going to deliver the information to the target audiences during and after the development of your EMS. These methods may include media releases, workshops, forums, newsletters, websites, face-to-face communication or publications.

#### Action Plan

Develop a timeline identifying the methods, who is responsible for implementing them and the completion dates.

### During Project

Method	Responsibility	Completion date
eg. Reporting to steering committee every 6 months	EMS Officer	Every 2 months

### After Project

Method	Responsibility	Completion date
eg. Review your EMS	Management team	within 3 months

### Evaluation

Identify how you will evaluate the success of the plan. This may include surveys of target audiences, recording of media coverage.

## REPORTING OBJECTIVES

Clearly define your reporting objectives. You should agree as a group on what you aim to achieve by the reporting processes that you adopt. Objectives could include:

- a better informed public
- political decisions about your industry based on sound and accurate information
- create a positive industry image
- well informed industry members.

## RESOURCES

Determine an overall communication and reporting strategy and resource it appropriately. Taking a proactive approach can deliver many positive benefits, including the opportunity to provide the public with accurate information about you industry and its environmental credentials. However, such an approach will pay very limited if any dividends unless you are prepared to underpin it with the resources required to make it happen.

## RESPONSIBILITY

Every time you decide on a course of action, make someone responsible for ensuring it is implemented – or it more than likely will not be!

## THE MESSAGES

Keep the messages simple, clear, concise and accurate. Remember, if the information you present is proved wrong, it will take a very long time to regain your credibility.

***Be consistent with your messages, or you may add to public confusion.***

An example of reporting a message would be creating a fact sheet on the background / history / heritage of your fishery, and distributing it to your desired audience. This way they can learn all about you in one simple step.

## TARGET AUDIENCES, THEIR NEEDS AND EXPECTATIONS

Be clear about your target audience for any particular message – there will often be many and they will have different needs and expectations. The way that you deliver your message will also vary between target audiences (Table 4).

**Table 4 Target audiences, needs and delivery mechanisms**

Target audience	Information need	Delivery mechanism
General public	Knowledge that fishery is sustainable	Media, festivals and events, launches (eg, EMS)
Local government	Information re: industry practices and beach access	Face to face meetings, formal briefings
Advisory Committees	Advice on issues under consideration	Formal submissions and representations
Governments	Solutions to issues	Delegations and formal submissions
Politicians	Media opportunities	Invite them to launch your EMS and outcomes achieved
Media	Any information that could lead to a story	Get to know journalists and make them aware of good news stories
Academics	Opportunities for projects	Network with relevant university departments
Environmental groups	Status of fisheries	Keep them well briefed on the facts

## **REPORTING FORMAT**

How formal are the reports to be? Are they to be delivered verbally, or in print, at committee meetings, or mailed out? Reports can be emailed or posted to a website, or presented to meetings. Your EMS report, which consolidates a wealth of information about your industry, is a useful tool for delivering information to many different audiences. Always carry spare copies for handing out at meetings and giving to key people.

## **TIMING**

Decide how often you need to deliver certain messages. Develop an annual reporting program that includes opportunities to tell good news stories that arise every year.

## **INTERNET**

Consider creating a website. It is a relatively inexpensive way to give a wide range of people access to information about your industry.

## **PUBLIC FEEDBACK**

Implement a process for responding to external inquiries. This can be a simple process as long as you can demonstrate that the organisation has a process for gathering and responding to external inquiries. In this way, you will be able to demonstrate that you do take concerns raised by members of the public seriously. In addition, members of the public who take the time to give you feedback will generally have a keen interest in your industry. They will also have a circle of friends and colleagues who they will tell good or bad news stories about your industry. Your efforts can help to ensure they are good news stories.

In the process of developing your EMS, you created and gathered positive information about your industry. Now is the opportunity to use this information in easy to understand forms that are suitable for a range of 'good news stories'.

You may consider doing things such as:

- organising workshops or events
- speaking at functions or seafood festivals
- designing and printing brochures
- promoting seafood education
- developing a website
- gaining sponsorship and funding
- lobbying.

***Utilise this resource for communication activities throughout the development of your EMS.***

## **EXERCISE 8 APPLY THE THEORY**

- 1 Peruse this section of the manual.
- 2 Contact other EMS organisations and discuss the reporting processes they have adopted – contacts on the Seafood EMS inventory at [www.seafoodems.com.au](http://www.seafoodems.com.au).
- 3 Peruse the Community Communications Guide for ideas on effective reporting processes that you can implement.
- 4 Discuss reporting options as a group.
- 5 Agree on and document a reporting process including:
  - a. Objectives
  - b. Resources
  - c. People responsible for agreed actions
  - d. Messages
  - e. Target audiences
  - f. Reporting delivery mechanisms
- 6 Record a summary of your reporting process in your communication plan developed in Step 6.
- 7 Consolidate all relevant information generated in the development of your EMS, and recorded in your worksheets, into the SEMS Plan Template, and:
  - a. Edit the template as required to create a draft environmental management plan, and other plans as required
  - b. Finalise your plan/s in consultation with members of your group
  - c. Arrange for the launch of your plan/s
- 8 Seek written agreement from members of your group to the outcomes to date.
- 9 Place master copies of working documents in your Seafood EMS Folder and complete Worksheet 19 Document Control.
- 10 Summarise the training program in this manual, its strengths and shortcomings, and how you believe it needs improvement or change. Explain your reasoning.

***Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.***

The written report should be in the style and format you have developed. It should serve as your review of the whole course and your progress through it. Answer the self-assessment questions. If you're satisfied with your progress, record your communicating and reporting process in section 8 of the Seafood EMS Plan Template.

## SELF-ASSESSMENT 8

When you have completed Step 8 do this self-assessment. The more brutally honest you are with yourself, the better your result will be.

- |   |                          |
|---|--------------------------|
|   | ✓                        |
| Have you perused the relevant information about reporting?  | <input type="checkbox"/> |
| Have you discussed reporting as a group?  | <input type="checkbox"/> |
| Have you perused the Community Communications Guide for ideas on effective reporting processes that you can implement?  | <input type="checkbox"/> |
| Have you agreed on and documented your reporting process?   | <input type="checkbox"/> |
| Have you recorded a summary of your reporting process in your communication plan?   | <input type="checkbox"/> |
| Have you consolidated all other relevant information generated in the development of your EMS in the SEMS Plan Template and edited it to create a draft environmental management plan, and other plans as required? | <input type="checkbox"/> |
| Have you finalised your plan/s in consultation with members of your group?  | <input type="checkbox"/> |
| Have you arranged for the launch of your plan/s?  | <input type="checkbox"/> |
| Have members of your group agreed to the outcomes to date in writing?   | <input type="checkbox"/> |
| Have you placed copies of all documents in your SEMS Folder?  | <input type="checkbox"/> |
| Have you prepared a summary on this program, its strengths and shortcomings, and how you believe it needs improvement or change?  | <input type="checkbox"/> |

# Appendix 1. Linking Seafood EMS & regional natural resource management

## Linking Seafood EMS and Regional NRM

The seafood industry is already involved in a number of processes and programs that could add benefit to the regional natural resource management (NRM) process. This brief outlines some of the major linkages between fisheries research and development (R&D), seafood environmental management systems (Seafood EMS) and the regional NRM process.

### The NRM process

The regional NRM process aims to facilitate more effective delivery of funding for natural resource management throughout Australia. Fifty-six planning regions have been determined which will all have their own regional NRM plan developed by the local community with government and scientific guidance. Regional plans identify priorities and targets for natural resource management and are supported by a regional investment strategy which will deliver investment of the Natural Heritage Trust and National Action Plan for Salinity and Water Quality programs funded by the federal government.

### Seafood EMS

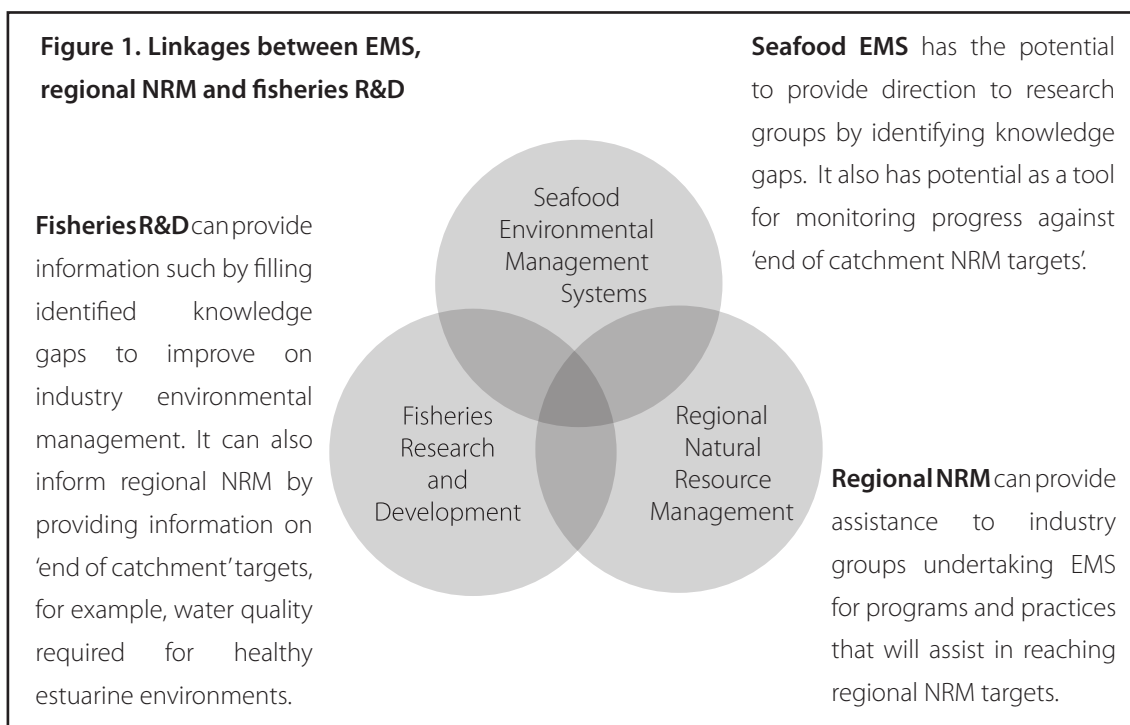
The seafood industry, along with a range of other primary production industries, has taken up the process of developing environmental management systems for regions or industry groups in recent years. As a user of a common resource fishers are under pressure to manage their work with the least possible impact on the environment. They are also highly affected by changes in their surrounding natural environments. EMS are seen by industry as an integrated management approach that puts in place a continual process of planning, implementing, reviewing and improving actions that a group undertakes to manage its risks and opportunities.

### Fisheries R&D, EMS and NRM

#### Using existing fisheries research and development work

Habitats and processes supporting commercial fisheries production are already a focus of those involved in fisheries research and development. The regional NRM planning process can incorporate this information in the development of 'end of catchment' targets. Paying particular attention to information on land based impacts on water quality and flows that may affect the production value of fisheries. There may be opportunities for regional NRM and fisheries R&D bodies to work together to progress projects that will result in improved conditions of the marine environment.

Priority issues and sites for the seafood industry that should feed into the NRM process are likely to be available from existing sources, such as through industry organisations and management advisory committees. Some groups participating in an EMS process have already identified priorities for their own regions and/or industries particularly through the risk assessment process. Seafood industry priorities need to be made available at the regional planning level (if they have not been included already).



## Opportunities for greater future collaboration

The EMS process, particularly the risk assessment component has already helped a number of groups to identify knowledge gaps that exist in their fishery. By asking the question 'What is the current risk level?' some groups have found they have to answer, "We don't know". Identifying knowledge gaps through EMS provides an opportunity to develop resource management priorities for the seafood industry. These research priorities can feed into both fisheries research and development and regional natural resource management.

## EMS for implementing, monitoring and evaluating NRM plan targets

EMS provides an opportunity to develop specific NRM targets that can be applied across a whole region. This is already demonstrated through the successful development of regional/industry EMS in a number of seafood industries sectors and more widely in a variety of agricultural sectors. Often priorities and targets relating to seafood EMS and the continuation of sustainable fishing practices are likely to overlap with the natural resource



management targets. EMSs are also valuable tools in monitoring and continuing to update catchment/regional priorities and targets. The core idea behind an EMS is a developing a process of continual improvement which involves the monitoring and evaluating progress on a regular basis.

### Useful Websites

**Natural Resource Management** <http://www.nrm.gov.au/about-nrm.html>

**Natural Resource Management - What does it all mean?**

<http://www.australian-aquacultureportal.com/ems/NRM%20explained.pdf>

**Seafood Environmental Management Systems** <http://www.seafoodems.com.au/>

## Appendix 2. Resources to help you

### SEAFOOD EMS RESOURCES

Seafood EMS resources will help you to choose and implement an environmental management system that you need for your business or fishery.

Time and money can't be wasted when you are in business. SSA's Seafood EMS (SEMS) Resources help to de-mystify environmental management systems (EMS) for seafood businesses and organisations and distil a huge amount of experience for you to tap into. They have been tested and refined by SSA and industry so that you can start preparing an EMS right now — one that is tailored uniquely to your situation.

### THE SEAFOOD EMS CHOOSER

This booklet helps to de-mystify the myths about environmental management systems, and will help you to decide on the EMS that you need for your business or fishery.

### SEAFOOD EMS CD ROM

The interactive electronic program on the Seafood EMS CD ROM will help you to set goals for the environment, food safety and quality, OH&S, profitability and community relations — and integrate them into your day-to-day business activities.

Use the Seafood EMS CD ROM to help you to work through the eight-step Seafood EMS process and record the information that you generate so that it can be easily managed and analysed. The program enables you to open any of the following plans in a Microsoft Word document,



where they can be edited and fine tuned as required:

- Seafood EMS Master Plan
- Environmental Management Plan
- Food Safety Plan
- OH&S Plan
- Profitability Plan
- Public Relations Plan

## SEAFOOD EMS ASSESSOR'S GUIDE

This guide helps the EMS Assessor to judge your skills and knowledge against the EMS units of competency in the National Seafood Industry Training Package. This ensures national consistency in the assessments, enabling people to be assessed by any registered training provider accredited for assessing these units of competency.

Please note: Although non-accredited training providers may possess the competence

required to assess your skills against the EMS units of competency, they are unable to issue you with statements of attainment that recognise your EMS skills. A list of accredited training providers can be found at [www.seafoodems.com.au](http://www.seafoodems.com.au)



## SEAFOOD EMS COMMUNICATION KIT

The kit helps you gain recognition for EMS achievements and gain community support for your industry. The kit contains: a communication “compass” which describes how to communicate with key stakeholders throughout the EMS process; a quick reference media guide; over 30 tip sheets and handy resources; and a link to a dozen additional resources ranging from a contact database template to PowerPoint presentations and workshop checklists.

## SEAFOOD EMS RECIPES FOR SUCCESS

The purpose of this booklet is to help you to benefit from the experiences of the Seafood EMS Pilot Groups. The publication focusses on evaluating the benefits of EMS in the seafood industry.

## WALKING THE TALK - SEAFOOD EMS CASE STUDIES

This Publication supplements Seafood EMS Recipes for Success, and relates to the experiences of the pilot groups.



## OTHER RESOURCES AND SMART TIPS

### THE COMMUNITY COMMUNICATION GUIDE IS A GREAT RESOURCE

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 to plan and implement effective communication strategies. It provides a framework for working through planning, communication and implementation of strategies for positive action, including:

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

***The guide is available from [www.seafoodbookshop.com.au](http://www.seafoodbookshop.com.au)  
Celebrate success – if you do not tell your good news stories, who will?***

## SEAFOOD EMS WEBSITE

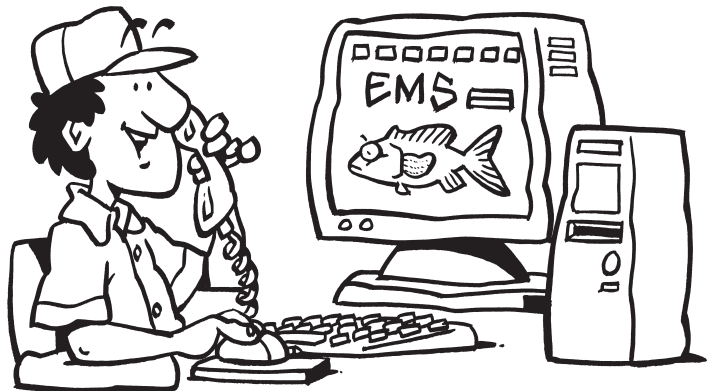
The seafood EMS website ([www.seafoodems.com.au](http://www.seafoodems.com.au)) brings you new resources and ideas about EMS as they are developed.



## CONTACT SSA AND TAP INTO KNOWLEDGE AND IDEAS

SSA is continually improving the Seafood EMS Resources as we gain more knowledge and ideas from people and organisations already developing EMSs.

SSA's many close links with industry ensure that you will receive the benefits of their experience from the outset.



Enjoy your EMS journey!

***All of us at SSA wish you the very best for a  
successful and enjoyable EMS journey!***

**Contact SSA for the latest EMS information:**

[www.seafoodems.com.au](http://www.seafoodems.com.au)  
[ssa@seafoodsolutions.com.au](mailto:ssa@seafoodsolutions.com.au)  
phone 1300 130 321 toll-free.

# www.seafoodbookshop.com

brings you the latest and best knowledge from around the world!



At SSA's online bookshop, you can get your hands on information that lets you move ahead and stay ahead — on subjects such as:

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- environmental management systems
- trade and market development
- health and nutrition
- industry contacts and information
- training and education
- fisheries economics and management
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**SEAFOOD SERVICES**  
AUSTRALIA



**Australian Government**  
**Fisheries Research and**  
**Development Corporation**

## **Attachment 8 – The Seafood EMS Assessors Guide**

Attached is a CD version of the Seafood EMS Assessors Guide (SEMS Assessors.doc), a hardcopy is available from SSA on request.

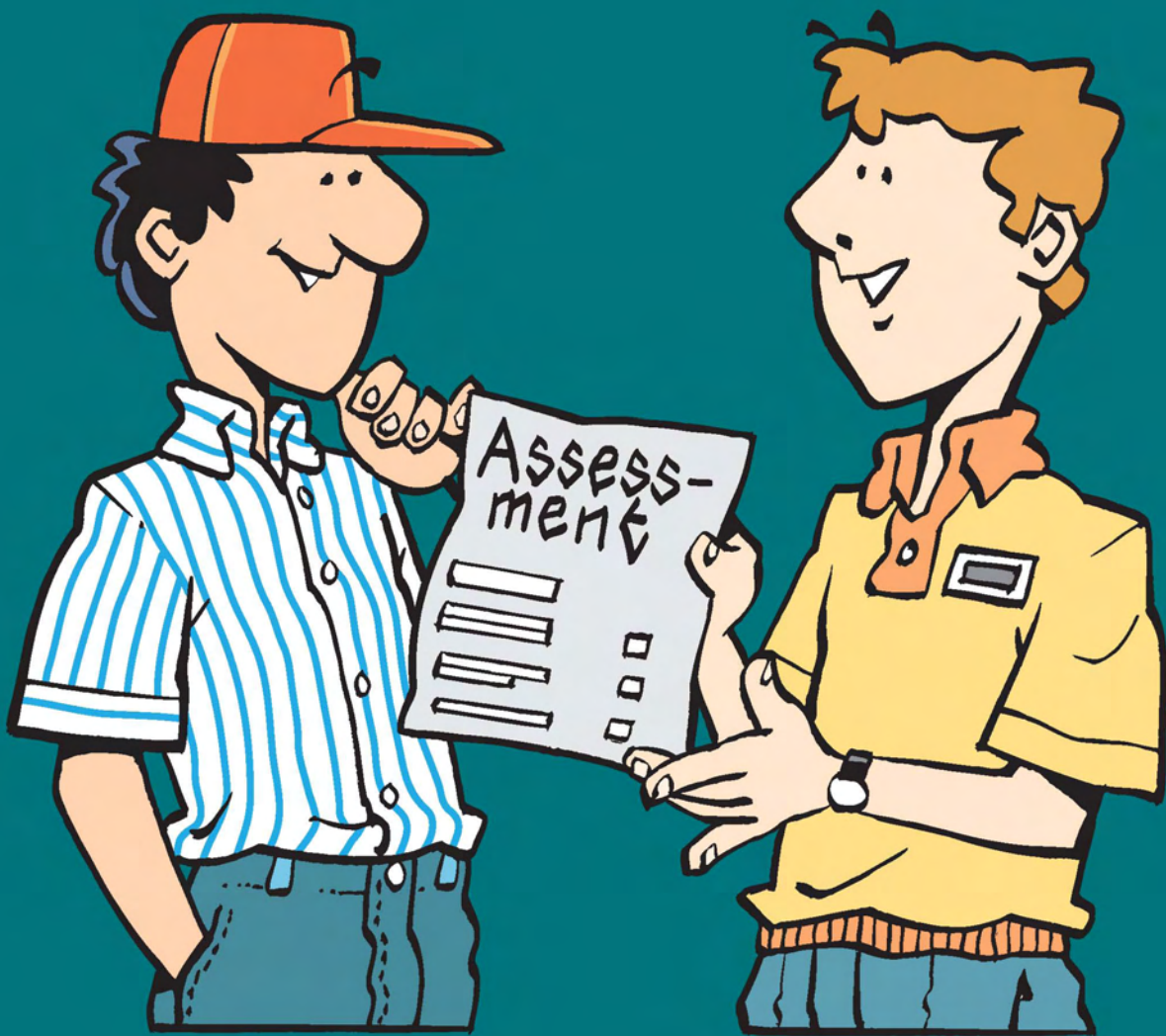




# Seafood EMS

## Assessor's Guide

... to help in judging EMS skills and knowledge



**SEAFOOD SERVICES**  
AUSTRALIA

LEADERS IN INDUSTRY DEVELOPMENT





# The Seafood EMS Assessor's Guide

... to help in judging EMS skills and knowledge against units of competency in the National Seafood Industry Training Package

Seafood Services Australia Ltd is proud to bring you, in this publication and others in the series of *Seafood EMS Resources*, the distilled wisdom of the industry leaders who have pioneered seafood environmental management systems in Australia.

The *Seafood EMS Resources* result from an intensive R&D program made possible by the Australian Government's investment of \$1.65 million of Natural Heritage Trust funds through industry partnership programs, including the *EMS National Pilot* and *Pathways to Industry EMS* programs. The seafood industry invested \$3 million in-kind in these latter two programs.

This R&D capitalised on the innovative strategic investments in environmental management systems in the seafood industry by the Fisheries Research and Development Corporation, with strong support from the Australian seafood industry.

The industry has earned a leading reputation around the world and among other primary industries for these ground-breaking initiatives and its enthusiastic uptake of seafood EMS. By using the *Seafood EMS Resources*, you're taking advantage of the best EMS experience currently available.

[www.seafoodems.com.au](http://www.seafoodems.com.au)

## *The Seafood EMS Assessor's Guide*

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## **Quotes from the Seafood EMS pilot groups**

### **Northern Territory — barramundi**

... better profits ... community confidence in our environmental performance ... more secure resource access ... a wider and deeper support for EMS among us ...

### **Queensland — Moreton Bay fishers**

... more resilient to change now that we understand continual improvement ... better community perceptions from our credible, positive stories ... higher credibility e.g. with conservation groups, because our EMS is based on scientific principles ... stronger relationships between us (UNITY!!) ...

### **Victoria — Bays and Inlets**

... we've changed the political landscape since getting into EMS ... the community recognition we've gained is helping our survival ... the notion has grown that the industry is a valued part of the community ...

### **Tasmania — oysters**

... our staff enjoy their jobs more — much happier ... proven sustainability means the business is more secure ... we're leading by good example in Landcare, local government etc ... EMS links up our QA, QMS, OH&S, management plans and controls, licence conditions and audit processes ... improved capacity to promote all-round quality and respond to market access issues ...

### **South Australia — southern rocklobster**

... EMS gives us a common language to communicate risks and threats and to talk about them in a non-threatening way ... communication channels between skipper and crews are opening up ... training has increased people's awareness of their responsibility ... third-party certification is generating digestible information to show the community ...

### **Western Australia — pearls**

... our participants took control of the agenda and expressed best practice in a form that's gone down well in the wider community ... stakeholders are more aware of the positive steps we're taking in managing risks ... the discipline in preparing cases in some detail has been good for us ... the status of our industry has gone up ...

**EMS reminds us that**

**the future is ours to manage**

## Congratulations to the seafood industry — leaders in environmental management systems!

Five years ago, the notion that the Australian seafood industry would become a world leader in environmental management systems would have been considered far-fetched.

Today, the industry's EMS leadership is widely acknowledged throughout the world and our nation.

This achievement is testament to the inspiration and untiring effort of the staff and directors of Seafood Services Australia Ltd and of the many industry people who have contributed their expertise and time to making EMS work. Prominent among them are the members of the six pilot groups who, by trial and error, showed the way ahead for seafood industry innovators. They have demystified EMSs and have provided easily understood models specifically for the seafood industry.

The seafood industry's achievements have built on longstanding research and development investment in environmental management by the Fisheries Research and Development Corporation. The recent successful outcomes of the six pilot projects were enabled by timely investment by the Australian Government, starting in 2003: some \$1.65 million of Natural Heritage Trust funding was allocated through industry partnership programs, including the *EMS National Pilot* and *Pathways to Industry EMS*. The seafood industry, in turn, invested \$3 million in-kind in these latter two programs.

Through these initiatives, lessons learnt by the seafood industry are being transmitted to other Australian primary industries, further increasing their effectiveness. It is highly satisfying that these collaborations between the Australian Government and industry to enhance the future profitability and sustainability of primary industries have been so successful.

In five years, stimulated by Australian Government initiatives such as the Natural Heritage Trust, there has been a sea-change in attitudes about what is possible in managing the environment. Challenges that seemed insurmountable then can now be met by systematic approaches. Importantly, seafood environmental management systems also allow the industry to *demonstrate* responsible, sustainable natural resource management. Knowledge of this environmental responsibility is starting to spread throughout the community, with many eventual economic, environmental and social benefits in prospect from increased community confidence in the industry.

This publication, the *Seafood EMS Assessor's Guide*, is one of ten paper-based and electronic "Seafood EMS Resources", including an interactive CD-ROM and a website. Its purpose is to help in judging EMS skills and knowledge against units of competency in the National Seafood Industry Training Package.

It is with an immense sense of pride that I commend this publication to everyone who has the long-term profitability and sustainability of their seafood business or sector at heart.



The Hon. Sussan Ley, MP  
Parliamentary Secretary to the  
Minister for Agriculture, Fisheries and Forestry



## Tools to help you to do business better — the Seafood EMS Resources

You can't afford to waste time and money when you're running a business. So there's a lot to be said for taking advantage of the experiences of other people.

SSA's *Seafood EMS Resources* help you to do just that. Thanks to investments by the Fisheries Research and Development Corporation, the seafood industry and the Australian Government's Natural Heritage Trust *Pathways to Industry EMS* program, you can "pick the brains" of seafood industry people who have pioneered environmental management systems (EMSs) for our industry. We're proud that with their help, we've led the way in EMS — not only among Australian primary industries but world-wide.

We've thoroughly tested and refined all the *Seafood EMS Resources* so that you can start preparing an EMS — tailored to your unique situation — right now. Here they are:

### Choose the right environmental management system

... take a quick read through the [Seafood EMS Chooser](#)

### Develop your EMS and put it into practice

... follow the Seafood EMS [Self-assessment and Training Manual](#) — it also lets you have your skills and knowledge recognised under the National Seafood Industry Training Package

### Save time with handy worksheets

... included with the Seafood EMS Self-assessment and Training Manual, the [Seafood EMS Worksheets](#) help you to work through each EMS step

### Prefer an interactive program?

... then you'll really like the [Seafood EMS CD-ROM](#) — it helps you to set goals for the environment, food safety and quality, OH&S, profitability and community relations, and to integrate them into your day-to-day business activities

### Be rigorous — get assessed

... the [Seafood EMS Assessor's Guide](#) can be used by an EMS Assessor to judge your skills and knowledge against the EMS units of competency in the National Seafood Industry Training Package

### Get recognised, get community support

... the [Seafood EMS Communication Kit](#) helps your EMS achievements to be recognised and supported by the community

### Grab new ideas

... visit the Seafood EMS website — [www.seafoodems.com.au](http://www.seafoodems.com.au) — to bring you new EMS resources and ideas

### Pick the brains of the trail-blazers

... Seafood EMS [Recipes for Success](#) tell you about the experiences of people in the Seafood EMS pilot groups

... and [Walking the Talk — Seafood EMS Case Studies](#) gives you more information if you need it

### Get together with your stakeholders

... the [Engagement of Stakeholders Study](#) helps you to decide on the best strategies



## About this guide

Environmental sustainability is a high priority for the Australian seafood industry and the Australian Government. It can only be achieved through the collaborative efforts of everyone involved in the industry.

Seafood Services EMS initiatives have been made possible by the Fisheries Development Corporation's investment in the development and extension of the Seafood EMS model in SSA itself. The guide has been developed under the EMS Pathways for the Seafood Industry project<sup>1</sup> funded by the Natural Heritage Trust to assist fishers, aquaculturists and seafood post harvest businesses to embrace environmental sustainability through the development and implementation of environmental management systems (EMSs).

The Seafood EMS program has been especially designed to help seafood industry people to develop and implement an EMS that meets their needs. The training component is covered in The Seafood EMS Self-assessment and Training Manual. The EMS may involve a group of seafood businesses with common interests, or it may involve only one business. Participants in the program may undertake it independently or they may work with a facilitator. Whatever the pathway, participants will gain new skills and knowledge and as this learning is shared with colleagues and workplace members it will spread throughout the seafood industry. The Seafood EMS Assessor's Guide provides a process by which participant EMS skills and knowledge can be Recognised against national industry EMS competency standards.

The value in having knowledge and skills recognised against an external standard is appealing to more and more people in industry. With recognition comes personal satisfaction and for some, career opportunities. For the workplace it promotes a learning culture which in turn fosters further learning and sharing of knowledge. Recognition can be useful for third party audits and for meeting market protocols. For the industry, it increases the capacity for growth through expansion, improvement and marketing opportunities, and helps achieve resource security for future generations.

## Purpose and scope

This Guide has been developed for the benefit of assessors. It adds to the information available in the Assessment Guidelines, one of the endorsed components within the Seafood Industry Training Package, and the Australian Quality Training Framework Standards that govern the way Registered Training Organisations (RTOs) provide assessment services.

The Guide contains mapping information that identifies competencies relevant to environmental management and sustainability and an assessment strategy for use with participants in the Seafood EMS program. An assessment tool is included for each of the competencies, filled out with sample evidence to show their use in practice. Assessors can adapt these for individual circumstances following the advice on contextualisation in the Introduction of the Seafood Industry Training Package.

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<sup>1</sup> The EMS Pathways for the Seafood Industry project involved the development of the Seafood EMS program with resources for EMS training and assessment: Seafood EMS Self-assessment and Training Manual; this guide, the Seafood EMS Assessor's Guide, the Seafood EMS Communication Kit and the Seafood EMS CD. Further information about the program is available on the Seafood Services Australia website, [www.seafood.net.au](http://www.seafood.net.au)



## Section One: EMS-related competencies

The Seafood EMS program promotes a triple bottom line approach to environmental sustainability. To be environmentally responsible businesses must be ecologically sustainable, economically viable and socially responsible in their actions with employees, clients and community.

For this reason, it is to be expected that businesses with a high level of commitment to environmental management would have effective business systems integrated across their organisations.

For example, businesses would demonstrate good practices in such areas as:

- induction and workplace familiarisation
- OHS policies and procedures
- quality assurance
- HACCP
- machinery, vehicle and vessel maintenance schedules
- record-keeping
- industrial relations, and human resource management
- education and training
- strategic, business and operational plans
- environmental sustainability policy.

If a business were to use a competency framework across its organisation it would look remarkably similar to the Qualification Framework within the Seafood Industry Training Package. Each job role within the organisation would be mapped to the competencies required of someone filling the position.

For the purposes of this Guide, only those competencies as may be directly required by individuals to develop, implement and maintain an environmental management system have been identified.

An environmental management system involves all employees in the business. Much of their work will follow procedures that are part of the EMS. Employees have an important part to play in the EMS by monitoring its effectiveness and through continuous improvement.

Skills and knowledge in EMS development, implementation and ongoing management can be mapped to competencies at an employee's level of responsibility. The following table displays competencies at levels of responsibility using the Australian Qualifications Framework (AQF) as a guide. The arrows indicate that a competency may be used in a lower or higher level, as indicated by the direction.

Competencies found on the same row show the links between similar competencies across levels of responsibility. The person who has the higher level competency may have input into how a person at a lower level competency goes about that task and be responsible for some of their outputs.

As an assessor your judgement will be required to assist participants to determine the competencies most appropriate to their level of responsibility. Where there are two units at the same level with and in the context of the workplace similar evidence is likely to be used, for example BSBCM313A Maintain environmental procedures and SFIEMS301A Implement and monitor environmentally sustainable work practices consider whether both units are necessary, and if not, which is most appropriate for the participant. The unit BSBCM215A Participate in environmental work practices is not in the Seafood Industry Training Package. However, anyone attaining this competency could be assumed to meet element one of SFICORE105A Work effectively in the seafood industry.

### Competencies mapped to the AQF

AQF 2	AQF 3	AQF 4	AQF 5	AQF 6
SFIEMS201A Participate in environmentally sustainable work practices	SFIEMS301A Implement and monitor environmentally sustainable work practices		SFIEMS501A Develop workplace policy and procedures for sustainability	
BSBCM215A Participate in environmental work practices <sup>2</sup>	BSBCM313A Maintain environmental procedures	BSBCM413A Implement and monitor environmental policies	BSBMGT507A Manage environmental performance	BSBMGT610A Manage environmental management systems
		BSBCM416A Identify risk and apply risk management process		BSBMGT609A Manage risk
		SFIEMS401A Conduct an internal audit of an environmental management system		
	SFIEMS302A Act to prevent interaction with protected species			
		RTD4804A Develop community networks		

Use the AQF descriptions below to identify the level of responsibility of a SEMS participant or their employees. (More detailed AQF descriptors can be found in the Introduction section of any Training Package.)

## Australian Qualification Framework levels

**AQF 2** – a person at this level works under close supervision and follows procedures and work instructions.

**AQF 3** – a person at this level works under direction, but may have the authority to choose between a range of procedures. They may take limited responsibility for the output of others, or be expected to have quite advanced technical skills.

**AQF 4** – a person at this level implements the enterprise's policies, systems and procedure. Most are supervisors with responsibility for the outcomes of others, but some may have

<sup>2</sup> The unit *BSBCM215A Participate in environmental work practices* is not in the Seafood Industry Training Package. However, anyone attaining this competency can be assumed to meet element one of *SFICORE105A Work effectively in the seafood industry*.

considerable responsibility and autonomy in a specialist area, for example in OHS and environmental management.

AQF 5 – a person at this level will be in a managerial role and that will involve establishing and overseeing the enterprise's systems and policies. Depending on the size of the business, that role may be focused in a specialist area, or it may, in a small business, cover all aspects of business and operational management.

AQF 6 – a person at this level will have a focus on strategic management. This will most likely involve contact with industry organisations, government agencies, media, suppliers and customers. A person in this role may have a managerial role across a complex company for example one that has a number of enterprises and sites.

Once you have identified the relevant competencies move on to the assessment strategy in Section Two for ideas on how to go about the assessment.



## Section Two: Assessment strategy

Section One provided guidance in selecting appropriate units of competency.

Your next task is to develop an assessment strategy. It is good practice to have an assessment strategy in mind before the commencement of the program to:

- ensure the program addresses assessable criteria.
- guide the development of knowledge and skills.
- take advantage of assessment opportunities to gather evidence, and co-assess units of competency.
- motivate and maintain the interest of participants.

The nature of environmental management is such that it takes time to develop a system or plan and then to implement it. To demonstrate associated competencies will also take time. Choose between two assessment pathways.

**Pathway 1:** Where participants have been involved with the EMS development and implementation for a year or so, choose the *Recognition* pathway. Address any gaps through an individual learning plan.

**Pathway 2:** Where participants are just beginning, or are part way through the Seafood EMS Program, then they can gather evidence of competency over the coming year. Whatever the participant background or EMS focus, the place to start is with the relevant units of competency.

### Assessment pathways

The Seafood EMS program provides a process for developing and implementing an EMS. The assessment of competence will be of the participant not the EMS. The participant must show he or she can meet the competency standard; that is the performance criteria and the related knowledge and skills as stated in the unit of competency. The evidence participants provide will no doubt include their contribution to the EMS developed in the Seafood EMS program. It must also include evidence of environmental management and sustainability being implemented, monitored, improved and adapted as an integral part of the business and its operations.

You may choose to build up the evidence an element at a time. The sample evidence included in the assessment tools in the Appendices can be used as a case study when explaining the assessment process to participants.

### Can the Seafood EMS program worksheets be used as evidence?

It is not possible to categorically link the worksheets in the Self-assessment and Training Manual as evidence to units of competency. As an assessor you will have to make a judgement as to the value of each worksheet on a participant by participant case. Keep the following points in mind.

- Evidence gathered as part of a training or facilitated program must be used cautiously as it rarely covers all the criteria of a competency, nor the requirement to demonstrate a skill

over time and in a variety of contexts. A worksheet may contribute some evidence, but other types of evidence will also be required for a valid assessment.

- The Seafood EMS program uses a facilitated action learning methodology with group members contributing their effort, research and expertise for the shared good. This makes it very difficult for an assessor to authenticate evidence as being the work of a particular participant.
- Environmental management systems (EMSs) usually require everyone in an enterprise to be responsive to the EMS and its implementation, in ways appropriate to their role and level of responsibility. The worksheets may indicate that EMS responsibilities have been allocated but as the assessor you will not be able to determine for sure if they were carried out without further evidence being supplied.
- An EMS may be in place for many years, and during this time it may be modified to address changing conditions and needs. The ongoing nature of the system requires support mechanisms in the workplace to ensure it is implemented, monitored for effectiveness and improved. This means systematic training of personnel, keeping of records, analysis of monitoring data etc. This is reflected in relevant competency standards. Evidence in support of these competencies is likely to come from the workplace, not from worksheets.

## Evidence-gathering opportunities arising from the Seafood EMS program

Some evidence may be collected during the developmental and implementation phases of the program. Examples might include identifying applicable legislation, outcomes of risk assessments, notes from community consultations, or procedures for protecting local threatened species. However, take care to ensure that all assessable requirements identified in the competency are addressed. The worksheets may capture only some of the required detail.

Assessment plans, in the appendix to this Guide, identify worksheets that may be useful in contributing evidence for a particular unit. Do not assume that because it is listed the worksheet is automatically acceptable as evidence. The onus is on you as the assessor to check the validity and authenticity of worksheets as evidence and to determine what additional evidence will be required.

## Environmental management competencies in the workplace

The Seafood EMS program is usually undertaken by owners, managers and skippers. However the success of the EMS requires the involvement of all employees. The competency mapping table on page 4 shows units with inter-dependencies between AQF levels. Higher AQF competencies focus on setting up policy and procedures and making decisions on actions to take. Mid AQF competencies focus on implementation and monitoring. Lower AQF competencies involve participation and following procedures.

Encourage other employees to apply for Recognition of their skills and knowledge. The fact that workers at AQF 2, 3 and 4 have environmental management and sustainability competencies recognised will make it easier for those higher up the AQF level to demonstrate their competencies.



## Opportunities for integrating assessment

Assessment can be a time consuming (and therefore expensive process). Look for opportunities to integrate assessment of environmental management units with other assessments. The Assessment plans in the Appendices indicate potential units for co-assessment.

Another opportunity for integrated assessment could be created while undertaking an internal audit or management review of the EMS. Those doing the audit can be assessed in SFIEMS401A Conduct internal audit of the environmental management system. Assessment of mid and lower level AQF competencies of other staff could be incorporated into the audit.

An assessment plan and assessment instrument (filled out with sample evidence) for each of the competencies on page 4 is located in Appendix Two. Use the sample evidence as a guide to the range and types of evidence needed to demonstrate competence.



## Section Three: Information for facilitators and participants

### When should the concept of skills recognition be introduced?

Seafood businesses, through their management make a business decision to become involved in environmental management. They do this as it ensures that their operation is ecologically sustainable and economically sound thus benefiting their business, employees, the community and the nation.

Formal recognition of skills provides a third-party endorsement of the environmental management system or plan. For employees, this can have a very positive effect, which in turn encourages motivation and commitment to on-going implementation. For the community and customers it is a public endorsement of the business's commitment to environmental sustainability. And that has to be good for business.

Introduce the concept of Recognition at the onset of the Seafood EMS program. The concept can be re-enforced throughout the program and opportunities to gather evidence brought to participants' attention. Facilitators may find the competencies informative in guiding the group to new learning and skills that either the group or individual members, may require. The competencies can also guide a Facilitator in helping group members to self-assess their own progress and performance.

Two information sheets have been provided in Appendix One. One is for Facilitators and the other for program participants who may have an interest in the Recognition process.

Become involved with a group from the beginning. Understanding the contributions of group members and the objectives of the environmental management system or plan will make the Recognition of competency at a later stage much easier.

# Appendixes

## Appendix One: Information for facilitators and participants

## Appendix Two: Assessment plans and assessment instruments for:

<b>BSBCM215A</b>	<b>Participate in environmental work practices</b>
<b>SFIEMS201A</b>	<b>Participate in environmentally sustainable work practices</b>
<b>BSBCM313A</b>	<b>Maintain environmental procedures</b>
<b>SFIEMS301A</b>	<b>Implement and monitor environmentally sustainable work practices</b>
<b>SFIEMS302A</b>	<b>Act to prevent interaction with protected species</b>
<b>BSBCM413A</b>	<b>Implement and monitor environmental policies</b>
<b>BSBCM416A</b>	<b>Identify risk and apply risk management processes</b>
<b>SFIEMS401A</b>	<b>Conduct an internal audit of an environmental management system</b>
<b>RTD4804A</b>	<b>Develop community networks</b>
<b>SFIEMS501A</b>	<b>Develop workplace policy for sustainability</b>
<b>BSBMGT609A</b>	<b>Manage risk</b>
<b>BSBMGT610A</b>	<b>Manage environmental management systems</b>

# Appendix One: Information for facilitators and program participants

## Information for facilitators on the Seafood Industry Training Package and Recognition process

### Background on the Seafood Industry Training Package

The first Training Package was developed and endorsed by the seafood industry in 2000. It contained competency standards that together formed a framework of the skills used in aquaculture, fishing, seafood post-harvest and compliance. A review of the package was undertaken in 2004 with significant input received from the seafood industry.

The competency standards were developed by respected industry experts and covered not just the technical skills but also soft skills such as communication, leadership and systems management – OHS, quality assurance, food safety and environmental management. Competency standards are written to reflect the level of responsibility that goes with the skill. This is its AQF level (AQF – is the Australian Qualification Framework). A brief descriptor of each AQF level can be found on page 4.

### How can competency standards help seafood businesses?

Each competency standard is written to a specific work skill, for example SFIAQUA405B: Develop emergency procedures for an aquaculture enterprise. The competency (also called a unit of competency) describes how to determine if a person is carrying out that skill to an acceptable industry standard. It lists the performance criteria, requirements for related knowledge and any other related skills. The competency standards are also flexible to allow for variations between enterprises, processes and species. It is the responsibility of a workplace assessor to customise assessment tools to link the competency requirements to the specific species or processes relevant to the enterprise where the assessment is taking place.

Businesses can use the competency standards to design a matrix of all the skills required to run their operation. Workplace procedures can be linked to relevant competencies. Training can be designed around the competencies, and work performance assessed. Supervisors and managers find it much easier to meet their roles and responsibilities where a competency framework is in place. This is because everyone understands his or her job, and the jobs that others do.

Businesses may be eligible for training subsidies, such as FarmBis and Traineeships if they can show they are using nationally endorsed competency standards.

### Seafood EMS program and competency standards

The Seafood EMS program provides a range of facilitated action learning experiences to assist participants to address often urgent and serious issues relating to the sustainability of their industry and business. Competency standards relevant to environmental management are mapped to AQF levels – refer to the table on page 4. Participants in the Seafood EMS program are likely to be at AQF levels 4, 5 or 6, the final choice determined by the level of

responsibility, the complexity of their workplace and sustainability issues and the scope of the EMS. Lower AQF levels will be more applicable to employees.

As the Facilitator you should be familiar with the identified competencies and how they link across or within an AQF level. The competencies may be helpful in describing the behaviours and activities expected of participants in successfully implementing an EMS. Become familiar with the Seafood Industry Training Package and its qualifications as it provides the framework for supporting and implementing an EMS and the operations of the business. You can also assist participants in identifying suitable evidence. The assessor for the program can explain what is required.

## **Information for program participants on the Recognition process**

You have committed your business or enterprise to developing an environmental management system (EMS) and adopting principles of sustainability. You may be working as a group, or independently to assess risks and determine the focus of the EMS.

In doing so, you are gaining new skills and knowledge. Your employees will have their part to play in implementing the system and adjusting and improving it as circumstances change. They will increase their skills and knowledge as they follow new procedures and embrace the concept of sustainability.

### **Why have your skills recognised?**

Skills recognition<sup>3</sup> is a formal process by which you provide evidence of your skills and knowledge and a qualified assessor evaluates it against relevant national competency standards. There are a number of benefits from going through this process.

It confirms your skills and knowledge to you and to your work team. This gives you confidence that you know what you are doing and that your contributions in the workplace, in your EMS group and in industry forums are valuable. Talk to someone who has been through the process, and ask how he or she has felt about it.

Formal recognition of skills and knowledge can be used as supporting evidence in compliance or other third-party audits. For example, OHS, food safety and environmental management carry compliance obligations. If you have a Statement of Attainment (or a Qualification) showing that you have been assessed as competent in these areas then this can be used as evidence in the event of an investigation. If your enterprise is ISO endorsed, having your skills and those of other employees recognised makes accreditation (or reaccreditation) much easier to achieve.

In completing the recognition process you will be providing an example to others. It may encourage employees to improve their own skills leading to a more multi-skilled, creative and innovative workforce.

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<sup>3</sup> The recognition process is also known as RPL (Recognition of Prior Learning) or RCC (Recognition of Current Competency).

## How do you go about claiming recognition?

Recognition must be carried out by a workplace assessor through a Registered Training Organisation (RTO) that has the relevant authority to issue parchments. Your facilitator will be able to advise you on the units of competency that are relevant to environmental management, and to direct you to a RTO that can provide recognition services.

You can also look up RTOs on the National Training Information System database at [www.ntis.gov.au](http://www.ntis.gov.au). (Go to *Registered Training Organisations*, and Search by *Training Delivery*. Choose *Training Package* and scroll down to *SF104 Seafood Industry*. The menu on the left includes *Training Providers* (the RTO).

The appointed assessor will advise you on the types of evidence that you can provide that demonstrate your skills and knowledge. Some of the worksheets you complete as you develop the EMS may be useful. Certainly documents from your workplace showing policies and procedures will be required. Once the assessor has evaluated your evidence against appropriate units of competency, you are advised either that you have achieved competency, or given feedback on additional evidence may be required. You may be directed to further training. You will receive a Statement of Attainment parchment for units in which your competence has been formally recognised.





## Appendix Two: Assessment plans and assessment instruments

### Instructions for assessors

Each unit of competency has an assessment plan and an instrument. Assessment plan provides supporting information on the assessment strategy and process, contextualisation of the competency and evidence requirements. The assessment instrument is a recording of the evidence provided and how it has been mapped back to specific elements and criteria.

### How should an assessor make best use of the assessment resources?

The assessment plan guides the assessor in understanding the context of the assessment for example, identifying the relevant range of variables and any Worksheets from the Seafood EMS program that may be relevant. If the workplace context changes, revise the assessment plan. An assessment plan is an important means for ensuring reliable assessments, especially where there are a multiple assessors.

The assessment instrument was designed as both a Recognition tool and as an assessment checklist and record of evidence. Each instrument was then completed with sample evidence to demonstrate how the document should be completed, and to give you an understanding of the scope and depth of evidence required to assess competence. The assessment plans and assessment instruments will be included as word templates with the Seafood EMS program.

### How do the assessment instruments work?

Participants can be directed to record their evidence in the blue shaded areas. Alternatively you can choose to do this. Participants presenting themselves for assessment are referred to as “candidates” in the assessment instruments provided. Completing an assessment instrument involves:

- answering the three questions at the beginning of the assessment instrument
- describing and numbering the evidence. Provide participants with examples of relevant evidence. The description should give a brief overview of nature of the evidence
- marking the evidence number under the elements to which it relates.

As the assessor you must then evaluate the evidence and determine which items relate to which performance criteria, related knowledge, underpinning skills and key competencies. The instrument has been set up to minimise the amount of writing you have to do, whilst still clearly demonstrating the evidence used to recognise competence.

### Are there other decisions for assessors to make?

Assessors must still make the assessment decision. You will recall the criteria about judging evidence. Is it valid, i.e. does it address both skills and related knowledge? Is the assessment system able to provide reliable assessment decisions? Is it the participant's own work, i.e. authentic? Is there sufficient evidence that shows consistent performance over a realistic period of time? Could the participant transfer his or her skills to another enterprise?

Keep in mind the qualification level of the participant's work role, the key competency levels and the dimensions of competency.

As it is a requirement under the AQTF, you must work under the direction of a registered training organisation. You are expected to follow their procedures especially in relation to OHS and equal opportunity. There will be policies for example privacy and confidentiality, assessment, grievances and appeals to which you must adhere.

Being attentive to your RTO's policies and procedures, helps provide the quality assurance to the national training system. And this adds to the credibility of the recognition that you are awarding.

## BSBCM215A Participate in environmental work practices

### Assessment plan

<b>Unit title</b>	<b>BSBCM215A Participate in environmental work practices</b>
<b>Purpose of assessment::</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- internal audit</p> <p>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- workplace records and reports</p> <p>--- interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended)</p>
<b>Range of variables:</b>	<p>List applicable:</p> <ul style="list-style-type: none"> <li>• legislation, codes of practice, award or enterprise agreements</li> </ul> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• workplace procedures and work procedures</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	<p>This unit requires evidence of ability to follow work procedures according to instructions given, recognise hazards, and report to designated personnel as instructed and to participate in the improvement of environmental work practices at own level of responsibility.</p> <p>(Evidence must be strictly relevant to the workplace role, and is not intended to include detailed technical aspects of environmental science.)</p>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	<p>Information about the organisation's environmental management system or plan including workplace procedures.</p>

<b>Unit title</b>	<b>BSBCMN215A Participate in environmental work practices</b>
<b>Links to other units:</b>	BSBCMN313A Maintain environmental procedures The unit could be co-assessed with SFICORE106A Meet workplace OHS requirements and SFIEMS201A Participate in environmentally sustainable work practices.
<b>Special workplace condition:</b>	The workplace has an environmental management system or plan in place.
<b>Relationship to the Seafood EMS program:</b>	The following Seafood EMS Worksheets provide evidence that there is an environmental management system or plan in place and the role of staff at AQF 2 in its implementation. Further evidence would be required to demonstrate that a worker was fulfilling that responsibility.  Worksheet 15 Action plan Worksheet 16 Work programs Worksheet 17 Task sheet In addition, there will be documented workplace procedures or instructions.

## BSBCMN215A Participate in environmental work practices

### Assessment instrument and Recognition checklist

*Candidates for Recognition or assessment to complete blue shaded areas.*

**Describe any training you have received, on and off-job that has helped you develop the knowledge and skill for this competency?**

For example, off-job training as may be undertaken with an external training provider; on-job training as instruction received from a workplace trainer or supervisor. Include details such as when, where and with whom, and the expected outcomes.

**Describe how you have applied your skills and understanding of this competency within your organisation.**

**Briefly describe the environmental management system or plan that your organisation has in place.**

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The evidence listed is an example only, intended as a guide for the assessor and candidate.)
1	Worksheets 15, 16, 17 with information relevant to this competency highlighted
2	Work procedures and/or instructions related to environmental management
3	Job description with environmental responsibilities highlighted
4	Minutes of meetings showing contribution to environmental management hazard identification, risk control and reporting
5	Work records or work log indicating procedures are being followed to the expected workplace standard
6	third-party verification of job role, work procedures and contributions to environmental management
7	third-party testimonial from workplace supervisor on commitment to environmental management through adherence to work procedures
8	Interview and questions by the assessor relating to underpinning knowledge and skills – refer to these sections on the following pages of the assessment instrument

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Follow workplace procedures for environmental work practices	1.1 Workplace procedures and work instructions for work practices with potential environmental impacts are recognised and followed accurately	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>	1.2 Environmental hazards in the workplace are recognised and reported to designated personnel according to workplace procedures	1 2 3 <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
	1.3 Changes to work practices and procedures are responded to positively and promptly in accordance with organisational requirements	1 2 3 4 <u>5</u> <u>6</u> <u>7</u> <u>8</u>
2. Participate in the improvement of environmental work practices	2.1 Environmental issues are raised with designated personnel in line with workplace policies and practices	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>	2.2 Suggestions are made for improvements to workplace practices where applicable	1 2 3 <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
3. Maintain environmental records	3.1 Environmental records are maintained as required according to organisational policies and procedures	1 2 3 4 <u>5</u> <u>6</u> <u>7</u> <u>8</u>
<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>		
<b>Required knowledge and understanding</b>		
Required knowledge is to be limited to that which is sufficient to perform the particular workplace competency and is intended to promote environmental awareness rather than technical environment competencies.		
Relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti discrimination.		<u>1</u> <u>2</u> 3 4 5 6 7 8
Knowledge of environmental hazards/risks associated with own workplace		1 2 3 4 5 6 7 <u>8</u>
Relevant environmental systems and procedures for own work area		<u>1</u> <u>2</u> 3 4 5 6 7 <u>8</u>
Reporting procedures		<u>1</u> <u>2</u> 3 4 <u>5</u> <u>6</u> 7 8

<b>Required skills and attributes</b>			
Ability to recognise procedures, follow instructions and respond to change		1 2 3 4 5 6 <u>7</u> 8	
Communications skills to enable questions and clarifications relating to work requirements		1 2 3 4 5 6 <u>7</u> 8	
Literacy skills to interpret workplace information		1 2 3 4 <u>5</u> 6 7 8	
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities		1 2 3 4 5 6 <u>7</u> 8	
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>
Collecting, analysing and organising information	1	To recognise hazards and opportunities	1 <u>2</u> 3 <u>4</u> 5 6 7 8
Communicating ideas and information	1	To raise environmental issues and report as required	1 2 3 <u>4</u> <u>5</u> <u>6</u> 7 8
Planning and organising activities	1	To participate in workplace procedures	1 2 3 <u>4</u> <u>5</u> <u>6</u> 7 8
Working with teams and others	1	To contribute to responsible workplace practices	1 2 3 <u>4</u> <u>5</u> 6 7 <u>8</u>
Using mathematical ideas and techniques	1	To interpret workplace information	1 2 3 <u>4</u> <u>5</u> 6 7 <u>8</u>
Solving problems	1	To recognise and report risks/hazards	1 2 3 <u>4</u> <u>5</u> <u>6</u> 7 8
Using technology	1	To access workplace information	1 2 3 <u>4</u> <u>5</u> 6 7 8

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
BSBCMN215A Participate in environmental work practices	<ul style="list-style-type: none"> <li>• Follow workplace procedures for environmental work practices</li> <li>• Participate in the improvement of environmental work practices</li> <li>• Maintain environmental records</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process?                      YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_



## SFIEMS201A Participate in environmentally sustainable work practices

### Assessment plan

<b>Unit title</b>	<b>SFIEMS201A Participate in environmentally sustainable work practices</b>
<b>Purpose of assessment::</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- internal audit</p> <p>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- workplace records and reports</p> <p>--- interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended)</p>
<b>Range of variables:</b>	<p>List applicable:</p> <ul style="list-style-type: none"> <li>• legislation, codes of practice directly relevant to workplace role</li> </ul> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• workplace policies and work procedures relevant to sustainability and directly relevant to workplace role</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	<p>Evidence must be provided of the ability to follow workplace procedures according to instructions given, to recognise hazards, and report to designated personnel as instructed and to participate in the improvement of environmental work practices at own level of responsibility.</p> <p>Evidence must be strictly relevant to the particular workplace role and is not intended to include detailed technical aspects of environmental science.</p>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	<p>Information about the organisation's environmental management system or plan including workplace procedures.</p>

<b>Unit title</b>	<b>SFIEMS201A Participate in environmentally sustainable work practices</b>
<b>Links to other units:</b>	<p>This unit is one of a series of three units that relate to environmental sustainability. The other two are SFIEMS301A Implement and monitor environmentally sustainable work practices and SFIEMS501A Develop workplace policy for sustainability.</p> <p>SFIEMS201A Participate in environmentally sustainable work practices could be co-assessed with SFICORE105A Work effectively in the seafood industry.</p>
<b>Special workplace condition:</b>	The workplace has an environmental management system or plan, or a policy on sustainability.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets provide evidence that there is an environmental management system or plan in place and the role of staff at AQF 2 in its implementation. Further evidence would be required to demonstrate that a staff member was fulfilling that responsibility.</p> <p>Worksheet 15 Action plan Worksheet 16 Work programs Worksheet 17 Task worksheets</p>

## SFIEMS201A Participate in environmentally sustainable work practices

### Assessment instrument and Recognition checklist

#### List any training or group work that has helped you develop the knowledge and skill for this competency?

For example, off-job training as may be undertaken with an external training provider; on-job training as instruction received from a workplace trainer or supervisor. Include details such as when, where and with whom, and the expected outcomes.

#### Describe how you have participated in environmentally sustainable work practices in your workplace.

#### In what ways has your workplace benefited from environmentally sustainable work practices

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The evidence listed is an example only, intended as a guide for the assessor and candidate.)
1	Current resource usage is understood and identified as shown by: a) minutes of meetings where environmental and resource efficiency issues and practices are identified and reviewed (personal contribution highlighted) b) graphs and data comparing emission reduction between former and current fuel types; invoices showing reduced waste disposal fees since recycling introduced, invoices showing lower demand for power and reduced costs with use of new aerator technology.
2	Assessor interview and questions on resources used by the candidate, and suggestions made by the candidate to improve workplace practices and resource efficiency.
3	Written account of environmental hazards in the workplace, and a potential breach with environmental regulations reported to supervisor. (This has been verified as accurate and authentic by the supervisor verbally with assessor.)
4	Documentation showing participation in work procedures relevant to work role: a) standard operating procedures (SOPs) with areas relevant to environmental regulations highlighted b) log book showing participation over last three months, signed by supervisor (log book has criteria checklist) c) worksheets 15, 16 and 17 (with relevant sections highlighted).
5	Enterprise plans to improve environmental practices and resource efficiency are listed, and notated with progress to date.
6	Assessor interview and questions to confirm candidate's underpinning knowledge, and ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities.

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Identify current resource use	1.1 Workplace environmental and resource efficiency issues are identified	<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8
	1.2 Resources used in own work role are identified	<u>1</u> <u>2</u> 3 4 5 6 7 8
	1.3 Current usage of resources is measured and documented using appropriate techniques	<u>1</u> <u>2</u> 3 4 5 6 7 8
<u>1</u> <u>2</u> <u>3</u> 4 5 <u>6</u> 7 8	1.4 Workplace environmental hazards are identified and reported to appropriate personnel	1 2 <u>3</u> 4 5 <u>6</u> 7 8
2. Comply with environmental regulations	2.1 Procedures are followed to ensure compliance with relevant environmental regulations	1 2 <u>3</u> <u>4</u> 5 <u>6</u> 7 8
1 2 <u>3</u> <u>4</u> 5 <u>6</u> 7 8	2.2 Breaches or potential breaches of relevant environmental regulations are reported to appropriate personnel	1 2 <u>3</u> <u>4</u> 5 <u>6</u> 7 8
3. Seek opportunities to improve resource efficiency	3.1 Enterprise plans to improve environmental practices and resource efficiency are followed	<u>1</u> 2 3 4 <u>5</u> <u>6</u> 7 8
<u>1</u> 2 3 4 <u>5</u> <u>6</u> 7 8	3.2 Suggestions are made for improvements to workplace practices and resource efficiency	<u>1</u> 2 3 4 <u>5</u> <u>6</u> 7 8
<b>Required knowledge and understanding</b>		
Basic environmental sustainability principles		<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> <u>6</u> 7 8
Environmental and resource hazards and risks associated with the seafood sector in which the individual works		1 2 <u>3</u> 4 5 <u>6</u> 7 8
Procedures and processes relevant to the individual's work area that support environmental and resource efficiencies		1 2 3 <u>4</u> 5 <u>6</u> 7 8
Environmental laws, regulations and standards and why they are relevant to the work context and seafood industry		1 2 <u>3</u> <u>4</u> 5 <u>6</u> 7 8
Procedures for reporting environmental and resource hazards and risks, and environmental and resource efficiencies and inefficiencies		1 2 3 <u>4</u> 5 <u>6</u> 7 8
<b>Required skills and attributes</b>		
Recognise procedures and follow instructions		1 2 3 <u>4</u> 5 <u>6</u> 7 8

Support changes to work practices that support environmental and resource efficiencies		<u>1</u> <u>2</u> 3 4 5 <u>6</u> 7 8	
Question and seek clarification of work requirements		1 2 3 <u>4</u> 5 6 7 8	
Relate to people from a range of social, cultural and ethnic backgrounds and with a range of physical and mental abilities		1 2 3 <u>4</u> 5 <u>6</u> 7 8	
Key Competencies	Level	Examples	Evidence
Communicating ideas and information	1	Making suggestions for improved processes and reporting where appropriate	<u>1</u> <u>2</u> 3 4 5 <u>6</u> 7 8
Collecting, analysing and organising information	1	Developing and using tools, such as inspection checklists.	1 2 3 <u>4</u> 5 <u>6</u> 7 8
Planning and organising activities	1	Participating in procedures that contribute to workplace environmental and resource efficiency	1 2 3 <u>4</u> 5 <u>6</u> 7 8
Working with teams and others	1	Working together to identify improved practices	1 2 3 4 <u>5</u> <u>6</u> 7 8
Using mathematical ideas and techniques	1	Calculating and collating relevant information on company resource consumption	<u>1</u> 2 3 <u>4</u> 5 6 7 8
Solving problems	1	Discussing possible problems and reporting any risks and hazards	1 <u>2</u> <u>3</u> 4 5 6 7 8
Using technology	1	Using software systems for recording and filing measurement data relating to current usage	1 2 3 <u>4</u> 5 6 7 8
Innovative skills	1	Identifying improvements in work practices Applying learning about resource use to future activities	<u>1</u> <u>2</u> 3 4 5 6 7 8

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
SFIEMS201A Participate in environmentally sustainable work practices	<ul style="list-style-type: none"> <li>• Identify current resource use</li> <li>• Comply with environmental regulations</li> <li>• Seek opportunities to improve resource efficiency</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process?                      YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## BSBCM313A Maintain environmental procedures

### Assessment plan

<b>Unit title</b>	<b>BSBCM313A Maintain environmental procedures</b>
<b>Purpose of assessment::</b>	--- Recognition of Prior Learning, or Recognition of Current Competency --- third-party audit, for example ISO14001 --- internal audit --- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification) Please tick
<b>Methods of assessment to be used:</b>	--- portfolio of workplace documentation, (for example environmental management system or plan, workplace procedures or instructions, job roles, worksheets from participation in EMS working group minutes of meetings, correspondence, presentations, media releases) --- workplace records and reports --- Interview --- observation --- short questions (oral or written) --- third-party verification --- third-party testimonial Please tick (A range of methods is recommended)
<b>Range of variables:</b>	List: <ul style="list-style-type: none"> <li>• applicable legislation, codes of practice, award or enterprise agreements _____</li> <li>• applicable workplace procedures and work procedures _____</li> <li>• approaches to improving environmental performance _____</li> <li>• environmental management policies _____</li> <li>• environmental records required by the organisation _____</li> </ul>
<b>Overview of evidence required to demonstrate competence:</b>	Evidence must be provided of the ability to maintain integrated environmental management policies and procedures within the organisation. Training needs must be addressed and records must be kept.

<b>Unit title</b>	<b>BSBCM313A Maintain environmental procedures</b>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	Information about the organisation's environmental management system or plan including workplace procedures.
<b>Links to other units:</b>	<p>This unit is related to BSBCM413A Implement and monitor environmental policies.</p> <p>BSBCM313A Maintain environmental procedures could be co-assessed with SFIEMS301A Implement and monitor environmentally sustainable work practices and SFIOHS301B Implement OHS policies and guidelines.</p>
<b>Special workplace condition:</b>	The workplace has integrated environmental management system or plan.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets provide evidence that there is an environmental management system or plan in place and the role of staff at AQF 3 in its implementation. Further evidence would be required to demonstrate that a staff member was fulfilling that responsibility.</p> <p>Worksheet 7 Legal register  Worksheet 15 Action plan  Worksheet 16 Work programs  Worksheet 17 Task worksheets  Worksheet 18 Training plan  Worksheet 19 Document control  Worksheet 20 Emergency response  Worksheet 21 Audit policy and procedures  Worksheet 22 Management review</p>



## BSBCMN313A Maintain environmental procedures

### Assessment instrument and Recognition checklist

**Describe any training you have received, on and off-job, which has helped you develop the knowledge and skill for this competency?**

For example, off-job training as may be undertaken with an external training provider; on-job training as instruction received from a workplace trainer or supervisor. Include details such as when, where and with whom, and the expected outcomes.

**Describe how you have applied your skills and understanding of this competency within your organisation.**

**Briefly describe the environmental management system or plan that your organisation has in place.**

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The evidence listed is an example only, intended as a guide for the assessor and candidate.)
1	Worksheets 7, and 15-22 with information relevant to this competency highlighted.
2	Work procedures and/or instructions relating to environmental management including requirements for internal and external reporting.
3	Job description with environmental responsibilities highlighted.
4	Minutes and reports showing identification of environmental risks and actions taken, including changes to work practices.
5	Examples of environmental records being maintained, stored safely and accessible for reporting on environmental performance.
6	Reports showing training needs and training schedule. Worksheet 18 Training Plans
7	Continuous improvement – journal of own performance in environmental management, and examples of process used for improvements.
8	Work records or work log indicating contingency plans in use, and training taking place.
9	Third-party verification of job role, and achievements in managing environmental performance.
10	Third-party testimonial from workplace supervisor on commitment to environmental management and effectiveness of team leadership.
11	Interview and questions by the Assessor relating to underpinning knowledge and skills – refer to the pages following.

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Maintain workplace procedures	1.1 Workplace procedures and work instructions for environmental work practices for own work area or team are conveyed to work team where applicable and are followed accurately	<u>1</u> <u>2</u> 3 <u>4</u> 5 6 7 8 9 10 <u>11</u> 12
	1.2 Existing and potential environmental risks are identified, dealt with where possible, and reported to designated personnel, and dealt with	1 2 3 <u>4</u> 5 6 7 <u>8</u> <u>9</u> 10 11 12
	1.3 Required changes to workplace practices/procedures are responded to promptly and positively	1 2 3 <u>4</u> 5 6 7 8 9 10 <u>11</u> 12
<u>1</u> <u>2</u> 3 <u>4</u> 5 6 7 <u>8</u> <u>9</u> <u>10</u> 11 12	1.4 Contingency plan is implemented immediately when unplanned incidents occur	1 2 3 <u>4</u> 5 6 7 <u>8</u> <u>9</u> 10 11 12
2. Support continuous improvement work practices	2.1 Environmental performance for own work area is monitored and recorded	1 2 3 4 <u>5</u> <u>6</u> 7 <u>8</u> <u>9</u> 10 11 12
	2.2 Information is gathered and improvements are suggested to support the development of improved work practices	1 2 3 <u>4</u> 5 6 <u>7</u> 8 9 10 <u>11</u> 12
<u>1</u> 2 3 <u>4</u> <u>5</u> <u>6</u> 7 <u>8</u> <u>9</u> 10 <u>11</u> 12	2.3 Environmental training needs of the work team where applicable, and self are identified and further training is sought as required	1 2 3 4 5 <u>6</u> <u>7</u> <u>8</u> <u>9</u> 10 <u>11</u> 12
3. Maintain recording procedures	3.1 Environmental records are accurately and legibly maintained and stored securely in a form accessible for reporting purposes	1 2 3 4 <u>5</u> 6 7 <u>8</u> <u>9</u> 10 <u>11</u> 12
<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 <u>8</u> <u>9</u> <u>10</u> <u>11</u> 12	3.2 Internal and external reporting procedures are identified and maintained as required	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8 <u>9</u> 10 11 12
<b>Required knowledge and understanding</b>		
Required knowledge is to be limited to that which is sufficient to perform the particular workplace competency and is intended to promote environmental awareness rather than technical environment competencies		

Relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti discrimination	<u>1 2</u> 3 4 5 6 7 8 9 10 <u>11</u> 12											
Recognition of relevant environmental policies and procedures	<u>1 2</u> 3 4 5 6 7 8 9 10 <u>11</u> 12											
Knowledge of best practice approaches relevant to work area particularly in regard to environment hazards and risks and opportunities to improve environmental performance	1 2 3 4 5 6 7 8 9 10 <u>11</u> 12											
Relevant knowledge of environmental issues, especially in regard to water catchments, air, noise, ecosystems, habitat, efficient use of resources and waste minimisation where applicable	1 2 3 4 5 6 7 8 9 10 <u>11</u> 12											
Relevant knowledge of ecological systems in regard to business operation	1 2 3 4 5 6 7 8 9 10 <u>11</u> 12											
<b>Required skills and attributes</b>												
Communication skills to ensure information is supplied to the workgroup	1 2 3 4 5 6 7 8 9 10 <u>11</u> 12											
Literacy skills for comprehending documentation and interpreting environment requirements	1 2 3 <u>4 5 6</u> 7 8 9 10 11 12											
Operational skills including the ability to operate and shut down equipment where required	1 2 3 <u>4 5 6 7 8 9</u> 10 11 12											
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities	1 2 3 4 5 6 7 8 9 10 <u>11</u> 12											
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>									
Collecting, analysing and organising information	2	To maintain workplace procedures	1 2 3 <u>4 5 6</u> 7 8 9 10 11 12									
Communicating ideas and information	2	To resolve environmental issues and to report as required	1 2 3 <u>4 5 6 7 8</u> 9 10 11 12									
Planning and organising activities	2	To maintain procedures and support change and improvement	1 2 3 <u>4 5 6 7 8 9</u> 10 11 12									
Working with teams and others	2	To gain support in maintaining and improving procedures	1 2 3 <u>4 5 6 7 8 9</u> 10 <u>11</u> 12									
Using mathematical ideas and techniques	2	To aid planning	1 2 3 <u>4 5 6 7 8 9</u> 10 <u>11</u> 12									

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Solving problems	2	To maintain procedures	1 2 3 <u>4 5 6 7 8</u> 9 10 <u>11</u> 12
Using technology	2	To assist work tasks	1 2 3 <u>4 5 6 7 8</u> 9 10 11 12

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
BSBCM313A Maintain environmental procedures	<ul style="list-style-type: none"> <li>• Maintain workplace procedures</li> <li>• Support continuous improvement</li> <li>• Maintain recording procedures</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

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\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## SFIEMS301A Implement and monitor environmentally sustainable work practices

### Assessment plan

<b>Unit title</b>	<b>SFIEMS301A Implement and monitor environmentally sustainable work practices</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- internal audit</p> <p>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example environmental management system or plan, workplace procedures or instructions, job roles, worksheets from participation in EMS working group minutes of meetings, correspondence, presentations, media releases)</p> <p>--- workplace records and reports</p> <p>--- Interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• applicable environmental regulations _____</li> <li>• relevant compliance requirements _____</li> <li>• relevant stakeholders, key personnel and specialists _____</li> <li>• specific environmental and resource efficiency improvement plans in place _____</li> </ul>
<b>Overview of evidence required to demonstrate competence:</b>	A person who demonstrates competence in this unit must be able to provide evidence of the ability to implement and monitor management policies and procedures within an organisation relating to integrated environmental and resource efficiency.

<b>Unit title</b>	<b>SFIEMS301A Implement and monitor environmentally sustainable work practices</b>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	Information about the organisation's environmental management system or plan appropriate to the range of variables above.
<b>Links to other units:</b>	<p>This unit is one of a series of three units that relate to environmental sustainability. The other two are SFIEMS201A Participate in environmentally sustainable work practices and SFIEMS501A Develop workplace policy for sustainability.</p> <p>SFIEMS301A Implement and monitor environmentally sustainable work practices could be co-assessed with BSBCMN313A Maintain environmental procedures.</p>
<b>Special workplace condition:</b>	The workplace has integrated environmental management policies and procedures.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets provide evidence that there is an environmental management system or plan in place and the role of staff at AQF 4 in its implementation. Further evidence would be required to demonstrate that a staff member was fulfilling that responsibility.</p> <p>Worksheet 7 Legal register Worksheet 15 Action plan Worksheet 16 Work programs Worksheet 17 Task sheet</p>

## SFIEMS301A Implement and monitor environmentally sustainable work practices

### Assessment instrument and Recognition checklist

**Describe any training or group work, which has helped you develop the knowledge and skill for this competency?**

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited, the training provider

**Describe how you have used your skills and understanding of this competency within your business (or workplace)**

**How has the business/workplace benefited from your application of this competency**

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<b>Evidence of competence</b> (This assessment tool has been completed using the evidence provided by a skipper from a co-operative group that established an environmental management system (EMS) for vessel operators who trawl local estuaries. Some evidence relates to the operations of the fleet, other evidence relates to the skipper's own vessel and operation.)
1	Worksheets 7, 15, 16 and 17 with information relevant to this competency highlighted
2	Report (print and PowerPoint) on investigation into current practices and resource usage. It includes: <ul style="list-style-type: none"> <li>a) environmental regulations applicable to the estuary and the fishing industry in general</li> <li>b) evaluation of procedures used by fishing fleet owner/skippers checking that their operations meet environmental regulations</li> <li>c) researched information given to fleet owners/skippers on environmental efficiency and catch statistics where various trawling technologies and trawling speeds have been utilised, and other influencing factors such as tidal movement may have impacts</li> <li>d) benchmarking data and findings from fleet operations on catch size and quantity, and trawling effort</li> <li>e) analysis of fleet purchasing strategies for diesel and lubricants including volume, storage, recycling etc</li> <li>f) comparison of current trawling techniques with alternatives using supplier and benchmarking data.</li> </ul>
3	Assessor interview and questions relating to sources of information on environment and resource efficiency.
4	Documentation showing the skipper's environmental sustainability policy, procedures and targets for his fishing vessel and operation: <ul style="list-style-type: none"> <li>a) notes, invoices, data and research showing consideration of fuel consumption, power usage, emissions, use of bio-degradable material in consumables and packaging</li> <li>b) business plan showing actions being taken to improve environmental and resource efficiency for example fuel additives, solar panels, shading, new packaging material, waste disposal bins set up for recycling</li> <li>c) emails to and from suppliers concerning environmental efficiency of their products and materials</li> <li>d) emails to and from clients to ascertain customer demand and interest in "clean and green" seafood</li> <li>e) graphs showing increased value of seafood product since policies and procedures have been in place.</li> </ul>



<b>5</b>	Documentation showing success of strategies, and that they are monitored: a) newspaper clippings from media coverage of cooperative fishing fleet EMS and it's positive impact on the estuary b) graphs and data of seafood catch and value c) notes and meetings of EMS group showing ongoing commitment and recent strategies – revegetation, collaboration with water catchment boards on waste water control d) handouts from conference on packaging materials and environmental sustainability and notations on how the local cooperative is going to benefit from proposed changes to its processing line and storage facilities e) local award received for approach to sustainable development.
<b>6</b>	Assessor interview and questions to determine candidate: a) understanding and knowledge of environmental sustainability and energy efficiency issues b) ability to communicate to the work group, and people from a range of social, cultural and ethnic backgrounds and with a range of physical and mental abilities.

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Investigate current practices in relation to resource usage	1.1 Environmental regulations applying to the enterprise are identified	<u>1</u> <u>2</u> 3 4 5 6 7 8
	1.2 Procedures for assessing compliance with environmental regulations are evaluated for their effectiveness	1 <u>2</u> 3 4 5 6 7 8
	1.3 Information on environmental and resource efficiency systems and procedures is collected, and where appropriate, provided to the work group	1 <u>2</u> <u>3</u> 4 5 6 7 8
	1.4 Current resource usage is measured and documented by members of the work group	<u>1</u> <u>2</u> 3 4 5 6 7 8
	1.5 Current purchasing strategies are analysed and documented	1 <u>2</u> 3 4 5 6 7 8
<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8	1.6 Current work processes are analysed to identify areas for improvement	<u>1</u> <u>2</u> 3 4 5 <u>6</u> 7 8
2. Set targets for improvements	2.1 Input is sought from stakeholders, key personnel and specialists	<u>1</u> 2 3 <u>4</u> 5 <u>6</u> 7 8
	2.2 External sources of information and data are accessed as required.	1 2 <u>3</u> 4 5 <u>6</u> 7 8
	2.3 Alternative solutions to workplace environmental issues are evaluated	<u>1</u> 2 3 <u>4</u> 5 6 7 8
<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 <u>6</u> 7 8	2.4 Efficiency targets are set	1 2 3 <u>4</u> 5 <u>6</u> 7 8
3. Implement performance improvement strategies	3.1 Techniques and tools are sourced to assist in achieving efficiency targets	1 2 3 <u>4</u> 5 <u>6</u> 7 8
	3.2 Continuous improvement strategies are applied to own work area and ideas and possible solutions are communicated to the work group and management	1 2 3 <u>4</u> 5 <u>6</u> 7 8
	3.3 Environmental and resource efficiency improvement plans for own work group are integrated with other operational activities and are implemented	1 <u>2</u> 3 <u>4</u> 5 <u>6</u> 7 8

	3.4	Suggestions and ideas to improve the management of environmental and resource efficiency are sought from stakeholders and acted upon where appropriate	<u>1</u> <u>2</u> 3 <u>4</u> 5 6 7 8
<u>1</u> <u>2</u> 3 <u>4</u> 5 <u>6</u> 7 8	3.5	Costing strategies are implemented to fully value environmental assets	1 2 3 <u>4</u> 5 <u>6</u> 7 8
4. Monitor performance	4.1	Outcomes are documented and reports on targets are communicated to key personnel and stakeholders	1 2 3 <u>4</u> <u>5</u> 6 7 8
	4.2	Strategies are evaluated	1 2 3 <u>4</u> 5 6 7 8
	4.3	New targets are set and new tools and strategies are investigated and applied	1 2 3 <u>4</u> 5 6 7 8
1 2 3 <u>4</u> <u>5</u> 6 7 8	4.4	Successful strategies are promoted and, where possible, participants are rewarded	1 2 3 <u>4</u> <u>5</u> 6 7 8
<b>Required knowledge and understanding</b>			
Standards, guidelines and approaches to environmental sustainability relevant to the seafood sector, such as:		<ul style="list-style-type: none"> <li>federal, state, territory and local government laws and regulations relating to environmental protection</li> <li>ecologically sustainable development frameworks</li> <li>ISO 14001 Environmental Management</li> <li>regulated and voluntary strategies developed to manage fishery sustainability, including aquacultural production</li> <li>triple bottom line reporting</li> <li>product stewardship</li> <li>ecological footprinting</li> <li>life cycle analyses</li> <li>global reporting initiative</li> </ul>	<u>1</u> <u>2</u> 3 <u>4</u> 5 <u>6</u> 7 8
Best practice approaches relevant to the seafood industry			1 <u>2</u> <u>3</u> 4 5 6 7 8
Quality assurance systems relevant to the seafood industry			1 2 3 <u>4</u> 5 <u>6</u> 7 8
Supply chain procedures			1 2 3 <u>4</u> 5 <u>6</u> 7 8
Strategies to maximise opportunities and minimise impacts relevant to the seafood industry			<u>1</u> <u>2</u> 3 4 5 6 7 8

Relevant knowledge of environmental and resource energy efficiency issues specific to the seafood industry such as: <ul style="list-style-type: none"> <li>• by-catch</li> <li>• management and disposal of waste</li> <li>• impact of urban and agricultural development on water quality</li> <li>• marine ecology</li> <li>• catch and disposal monitoring of species, size and quantity</li> <li>• fuel and oil consumption</li> <li>• strategic and emergency response to reduce environmental risks to livelihoods and natural resources, including the marine environment</li> </ul>		<u>1 2 3 4 5 6 7 8</u>	
<b>Required skills and attributes</b>			
Communicate information about environmental sustainability to the work group		<u>1 2 3 4 5 6 7 8</u>	
Consult with the work group on implementation and improvements in environmental and energy efficiency		<u>1 2 3 4 5 6 7 8</u>	
Operate and shut down equipment		1 <u>2 3 4</u> 5 6 7 8	
Manage organisational change associated with the implementation of environmentally sustainable work practices		<u>1 2 3 4</u> 5 6 7 8	
Implement management policies and procedures relating to environmental and energy efficiency relevant to own work area		<u>1 2 3 4</u> 5 6 7 8	
Relate to people from a range of social, cultural and ethnic backgrounds and with a range of physical and mental abilities		1 2 3 4 5 <u>6</u> 7 8	
Analyse problems, devise solutions and reflect on approaches taken.		1 <u>2 3 4 5 6</u> 7 8	
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>
Communicating ideas and information	2	Resolving environmental and resource efficiency issues with work group and reporting as required	1 <u>2 3 4 5 6</u> 7 8
Collecting, analysing and organising information	2	Recognising and acting upon hazards and opportunities Gathering information from a number of sources (including regulatory sources, relevant personnel and enterprise specifications) to provide information and advice	1 <u>2 3 4</u> 5 6 7 8
Planning and organising activities	2	Planning the work group's activities in relation to measuring current use and devising strategies to improve usage	1 <u>2 3 4 5 6 7 8</u>
Working with teams and others	2	Facilitating a team to identify improved practices	<u>1 2 3 4</u> 5 6 7 8

Using mathematical ideas and techniques	2	Analysing data on organisational resource consumption Analysing data on the volume of organisational waste product	1 <u>2</u> 3 <u>4</u> 5 6 7 8
Solving problems	2	Devising approaches to improved environmental sustainability	1 <u>2</u> 3 <u>4</u> <u>5</u> 6 7 8
Using technology	1	Using software systems for recording and filing measurement data relating to current usage Using word processing and other basic software for interpreting charts, flowcharts, graphs and other visual data and information	1 <u>2</u> 3 <u>4</u> 5 6 7 8
Innovative skills	1	Identifying improvements Applying learning about resource use to future activities	1 <u>2</u> 3 4 <u>5</u> 6 7 8

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
SFIEMS301A Implement and monitor environmentally sustainable work practices	<ul style="list-style-type: none"> <li>• Investigate current practices in relation to resource usage</li> <li>• Set targets for improvements</li> <li>• Implement performance improvement strategies</li> <li>• Monitor performance</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process?                      YES/NO

COMMENTS:

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\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE:

## SFIEMS302A Act to prevent interaction with protected species

### Assessment plan

<b>Unit title</b>	<b>SFIEMS302A Act to prevent interaction with protected species</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- internal audit</p> <p>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example environmental management system or plan, workplace procedures or instructions, job roles, worksheets from participation in EMS working group minutes of meetings, correspondence, presentations, media releases)</p> <p>--- workplace records and reports</p> <p>--- Interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• operation addressed in this assessment (aquaculture either land or sea, or commercial fishing)</li> </ul> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• the specific protected species under consideration in this assessment</li> </ul> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• information relevant to the protected species and this competency</li> </ul> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• strategies which will be relevant to the protected species</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	A person who demonstrates competence in this unit must be able to provide evidence of the ability to apply strategies that prevent or minimise the impact of interactions with threatened, endangered and protected species.

Unit title	<b>SFIEMS302A Act to prevent interaction with protected species</b>
<b>Communication with the candidate:</b>	Communication with the candidate addresses: <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	Resource implications for assessment include access to: <ul style="list-style-type: none"> <li>• relevant enterprise procedures and workplace personnel</li> <li>• operational environment or simulation that closely resembles an actual workplace.</li> <li>• relevant legislation, standards and guidelines.</li> </ul>
<b>Links to other units:</b>	SFIEMS302A Act to prevent interaction with protected species could be co-assessed with fishing or aquaculture units at AQF level 3 or 4.
<b>Special workplace condition:</b>	Protected species is any species that has some level of protection afforded through state, commonwealth or international law including fish and sharks, mammals, reptiles, marine birds, listed migratory birds and species listed by the commonwealth government through the EPBC Act. This includes threatened and endangered species.
<b>Relationship to the Seafood EMS program:</b>	The following Seafood EMS Worksheets may provide contributing evidence that threatened and endangered species are protected from harm or interference. Further evidence would be required to demonstrate that personnel were following procedures.  Worksheet 7 Legal register Worksheet 8 Risk assessment Worksheet 9 Ranking risks & Corrective action Worksheet 10 Risk report Worksheet 11 Record your policy Worksheet 15 Action plan Worksheet 16 Work programs Worksheet 17 Task sheet Worksheet 18 Training plan Worksheet 20 Emergency response Worksheet 21 Audit policy and procedures Worksheet 22 Management review



## SFIEMS302A Act to prevent interaction with protected species

### Assessment instrument and Recognition checklist

**Describe any training or group work, which has helped you develop the knowledge and skill for this competency?**

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited, the training provider.

**Describe how you have used your skills and understanding of this competency within your business (or workplace)**

**How has the business/workplace benefited from your application of this competency**

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The evidence listed is an example only, intended as a guide for the assessor and candidate.)
1	Worksheets 7-11 and 15-22 with information relevant to any protected species potentially impacted by the enterprise's operation
2	Fact sheets, and technical advice from the DPI on dugong, turtles and saltwater crocodiles notated to show strategies and interventions selected for use.
3	Assessor interview and questions to find out the rationale for selection of preferred strategies.
4	Worksheets 8-10 with relevant risk assessment and selected controls for protected species clearly highlighted.
5	Enterprise procedures including information on resources and equipment required to implement selected controls, PPE and training required.  This information is accompanied by supporting workplace documentation showing that procedures are being followed (work instructions, vessel log books, training records, mandatory reports on interactions).
6	Photographs showing how to identify relevant protected species are included with an oral presentation to the assessor on how interventions are carried out.
7	Workplace records showing interventions with protected species and interactions taken, and outcomes and reported to appropriate legislative authorities.
8	Notes, minutes and media reports showing participation in state fishing industry association (FIA). Participation involved being a member of the sustainability committee, including volunteering on the FIA stand at the field day to promote the industry best practice approach to preventing interaction with dugong and turtles.

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Determine strategies for preventing or minimising the impact of interactions	1.1 Information relevant to protected species which may be encountered during the operation is obtained	1 <u>2</u> 3 4 5 6 7 8
	1.2 Information about strategies that prevent or minimise the impact of interaction with protected species is obtained	1 <u>2</u> 3 4 5 6 7 8
	1.3 Information about interventions that may restore the wellbeing of an animal during or after interaction is obtained	1 <u>2</u> 3 4 5 6 7 8
1 <u>2</u> 3 4 5 6 7 8	1.4 Strategies for preventing or minimising the impact of interactions during the operation are selected in consultation with or by management	1 <u>2</u> 3 4 5 6 7 8
2. Implement strategies	2.1 Occupational health and safety (OHS) hazards are identified and risk control procedures are selected using the hierarchy of control model, legislative requirements, and enterprise and workplace procedures	1 2 <u>3</u> 4 5 6 7 8
	2.2 Resources and equipment required to implement strategies are identified and acquired following enterprise procedures	1 2 <u>3</u> 4 5 6 7 8
	2.3 Enterprise procedures for implementing strategies are developed and documented	1 2 3 4 <u>5</u> 6 7 8
	2.4 Appropriate personal protective clothing, personal flotation devices and appropriate equipment are provided, used and maintained in accordance with enterprise procedures and OHS requirements	1 2 3 4 <u>5</u> 6 7 8
	2.5 Personnel are trained in the implementation of strategies	1 2 3 4 <u>5</u> 6 7 8
1 2 <u>3</u> 4 5 6 7 8	2.6 Strategies are applied in accordance with agreed procedures	1 2 3 4 <u>5</u> 6 7 8

3.	Intervene to restore the wellbeing of an animal	3.1	The species is accurately identified	1 2 3 4 5 <u>6</u> 7 8
		3.2	Options for intervention are evaluated against criteria for a successful outcome	1 2 3 4 <u>5 6 7</u> 8
		3.3	The preferred option for intervention is selected based on agreed procedures and the outcomes of the evaluation	1 2 3 4 <u>5 6 7</u> 8
		3.4	The decision to intervene is taken or referred to management where there is an OHS risk to personnel	1 2 3 4 <u>5 6 7</u> 8
		3.5	The intervention is carried out in accordance with agreed procedures	1 2 3 4 <u>5 6 7</u> 8
1 2 3 4 <u>5</u> <u>6 7 8</u>		3.6	The wellbeing of the animal is monitored before, during and after the intervention	1 2 3 4 <u>5 6 7</u> 8
4.	Monitor and report on interactions	4.1	Interactions, potential interactions and interventions are monitored, recorded, reported to management and referred, as required, to legislative authorities	1 2 3 4 5 6 <u>7 8</u>
		4.2	Data required by authorities is collected, recorded and relayed as required	1 2 3 4 5 6 <u>7 8</u>
		4.3	Recommendations for improvement to strategies and interventions are communicated to management following enterprise procedures	1 2 3 4 5 6 <u>7 8</u>
		4.4	Opportunities to take a regional or whole of industry approach to preventing or minimising the impact of interactions are recognised and referred to relevant organisations for consideration	1 2 3 4 5 6 7 <u>8</u>
1 2 3 4 <u>5</u> <u>6 7 8</u>		4.5	Publicity associated with an interaction or intervention event is handled in accordance with enterprise procedures	1 2 3 4 <u>5</u> 6 7 <u>8</u>
<b>Required knowledge and understanding</b>				
Biological and behavioural characteristics of protected species likely to be found in the local area of operation			1 <u>2</u> 3 4 <u>5</u> 6 7 8	
Legislation under which a species is afforded protection			<u>1 2</u> 3 4 5 6 7 8	
Consequences of non-compliance with fisheries and environment legislation			<u>1 2 3</u> 4 5 6 7 8	

Regulations pertaining to the responsibility of aquaculture and commercial fishing operations to: <ul style="list-style-type: none"> <li>prevent or minimise the impact of interactions with endangered, threatened or protected species</li> <li>intervene to restore the wellbeing of an animal</li> </ul>	<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8			
Hazards and risks associated with interaction and interventions with protected species	1 <u>2</u> 3 4 <u>5</u> 6 7 8			
Hierarchy of risk control measures in ensuring a safe work environment	<u>1</u> 2 3 4 <u>5</u> 6 7 8			
Enterprise procedures relating to the implementation of strategies and interventions	1 2 3 4 <u>5</u> 6 7 8			
<b>Required skills and attributes</b>				
Identify species	1 <u>2</u> 3 4 <u>5</u> 6 7 8			
Research information on protected species, including strategies to prevent and minimise the impact of interaction, and interventions to restore the wellbeing of an animal	1 <u>2</u> <u>3</u> 4 5 6 7 8			
Identify hazards, assess risks and apply the hierarchy of risk control measures	<u>1</u> 2 <u>3</u> 4 5 6 7 8			
Evaluate information against criteria for a successful outcome	<u>1</u> 2 <u>3</u> 4 5 6 7 8			
Communicate both in writing and orally	1 2 <u>3</u> 4 5 6 7 <u>8</u>			
Carry out interventions	1 2 3 4 <u>5</u> <u>6</u> <u>7</u> 8			
Train personnel in relevant enterprise procedures	1 2 3 4 <u>5</u> 6 7 8			
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>	
Communicating ideas and information	2	Training personnel in procedures for preventing or minimising interactions with protected species Relaying information to appropriate authorities	1 2 3 4 <u>5</u> 6 <u>7</u> 8	
Collecting, analysing and organising information	2	Collecting data relating to protected species Obtaining information relating to interventions that will promote the wellbeing of an animal	1 <u>2</u> 3 4 5 6 <u>7</u> 8	
Planning and organising activities	2	Implementing strategies, including interventions, to prepare for interaction events	1 2 3 4 <u>5</u> <u>6</u> <u>7</u> 8	
Working with teams and others	2	Carrying out an intervention	1 2 3 4 <u>5</u> <u>6</u> <u>7</u> 8	

Using mathematical ideas and techniques	1	Monitoring the number of interactions and interventions Collecting and recording data on species and individual animals	1 2 3 4 <u>5</u> 6 <u>7</u> 8
Solving problems	2	Devising strategies that prevent or minimise the impact of interactions	1 <u>2</u> <u>3</u> 4 5 6 7 8
Using technology	1	Reducing risks associated with carrying out interventions	1 2 3 4 5 6 <u>7</u> 8
Innovative skills	2	Researching information Developing innovative strategies to prevent interaction with protected species	1 <u>2</u> 3 4 5 6 7 8

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
SFIEMS302A Act to prevent interaction with protected species	<ul style="list-style-type: none"> <li>• Determine strategies for preventing or minimising the impact of interactions</li> <li>• Implement strategies</li> <li>• Intervene to restore the wellbeing of an animal</li> <li>• Monitor and report on interactions</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process?                      YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## BSBCM413A Implement and monitor environmental policies

### Assessment plan

<b>Unit title</b>	<b>BSBCM413A Implement and monitor environmental policies</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- internal audit</p> <p>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example environmental management system or plan, workplace procedures or instructions, job roles, worksheets from participation in EMS working group minutes of meetings, correspondence, presentations, media releases)</p> <p>--- Workplace records and reports</p> <p>--- interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended)</p>
<b>Range of variables:</b>	<p>List applicable:</p> <ul style="list-style-type: none"> <li>• legislation, regulations, codes of practice, protocols and agreements</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	Evidence must be provided of the ability to implement and monitor integrated environmental management policies and procedures within an organisation. The work group must be informed of environmental and other risk areas, training needs must be addressed and records must be kept.
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	Information about the organisation's environmental management system or plan appropriate to the range of variables.

<b>Unit title</b>	<b>BSBCM413A Implement and monitor environmental policies</b>
<b>Links to other units:</b>	This unit is related to BSBMGT506A Manage environmental performance and BSBCM313A Maintain environmental procedures. BSBCM413A Implement and monitor environmental policies could be co-assessed with SFIEMS301A Implement and monitor environmentally sustainable work practices and SFIOHS301B Implement OHS policies and guidelines.
<b>Special workplace condition:</b>	The workplace has integrated environmental management policies and procedures.
<b>Relationship to the Seafood EMS program:</b>	The following Seafood EMS Worksheets provide evidence that there is an environmental management system or plan in place and the role of staff at AQF 4 in its implementation. Further evidence would be required to demonstrate that a staff member was fulfilling that responsibility.  Worksheet 5 SEMS Agreement form Worksheet 6 Scope of EMS Worksheet 7 Legal register Worksheet 8 Risk assessment Worksheet 9 Ranking risks & Corrective action Worksheet 10 Risk report Worksheet 11 Record your policy Worksheet 15 Action plan Worksheet 16 Work programs Worksheet 17 Task sheet Worksheet 18 Training plan Worksheet 19 Document control Worksheet 20 Emergency response Worksheet 21 Audit policy and procedures Worksheet 22 Management review



## BSBCMN413A Implement and monitor environmental policies

### Assessment instrument and Recognition checklist

**Describe any training you have received, on and off-job that has helped you develop the knowledge and skill for this competency?**

For example, off-job training as may be undertaken with an external training provider; on-job training as instruction received from a workplace trainer or supervisor. Include details such as when, where and with whom, and the expected outcomes.

**Describe how you have applied your skills and understanding of this competency within your organisation.**

**Briefly describe the environmental management system or plan that your organisation has in place.**

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The evidence listed is an example only, intended as a guide for the assessor and candidate.)
1	Worksheets 5-11 and 15-22 with information relevant to this competency highlighted.
2	Job description with environmental responsibilities highlighted.
3	Information on organisation's environmental management activity, performance and business sustainability given to workgroup: comprising a series of presentations given to workgroup on <ul style="list-style-type: none"> <li>a) induction (and annual re-induction) program with sections on the organisation's environment policy, and environmental management highlighted</li> <li>b) verification sheets signed by workgroup indicating attendance at induction/re-induction sessions</li> <li>c) notes of presentation on waste water quality monitoring given to workgroup.</li> </ul>
4	Documentation showing links between environmental, financial, safety and other risk areas and organisational policies and procedures related to aeration of ponds: <ul style="list-style-type: none"> <li>a) notes from research and comparison of equipment and methods for effectiveness, capital required, cost of depreciation, installation, operation, maintenance and labour</li> <li>b) written explanation on evaluation environmental "footprint" of the equipment – what were the environmental impacts of its construction (including materials and processes), packaging and transport</li> <li>b) risk assessment tables including OHS, potential for contamination of water, noise, fuel or power consumption including its greenhouse impact</li> <li>c) policy statements showing the organisation's commitment to environmental management</li> <li>d) Standard operating procedures for the operation and maintenance of the aeration equipment notated to show how they minimise impact of identified risks.</li> </ul>

5	<p>Documentation showing identification of environmental risks and actions taken including changes to work practices and use of experts:</p> <ul style="list-style-type: none"> <li>a) minutes from workgroup meetings where environmental risks have been identified and assessed. (The workgroup identified disposal of plastic waste, vehicle movement damage to embankments and exposed areas, accidental spillage from industrial areas and changing farming practices up-stream from where the water is pumped from the river to the ponds.)</li> <li>b) minutes summarising research, and actions taken in response to these risks</li> <li>c) photographs showing damage to embankments, the construction of reinforced ramps and the stabilisation</li> <li>c) report from agricultural consultant on changing farm practices, potential risks to water quality, and environmental protection by which farmers must abide</li> <li>d) Standard operating procedures showing additional direction on the disposal of plastic waste and permissible vehicle movement.</li> </ul>
6	<p>A range of environmental records:</p> <ul style="list-style-type: none"> <li>a) water quality test data, graphed and analysed for compliance with EPA requirements</li> <li>b) vehicle maintenance logs</li> <li>c) equipment maintenance logs</li> <li>d) chemical usage diary and chemical stores register</li> <li>e) authorisation papers for stock imported from interstate.</li> </ul> <p>Accompanying written explanation:</p> <ul style="list-style-type: none"> <li>i) describing how records are securely stored and accessed</li> <li>ii) how records are used for analysis of trends, and</li> <li>iii) how analysis of records is used for reporting on environmental performance.</li> </ul>
7	<p>Documentation showing that personnel understand organisation's environmental management system or plan, and follow environmental related procedures relevant to their work responsibilities: <i>(with environment-related references highlighted)</i></p> <ul style="list-style-type: none"> <li>a) matrix showing job roles and required competencies</li> <li>b) matrix showing environment competencies and related SOPs</li> <li>c) personnel training records</li> <li>d) training schedule for coming year.</li> </ul>
8	<p>Documentation illustrating supply chain involvement in improving environmental performance:</p> <ul style="list-style-type: none"> <li>a) letters to suppliers requesting confirmation that materials used in their products or packaging was recyclable, or biodegradable (suppliers of harvest nets, transport baskets, feed suppliers)</li> <li>b) testimonial from feed supplier indicating that candidate negotiated specifications of feeds, to maximise stock growth and to have nil impact on water quality</li> <li>c) notes from meetings with transport company negotiating cold storage and transport facilities and procedures to meet organisation's specifications.</li> </ul>
9	<p>Documentation showing candidate's role in continuous improvement:</p> <ul style="list-style-type: none"> <li>a) registration of attendance and handouts from aquaculture extension workshops about best practice approaches in water quality management</li> <li>b) flow chart and notes showing how changes to water testing and water aeration were researched, tested and eventually implemented</li> <li>c) notes explaining how candidate and organisation handle continuous improvement.</li> </ul>
10	<p>Work records indicating contingency plans are in place and implemented as needed:</p> <ul style="list-style-type: none"> <li>a) Standard operating procedures for responding to high river levels, quarantining diseased stock, chemical and fuel spillages</li> <li>b) Work logs showing that contingency plans are trialed periodically, or have been implemented.</li> </ul>
11	<p>Manager testimonial verifying job role in implementing and monitoring the organisation's environmental policies.</p>
12	<p>Interview and questions by the Assessor relating to underpinning knowledge and skills.</p>

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Provide information to the work team	1.1 Information provided to the work team is explained in a clear and concise manner and is readily accessible by all employees	1 2 <u>3 4 5</u> 6 7 8 9 10 11 <u>12</u>
	1.2 Organisation's activities/performance in regard to environmental management and business sustainability are conveyed to work team where required	<u>1 2 3 4 5</u> 6 7 8 9 10 <u>11</u> 12
	1.3 Links between environmental, financial, safety and other risk areas and how these are integrated in organisational policies and practices are explained	<u>1 2 3 4 5</u> 6 7 8 9 10 11 <u>12</u>
<u>1 2 3 4 5</u> 6 7 8 9 10 <u>11 12</u>	1.4 Information on environmental systems and procedures and other risk areas within the area of management responsibility is provided	<u>1 2 3 4 5</u> 6 7 8 9 10 <u>11</u> 12
2. Implement and monitor operational procedures	2.1 Existing and potential environmental risks are identified and assessed and/or expert advice sought as required	1 2 3 <u>4 5</u> 6 7 8 9 10 11 12
	2.2 Prioritised recommendations from the assessments are carried out as part of the organisation's operational procedures	1 2 3 4 <u>5</u> 6 7 8 9 10 <u>11</u> 12
	2.3 Organisational environmental policies and procedures are implemented	1 2 3 4 <u>5 6</u> 7 8 9 10 <u>11</u> 12
	2.4 Tasks are allocated and outcomes are monitored in accordance with organisational policies and targets	1 2 3 4 5 <u>6</u> 7 8 <u>9</u> 10 <u>11</u> 12
1 2 3 <u>4 5</u> <u>6 7 8 9</u> 10 <u>11 12</u>	2.5 Contingency plan is implemented promptly when incidents occur	1 2 3 4 5 6 7 8 9 <u>10 11</u> 12
3. Implement and monitor change and continuous improvement	3.1 Environmental improvement plans are implemented for own work group and integrated with other operational activities	1 2 3 4 5 6 7 <u>8 9</u> 10 11 12

	3.2	Best practice approaches to improving environmental performance by reducing environmental risk and waste are identified, implemented and monitored	1 2 3 4 5 6 7 8 <u>9</u> 10 <u>11</u> 12
	3.3	Suggestions and ideas about environmental management are sought from the work team and acted upon where appropriate	1 2 3 4 <u>5</u> 6 7 <u>8</u> <u>9</u> 10 <u>11</u> 12
1 2 3 4 <u>5</u> 6 7 <u>8</u> <u>9</u> 10 <u>11</u> 12	3.4	Suggestions are sought from supply chain, at tender/contract stage, for ways of improving environmental performance	1 2 3 4 5 6 7 <u>8</u> <u>9</u> 10 <u>11</u> 12
4. Implement and monitor recording procedures	4.1	Internal and external reporting procedures are identified and implemented as required	1 2 3 4 5 <u>6</u> 7 8 9 10 <u>11</u> <u>12</u>
	4.2	Environmental records are accurately and legibly maintained and stored securely in a form accessible for reporting purposes	1 2 3 4 5 <u>6</u> 7 8 9 10 <u>11</u> 12
1 2 3 4 5 <u>6</u> 7 8 9 10 <u>11</u> <u>12</u>	4.3	Information/records are monitored to identify trends that may require remedial action, and used to promote continuous improvement of environment performance	1 2 3 4 5 <u>6</u> 7 8 9 10 <u>11</u> <u>12</u>
5. Implement and monitor an environmental management training program	5.1	Environmental training needs are identified accurately, specifying gaps between environmental competencies required and those held by group members	1 2 3 4 5 6 <u>7</u> 8 9 10 <u>11</u> <u>12</u>
1 2 3 4 5 6 <u>7</u> 8 9 10 <u>11</u> <u>12</u>	5.2	Arrangements are made for fulfilling identified training needs for the work group with relevant parties	1 2 3 4 5 6 <u>7</u> 8 9 10 <u>11</u> <u>12</u>
<b>Required knowledge and understanding</b>			
<i>Required knowledge is to be limited to that which is sufficient to perform the particular workplace competency and is intended to promote environmental awareness rather than technical environment competencies</i>			
Relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti discrimination			<u>1</u> 2 <u>3</u> 4 <u>5</u> <u>6</u> 7 8 9 10 <u>11</u> <u>12</u>
Relevant environmental systems and procedures			<u>1</u> 2 <u>3</u> 4 <u>5</u> <u>6</u> <u>7</u> 8 9 10 <u>11</u> <u>12</u>

Knowledge of best practice approaches relevant to own work area	1 2 3 <u>4</u> 5 6 7 8 <u>9</u> 10 <u>11</u> <u>12</u>											
Quality assurance systems relevant to own work area	<u>1</u> 2 <u>3</u> 4 5 <u>6</u> 7 8 9 10 <u>11</u> <u>12</u>											
Supply chain procedures	1 2 3 4 5 6 7 <u>8</u> 9 10 <u>11</u> <u>12</u>											
Strategies to maximise opportunities and minimise impacts relevant to own work area	1 2 3 <u>4</u> <u>5</u> 6 7 8 <u>9</u> 10 <u>11</u> <u>12</u>											
Relevant knowledge of environmental issues especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation relevant to own work area	<u>1</u> 2 3 <u>4</u> <u>5</u> 6 7 8 <u>9</u> 10 <u>11</u> <u>12</u>											
<b>Required skills and attributes</b>												
Communication skills to ensure information is supplied to the work team	1 2 <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> 10 <u>11</u> <u>12</u>											
Consultation skills to assist in workplace negotiations	1 2 3 4 5 6 <u>7</u> <u>8</u> 9 10 11 <u>12</u>											
Literacy skills for comprehending documentation and interpreting environment requirements	1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> 10 11 <u>12</u>											
Operational skills relevant to the workplace, including the ability to operate and shut down equipment	1 2 3 <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> 10 <u>11</u> 12											
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities	1 2 <u>3</u> <u>4</u> <u>5</u> 6 <u>7</u> 8 9 10 <u>11</u> <u>12</u>											
Key Competencies	Level	Examples	Evidence									
Collecting, analysing and organising information	2	To provide information and advice	1 2 <u>3</u> <u>4</u> <u>5</u> 6 7 8 <u>9</u> 10 11 12									
Communicating ideas and information	2	To resolve environmental issues with the work team and external contacts	1 2 <u>3</u> <u>4</u> <u>5</u> 6 <u>7</u> <u>8</u> <u>9</u> 10 11 12									
Planning and organising activities	2	To plan training and to implement change and improvement	1 2 3 4 5 6 <u>7</u> <u>8</u> <u>9</u> 10 11 12									
Working with teams and others	2	To gain support for environmental policies	1 2 <u>3</u> <u>4</u> <u>5</u> 6 <u>7</u> <u>8</u> 9 10 11 12									

Using mathematical ideas and techniques	2	To aid planning	1 2 3 <u>4 5 6 7</u> 8 9 10 11 12
Solving problems	2	To implement change and maintain procedures	1 2 3 4 5 6 7 <u>8 9</u> <u>10</u> 11 12
Using technology	2	To assist implementation	1 2 <u>3 4 5 6 7</u> 8 9 10 11 12

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
BSBCM413A Implement and monitor environmental policies	<ul style="list-style-type: none"> <li>• Provide information to the work team</li> <li>• Implement and monitor operational procedures</li> <li>• Implement and monitor change and continuous improvement</li> <li>• Implement and monitor recording procedures</li> <li>• Implement and monitor an environmental management training program</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

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\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## BSBCMN416A Identify risk and apply risk management processes

### Assessment plan

<b>Unit title</b>	<b>BSBCMN416A Identify risk and apply risk management processes</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example risk assessments, tables, audit checklists, risk management strategy, Standard Operating Procedures (SOPs), workplace records, job roles, agendas and minutes of meetings, correspondence)</p> <p>--- portfolio of worksheets from participation in EMS working group</p> <p>--- presentation</p> <p>--- Interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended.)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• applicable legislation, codes of practice, award or enterprise agreements</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• types of risk (for example environmental, economic, human behaviour, economic, natural events)</li> </ul> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• tools being used to identifying risk</li> </ul> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• risk categorisations being used</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	<p>A person who demonstrates competence in this unit must be able to provide evidence that they have identified and managed the risks associated with activities in their own area of operations, within their role and responsibilities, and in line with the organisation's risk management process. They will have monitored and reviewed risks and may have recommended improvements to risk management processes or procedures.</p>



<b>Unit title</b>	<b>BSBCMN416A Identify risk and apply risk management processes</b>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	Access to workplace documentation is required.
<b>Links to other units:</b>	This unit could be assessed alone or as part of an integrated assessment activity involving other environment related units.
<b>Special workplace condition:</b>	The workplace has integrated environmental management policies and procedures.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets provide evidence of a risk identification and assessment strategy for the organisation. It also allocates responsibility for implementation to staff at AQF 4. Further evidence would be required to demonstrate that a staff member was fulfilling that responsibility.</p> <p>Worksheet 6 Scope of EMS  Worksheet 7 Legal register  Worksheet 8 Risk assessment  Worksheet 9 Ranking risks &amp; Corrective action  Worksheet 10 Risk report</p>

## BSBCMN416A Identify risk and apply risk management processes

### Assessment instrument and Recognition checklist

#### Describe any training you have received, on and off-job that has helped you develop the knowledge and skill for this competency?

For example, off-job training as may be undertaken with an external training provider; on-job training as instruction received from a workplace trainer or supervisor. Include details such as when, where and with whom, and the expected outcomes.

#### Describe how you have used your skills and understanding of this competency within your business (or workplace)

#### How has the organisation benefited from the application of a risk management strategy

Consider the triple bottom line – economic, environmental and social impacts.

Please list the evidence of competence below.

<b>Evidence of competence</b> (The evidence listed is an example only of an owner/skipper of fishing vessel, intended as a guide for the assessor and candidate.)	
<b>1</b>	Worksheets 6, 7, 8, 9 and 10 relating to environmental, food safety and OHS risks in the management of the fishing operation.
<b>2</b>	Documentation relating to the risk assessment of a new fishing technique showing: <ol style="list-style-type: none"> <li>a) how risks relating to by-catch, endangered species, damage to seabed and habitat, OHS, disposal of damaged netting or associated components were identified and assessed</li> <li>b) how risk controls (OHS procedures, additional by-catch devices, locations avoided when fishing) were determined and implemented</li> <li>c) how risk controls were being monitored to ensure effectiveness.</li> </ol>
<b>3</b>	Supporting evidence showing how the risk control strategies were being implemented: <ol style="list-style-type: none"> <li>a) induction program for deckhands (relevant areas highlighted)</li> <li>b) procedures for setting out and retrieving net, with controls highlighted</li> <li>c) chart showing fishing locations being avoided notated with reasons.</li> </ol>
<b>4</b>	Supporting evidence showing how effectiveness of controls is monitored and reviewed <ol style="list-style-type: none"> <li>a) records of by-catch and interaction with endangered species on official forms are compared to records from previous years and/or other fishers using similar fishing techniques</li> <li>b) safety incident reports, also compared to records from previous years, and to the records of other fishers</li> <li>c) audit checklists undertaken on risks (Worksheet 21 – Audit policy and review)</li> <li>c) discussion with assessor on improvements and changes made as a result of use of risk management process within the fishing operation.</li> </ol>
<b>5</b>	Interview and questions by the Assessor to determine candidate: <ol style="list-style-type: none"> <li>a) understanding and knowledge of risk management and ability to apply risk assessment and control skills</li> <li>b) attributes to carry out risk assessment and control strategies.</li> </ol>

<b>Element</b>	<b>Performance criteria</b>	<b>Assessor use only</b>
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Identify risks	1.1 Tools for identification of risks are accessed	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8	1.2 Risks are identified	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
	1.3 Identified risks are documented in accordance with relevant policies, procedures and legislation	<u>1</u> <u>2</u> 3 4 5 6 7 8
2. Analyse and evaluate risks	2.1 Causes of risk are analysed	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8	2.2 Potential impact of risks is determined	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
	2.3 Frequency of exposure to risks is determined	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
	2.4 Likelihood of risks is determined	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
	2.5 Risks categorisation is undertaken and risk priorities set	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
	2.6 Analysis processes and outcomes are documented	<u>1</u> <u>2</u> 3 4 5 6 7 8
3. Treat risks	3.1 Appropriate control measures for risks are determined and assessed for strengths and weaknesses	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> 6 7 8	3.2 Risks are continuously monitored	1 2 3 4 <u>5</u> 6 7 8
	3.3 Control measures are identified for all risks	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
	3.4 Risks relevant to whole of organisation or having an impact beyond own work responsibilities and area of operation are referred on to others as per established policies and procedures	<u>1</u> 2 3 4 <u>5</u> 6 7 8
	3.5 Control measures for own area of operation and/or responsibilities are chosen and implemented	<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> 6 7 8
	3.6 Treatment plans are prepared and implemented	<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> 6 7 8
4. Monitor and review effectiveness of treatment of risks	4.1 Implemented treatments are regularly reviewed against measures of success	1 2 3 <u>4</u> <u>5</u> 6 7 8
	4.2 Review results are used to improve the treatment of risks	1 2 3 <u>4</u> <u>5</u> 6 7 8

	4.3	Assistance is provided to auditing risk in own area of operation	1 2 3 <u>4 5</u> 6 7 8
<u>1 2 3 4 5</u> 6 7 8	4.4	Management of risk in own area of operation is monitored and reviewed	<u>1 2 3 4 5</u> 6 7 8
<b>Required knowledge and understanding</b>			
Legislation, codes of practice and national standards relevant to organisation's operation as a business entity, for example			<u>1 2 3 4 5</u> 6 7 8
<input type="checkbox"/> occupational health and safety (OHS), public safety and duty of care <input type="checkbox"/> company and contract law <input type="checkbox"/> industrial relations law <input type="checkbox"/> privacy, confidentiality and freedom of information <input type="checkbox"/> environmental law <input type="checkbox"/> Australian/New Zealand risk management standards			
Organisational policies and procedures:			1 2 3 4 <u>5</u> 6 7 8
<input type="checkbox"/> risk management strategy <input type="checkbox"/> policies and procedures for risk management			
Auditing requirements			1 2 3 <u>4 5</u> 6 7 8
<b>Required skills and attributes</b>			
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities			1 2 3 4 <u>5</u> 6 7 8
Risk assessment and treatment skills			<u>1 2 3 4 5</u> 6 7 8
Auditing skills to assist in audit of own area			1 2 3 <u>4 5</u> 6 7 8
Monitoring, review and evaluation skills			1 2 3 <u>4 5</u> 6 7 8
Attributes:			<u>1 2 3 4 5</u> 6 7 8
<input type="checkbox"/> safety consciousness <input type="checkbox"/> concern for continuity of operations <input type="checkbox"/> thoroughness <input type="checkbox"/> attention to detail			
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>
Collecting, analysing and organising information	1	Collecting and analysing data to monitor and review risk management in own area of operations Identifying and analysing risk processes	<u>1 2</u> 3 4 5 6 7 8

Communicating ideas and information	2	Communicating in writing to monitor and review risk in own area of operations Documenting risk analysis	<u>1 2 3 4</u> 5 6 7 8
Planning and organising activities	1	Planning how to identify, analyse and treat risks in own area, in line with established process	<u>1 2</u> 3 4 5 6 7 8
Working with teams and others	1	Working with auditors, specialists, other personnel to manage risks	1 2 3 <u>4</u> 5 6 7 8
Using mathematical ideas and techniques	1	Calculating costs of risk treatment options	<u>1 2</u> 3 4 5 6 7 8
Solving problems	2	Applying problem solving techniques to identification of risk and determining treatment options	<u>1 2</u> 3 4 5 6 7 8
Using technology	1	Using software for document production, collation and analysis of data Using software specifically designed for risk management	<u>1 2 3 4</u> 5 6 7 8
Innovative skills	-	Not applicable	1 2 3 4 5 6 7 8

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
BSBCMN416A Identify risk and apply risk management processes	<ul style="list-style-type: none"> <li>• Identify risks</li> <li>• Analyse and evaluate risks</li> <li>• Treat risks</li> <li>• Monitor and review effectiveness of treatment of risks</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## SFIEMS401A Conduct an internal audit of an environmental management system

### Assessment plan

<b>Unit title</b>	<b>SFIEMS401A Conduct an internal audit of an environmental management system</b>
<b>Purpose of assessment:</b>	--- Recognition of Prior Learning, or Recognition of Current Competency --- third-party audit, for example ISO14001 --- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification) Please tick
<b>Methods of assessment to be used:</b>	--- portfolio of workplace documentation, (for example risk assessments, tables, audit checklists, risk management strategy, Standard Operating Procedures (SOPs), workplace records, job roles, agendas and minutes of meetings, correspondence) --- portfolio of worksheets from participation in EMS working group --- presentation --- interview --- observation --- short questions (oral or written) --- third-party verification --- third-party testimonial Please tick (A range of methods is recommended.)
<b>Range of variables:</b>	List: <ul style="list-style-type: none"> <li>• the scope of the environmental management system being audited _____</li> <li>• the standards, regulations, legislation and conventions being met by the environmental management system _____</li> <li>• documentation that is required to be recorded and stored for future reference _____</li> </ul>
<b>Overview of evidence required to demonstrate competence:</b>	A person who demonstrates competence in this unit must be able to provide evidence of the ability to conduct internal audits on environmental management systems. Evidence must be strictly relevant to the particular workplace role, which may be based in an enterprise or around a cooperative group.

<b>Unit title</b>	<b>SFIEMS401A Conduct an internal audit of an environmental management system</b>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	The candidate must have access to documentation relevant to the audit and personnel who have a role or responsibility in implementing and/or monitoring the effectiveness of the environmental management system.
<b>Links to other units:</b>	This unit could be assessed on its own or in combination with other units relevant to the job function.
<b>Special workplace condition:</b>	The workplace has integrated environmental management policies and procedures.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets provide evidence of a risk identification and assessment strategy for the organisation. It also allocates responsibility for implementation to staff at AQF 4. Further evidence would be required to demonstrate that a staff member was fulfilling that responsibility.</p> <p>Worksheet 7 Legal register Worksheet 21 Audit policy and procedures Worksheet 22 Management review</p>



## SFIEMS401A Conduct an internal audit of an environmental management system

### Assessment instrument and Recognition checklist

List any training or group work that has helped you develop the knowledge and skill for this competency?

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited and who was the training provider, facilitator or presenter

Describe the internal audits that you have conducted. What did they cover, who was involved and when did they take place?

How has the business/workplace benefited from the internal audit process that you have conducted?

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<p><b>Evidence of competence</b> (The evidence listed is an example only of an environmental management officer, intended as a guide for the assessor and candidate.)</p>
1	Worksheets 7, 21 and 22
2	Audit documentation: a) audit plan b) checklist to show conformance and non-conformance c) improvement tools (used to identify suitable corrective actions) d) audit reporting template.
3	Procedures with those being audited highlighted and where required, relevant documents noted.
4	Flow chart showing personnel involved in the audit, and notated with their roles and responsibilities. A statement from the operations manager verifying that these people were involved, and that the candidate had briefed them on their role and responsibilities was included.
5	Interview and questions by the assessor to ascertain: a) how the components of the environmental management system to be audited were selected b) that there was collaboration with relevant personnel about the audit and regarding strategies for improving the environmental management system c) that the candidate understood the concept of “sufficient evidence” (to identify non-conformance) d) how audit documentation is stored for future access.
6	Audit report that shows findings from the audit process, recommendations for corrective actions including timeframes) and strategies for their implementation. The section of the audit plan that identifies reporting requirements (in particular the format/template and personnel to receive the report.) is included with this information highlighted.
7	Minutes from management meetings describing how corrective actions and improvements were carried out and an indication of their effectiveness. Worksheet 22.

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Prepare for an internal audit	1.1 The scope of the planned audit is determined and the requirements are detailed	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> 6 7 8
	1.2 Procedures to be audited are identified and relevant documentation is collected	<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8
	1.3 Relevant personnel are briefed, and roles and responsibilities are allocated	<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 6 7 8
	1.4 A detailed audit plan is developed in consultation with relevant personnel	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> 6 7 8
<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> 6 7 8	1.5 A checklist to identify conformance and non conformance is developed	1 <u>2</u> 3 4 5 6 7 8
2. Conduct the internal audit	2.1 The components of the environmental management system and work area to be audited are selected	1 <u>2</u> 3 4 <u>5</u> 6 7 8
	2.2 Continuous improvement and ownership of the audit process are maximised by collaborating with relevant personnel	1 2 3 <u>4</u> <u>5</u> 6 7 8
	2.3 Sufficient evidence is collected to identify non conforming aspects of the environmental management system	1 <u>2</u> 3 4 <u>5</u> 6 7 8
1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> 7 8	2.4 Evidence is analysed using improvement tools to identify suitable corrective actions	1 <u>2</u> 3 4 5 <u>6</u> 7 8
3. Report findings	3.1 The internal audit is reported as directed in the audit plan	1 <u>2</u> 3 4 5 <u>6</u> 7 8
	3.2 Findings from the audit process are documented in the required format	1 <u>2</u> 3 4 5 <u>6</u> 7 8
	3.3 Recommendations for corrective actions are presented	1 2 3 4 5 <u>6</u> <u>7</u> 8
1 <u>2</u> 3 4 5 <u>6</u> <u>7</u> 8	3.4 Strategies are provided for the implementation of the corrective actions	1 2 3 4 5 <u>6</u> 7 8
4. Complete corrective action	4.1 Relevant personnel are consulted regarding the necessary strategies to improve the environmental management system	1 2 3 4 <u>5</u> 6 7 8

	4.2 An action plan is developed and implemented to improve the environmental management system	1 2 3 4 5 6 <u>7</u> 8
	4.3 The effectiveness of the corrective action is evaluated and reported after an agreed time interval	1 2 3 4 5 6 <u>7</u> 8
1 <u>2</u> 3 4 <u>5</u> 6 <u>7</u> 8	4.4 Relevant documentation is recorded and stored appropriately for future access	1 <u>2</u> 3 4 <u>5</u> 6 7 8
<b>Required knowledge and understanding</b>		
Enterprise or cooperative environmental management system		<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
National or international environmental standards and protocols relevant to the audit		<u>1</u> <u>2</u> 3 4 5 6 7 8
Audit processes		<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
Continuous improvement processes		1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
Problem-solving techniques that identify causes of non-conformance and options to remedy problems		1 <u>2</u> 3 4 5 <u>6</u> <u>7</u> 8
Reporting requirements of the workplace or common interest group		<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 <u>6</u> <u>7</u> 8
Organisational structure of the enterprise or common interest group, including responsibilities and delegated authority of key personnel		<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 6 7 8
Relevant health, safety and environment requirements		<u>1</u> 2 <u>3</u> 4 5 6 7 8
<b>Required skills and attributes</b>		
Interpret environmental management system documentation		<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
Interpret relevant national and international standards and codes of practice		<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 <u>6</u> <u>7</u> 8
Develop and document an audit plan, action plan and conformance/ non conformance checklist		<u>1</u> <u>2</u> 3 4 5 6 7 8
Analyse monitoring data		1 <u>2</u> 3 4 5 <u>6</u> 7 8
Document and report on findings		1 2 3 4 5 <u>6</u> <u>7</u> 8
Present recommendations		1 2 3 4 5 <u>6</u> 7 8

Key Competencies	Level	Examples	Evidence
Communicating ideas and information	3	Making suggestions for improved processes and reporting where appropriate	1 2 3 4 5 <u>6 7</u> 8
Collecting, analysing and organising information	3	Collecting and analysing evidence Developing and using tools, such as conformance checklists	<u>1 2</u> 3 4 5 6 7 8
Planning and organising activities	3	Developing the audit plan and action plan	1 <u>2</u> 3 4 5 <u>6 7</u> 8
Working with teams and others	3	Consulting with personnel to identify strategies for improved practices	1 2 <u>3 4 5 6</u> 7 8
Using mathematical ideas and techniques	3	Collating and evaluating monitoring data and evidence of improvements.	1 <u>2</u> 3 4 5 <u>6 7</u> 8
Solving problems	3	Providing strategies for the implementation of the corrective actions	1 2 3 4 <u>5 6 7</u> 8
Using technology	1	Using software systems for recording and filing documentation Using software applications for collating and evaluating numerical data	1 <u>2</u> 3 4 5 <u>6</u> 7 8
Innovative skills	2	Identifying improvements	1 2 3 4 <u>5 6</u> 7 8

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
SFIEMS401A Conduct an internal audit of an environmental management system	<ul style="list-style-type: none"> <li>• Prepare for an internal audit</li> <li>• Conduct the internal audit</li> <li>• Report findings</li> <li>• Complete corrective action</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## RTD4804A      Develop community networks

### Assessment plan

<b>Unit title</b>	<b>RTD4804A    Develop community networks</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example risk assessments, tables, audit checklists, risk management strategy, Standard Operating Procedures (SOPs), workplace records, job roles, agendas and minutes of meetings, correspondence)</p> <p>--- portfolio of worksheets from participation in EMS working group</p> <p>--- presentation</p> <p>--- Interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended.)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• reasons for contacts in the community relevant to this competency</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• relevant agency/enterprise procedures and guidelines</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	<p>Competence in developing community networks requires evidence that community networks have been successfully established and evaluated according to elements and performance criteria for this competency. The skills and knowledge required to develop community networks must be transferable to a range of work environments and contexts. For example this could include different community groups and types of networks.</p>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>

<b>Unit title</b>	<b>RTD4804A Develop community networks</b>
<b>Resource requirements:</b>	Environmental management plan or system developed by either a cooperative or regional group or by an individual enterprise.
<b>Links to other units:</b>	This unit could be assessed alone or as part of an integrated assessment activity involving other environment related units.
<b>Special workplace condition:</b>	Evidence must demonstrate constructive involvement with a range of community networks over a period of time.
<b>Relationship to the Seafood EMS program:</b>	<p>Under the Seafood EMS program consultation and communication with the community is actively encouraged. The nature of the interaction will be influenced by the scope of the environmental management system or plan and whether it is a group- or enterprise-based.</p> <p>Refer to  Worksheet 4 Contacts database  Worksheet 6 for the scope of the EMS  Worksheet 7 Legal register  Worksheet 12 Record your EMS structure  Worksheet 13 Guide to EMS organisations  Worksheet 14 Model rules for an Association  Worksheet 15 Action plan</p> <p>Encourage the candidate to submit any other Worksheets that he or she considers relevant to developing community networks.</p>

## RTD4804A Develop community networks

### Assessment instrument and Recognition checklist

**List any training or group work that has helped you develop the knowledge and skill for this competency?**

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited and who was the training provider, facilitator or presenter

**Describe how you have used your skills and understanding of this competency in the development and ongoing management of an environmental management system or plan.**

**How has the business/workplace benefited from your application of this competency**

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The sample evidence listed below is from the owner of an estuary-based oyster lease who along with adjoining oyster lease operators has formed a group to improve and promote the environmental sustainability of their oyster operations. It is intended as a guide for the assessor and candidate.)
1	Worksheets 4, 6, 7 and 15. (Other Worksheets are included below where relevant).
2	Notes showing the planning sessions prior to formal meetings, and the minutes from the subsequent meeting, with relevant agencies and associations (gathered over a 12 month period and showing ongoing relationships with each): a) local Water Catchment Management Board b) Environmental Protection Authority (EPA) compliance officers c) Land Owners Action Group (LOAG) d) Birds Australia e) Municipal Business Development Board (MBDB) f) Shire councillors g) Recreational Boat Owners Association (RBOA) h) Native Title Lobby Group (NTLG) i) Fisherman's Cooperative Management Committee (FCMC).
3	Notations on the notes and minutes from (2) explaining: a) the involvement of the candidate in the pre-planning and conduct of meetings listed in (2) above. b) key people in the above agencies and groups are identified along with desired relationship goals and steps to achieve them c) prioritised opportunities and timing of consultations, interactions and promotion with each group or agency d) extra considerations required (for example NTLG is predominately Indigenous representatives of a group with strong traditional connections to the estuary; and some FCMC members are of middle European and Vietnamese origin, the latter generally do not understand or read English very well).
4	Thank you letter from the FCMC chairperson for the effort by the candidate in explaining the EMS benefits to their members and declaring their support for the group EMS.



5	<p>Interview and questions by the assessor to:</p> <p>a) clarify the candidate's role in the above meetings and her understanding of equity requirements and how they might be met, and similarly, how cultural backgrounds might be respected. Examples were provided by the assessor against which the candidate could provide comment.</p> <p>b) hear from the candidate her understanding of the benefits that have come from the interactions with the groups and agencies listed in (2) above</p> <p>c) hear from the candidate the purpose of supporting promotional activities (see (6) below), and the benefits that have come from the involvement</p> <p>d) ascertain what changes or improvements the candidate has made to the way promotional activities are carried out based on feedback received.</p>
6	<p>Promotional material and correspondence from the local Field Day Committee, local schools and service clubs pertaining to requests for presentations on environmental sustainability of the oyster industry, and EMS group replies. Minutes of meetings, photographs and media clippings showing the candidate's involvement in supporting the events was highlighted and also included as supporting evidence.</p> <p>Feedback from the promotional activities indicating candidate involvement and success was provided in the form of letters from the school, and service clubs.</p>
7	<p>Worksheets 12, 13 and 14 s showing the EMS group's structure and commitment to follow equity requirements and cultural protocols. The candidate also provided a written account explaining how she had attended training sessions on community network building and facilitating consultation meetings and used the knowledge gained from here along with advice from The Community Communication Guide in developing her community networks.</p>
8	<p>Reports prepared for the EMS group meetings on outcomes of agency and group meetings including comments on the effectiveness of the group's strategies, and the cost benefit to the EMS group and its individual members. Worksheets 12, 13 and 14 were included again with the group's strategies highlighted to show revisions.</p>
9	<p>Video of two presentations – one to local school children the other to Birds Australia on how estuary oyster culture is a sustainable industry.</p> <p>Presentation plan for the "walk-around" session with the NTLG.</p> <p>Power point presentation used with MBDB on the economic value of the local oyster industry to the region.</p>
10	<p>Minutes from meetings with LOAG and RBOA groups indicating how the candidate handled contentious issues raised by their members.</p> <p>Testimonial letter from the President of each of the groups indicating their respect for the candidate and her ability to handle contentious matters in a non-confrontational manner that can lead to negotiated outcomes that are acceptable to both parties.</p>

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Make contacts within community	1.1 Connections are made through business, social and personal contacts, and programs to the community	<u>1 2 3</u> 4 <u>5</u> 6 7 8 9 10
	1.2 Connections are identified for the potential in regard to some group program or activity	1 <u>2 3</u> 4 5 6 7 8 9 10
	1.3 Plans for developing contacts and relationships are formulated in conjunction with relevant group members and leaders	1 <u>2 3</u> 4 <u>5</u> 6 7 8 9 10
	1.4 Equity requirements and cultural backgrounds of people being contacted are respected	1 2 3 <u>4 5</u> 6 <u>7</u> 8 9 10
	1.5 Appropriate cultural protocols are observed to establish positive contacts	1 2 <u>3 4 5</u> 6 7 8 9 10
	1.6 Appropriate mechanisms are followed to establish contacts with Indigenous communities	1 2 <u>3</u> 4 <u>5</u> 6 7 8 9 10
<u>1 2 3 4 5 6</u> <u>7 8 9 10</u>	1.7 Community requests for information on or participation in programs or activities are addressed to promote the group(s) and program	1 2 3 4 5 <u>6</u> 7 8 9 10
2. Form and create links	2.1 Contact is developed through promotional activities, programs and activities of mutual interest to community members and groups	1 2 3 4 5 <u>6</u> 7 8 9 10
	2.2 Activities, programs and personal contact are structured to allow trust and understanding to develop within group and community	1 2 3 4 5 <u>6</u> 7 8 <u>9</u> 10
	2.3 Working relationships are developed in areas of common interest and goals to bring benefit to all parties	1 2 3 4 <u>5 6</u> 7 8 9 <u>10</u>
	2.4 Feedback on programs and community group activities is sought from participants and community, and used to modify their application	1 2 3 4 5 <u>6</u> 7 8 9 <u>10</u>
<u>1 2 3 4 5 6</u> <u>7 8 9 10</u>	2.5 Appropriate records are developed to maintain ongoing contracts and relationships	<u>1</u> 2 3 4 5 6 7 8 9 10

3. Build networks	3.1 Individual contacts and contacts with other groups are used to establish networks of common interest	<u>1</u> <u>2</u> 3 4 5 <u>6</u> 7 <u>8</u> 9 10
	3.2 Programs and activities are reviewed to incorporate networks and the network resources in areas of common interest and goals	1 2 3 4 5 6 7 <u>8</u> 9 10
	3.3 Progress in establishing links and networks is evaluated and opportunities for further action are identified	1 2 3 4 5 6 7 <u>8</u> 9 10
<u>1</u> <u>2</u> 3 4 5 6 <u>7</u> <u>8</u> 9 <u>10</u>	3.4 Relationships and networks are managed to ensure compliance with cultural protocols and with agency/enterprise procedures and guidelines	1 2 3 4 5 6 <u>7</u> <u>8</u> 9 10
4. Report on community liaison	4.1 Community liaison activities are evaluated in terms of their costs, benefits to the group(s) program and contribution to the community	1 2 3 4 5 <u>6</u> 7 <u>8</u> 9 10
1 2 3 4 5 <u>6</u> 7 <u>8</u> 9 10	4.2 Reports on community liaison activities are prepared and submitted in line with group and program/agency guidelines	1 2 3 4 5 6 7 <u>8</u> 9 10
<b>Required knowledge and understanding</b>		
Community structures, organisations and cultures		<u>1</u> <u>2</u> <u>3</u> 4 5 <u>6</u> 7 8 <u>9</u> 10
Relevant government community action program(s)		1 <u>2</u> 3 4 5 6 7 8 9 10
Process of delivery of program(s)		1 2 3 4 5 6 7 <u>8</u> <u>9</u> 10
Broad Australian and regional history		1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10
Current social and environmental affairs for local community and wider region.		<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8 9 10
Rural industry operations and structures (for rural programs)		<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8 9 10
Relevant legislation		<u>1</u> <u>2</u> 3 4 5 6 7 <u>8</u> 9 10
Affirmative action and anti-discrimination policies		1 2 3 4 5 6 <u>7</u> 8 9 10
Occupational health and safety requirements		<u>1</u> 2 3 4 5 6 <u>7</u> 8 9 10

Required skills and attributes			
Identify community cultures and goals		1 2 3 <u>4</u> <u>5</u> 6 <u>7</u> 8 9 10	
Use manual or electronic index systems		1 2 3 4 5 6 7 8 9 10	
Communicate with people of all ages, cultures and sexes		1 2 3 4 5 6 7 8 9 10	
Give presentations to diverse groups of people		1 2 3 4 5 6 7 8 9 10	
Handle contentious issues raised by others in conjunction with strong views		1 2 3 4 5 6 7 8 9 10	
Key Competencies			
Key Competencies	Level	Examples	Evidence
Communicating ideas and information	3	Through meetings, community events and functions, and informal discussions with individuals and groups	1 <u>2</u> 3 4 5 <u>6</u> 7 8 <u>9</u> 10
Collecting, analysing and organising information	2	Through research and consultation with community people, groups and networks, and printed media	1 <u>2</u> 3 4 5 <u>6</u> 7 8 9 10
Planning and organising activities	2	Through planning of schedules to attend meetings and community functions and events	1 <u>2</u> 3 4 5 6 7 8 <u>9</u> 10
Working with teams and others	3	Through co-operative sharing of information and development of strategies with colleagues	<u>1</u> 2 3 4 <u>5</u> 6 7 <u>8</u> 9 10
Using mathematical ideas and techniques	0	Not applicable	1 2 3 4 5 6 7 8 9 10
Solving problems	2	Where technical, organisational and cultural problems may arise requiring complex solutions	1 <u>2</u> 3 4 5 6 7 <u>8</u> 9 10
Using technology	1	Through use of computers and communications equipment	<u>1</u> 2 3 4 5 6 7 <u>8</u> <u>9</u> 10

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
RTD4804A Develop community networks	<ul style="list-style-type: none"> <li>• Make contacts within community</li> <li>• Form and create links</li> <li>• Build networks</li> <li>• Report on community liaison</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process?                      YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## BSBMGT507A Manage environmental performance

### Assessment plan

<b>Unit title</b>	<b>BSBMGT507A Manage environmental performance</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example risk assessments, tables, audit checklists, risk management strategy, Standard Operating Procedures (SOPs), workplace records, job roles, agendas and minutes of meetings, correspondence)</p> <p>--- portfolio of worksheets from participation in EMS working group</p> <p>--- presentation</p> <p>--- interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended.)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• applicable legislation, codes and national standards</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• environmental policies relevant to the workplace and industry</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	<p>A person who demonstrates competence in this unit must be able to provide evidence of the ability to identify, plan, manage and promote environmental sustainability within the organisation and to contribute to the development of environmental management policies that minimise impacts and maximise opportunities within the organisation. Note that evidence must be relevant to the particular management role and is not intended to include detailed technical aspects of environmental science.</p>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>

<b>Unit title</b>	<b>BSBMGT507A Manage environmental performance</b>
<b>Resource requirements:</b>	Workplace documentation Relevant legislation, standards and guidelines.
<b>Links to other units:</b>	This unit is related to BSBMGT505A Ensure a safe workplace, BSBMGT609A Manage risk and BSBMGT610A Manage environmental management systems.
<b>Special workplace condition:</b>	The workplace has integrated approach to environmental management.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets may provide evidence of the management of environmental performance. Further evidence would be required to demonstrate that a person was following through with it in the enterprise.</p> <p>Worksheet 6 Scope of EMS Worksheet 7 Legal register Worksheet 8 Risk assessment Worksheet 9 Ranking risks &amp; corrective action Worksheet 10 Risk report Worksheet 11 Record your policy Worksheet 12 Record your EMS structure Worksheet 21 Audit policy and procedures Worksheet 22 Management review</p>

## BSBMGT507A Manage environmental performance

### Assessment instrument and Recognition checklist

List any training or group work that has helped you develop the knowledge and skill for this competency?

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited and who was the training provider, facilitator or presenter

How has the business/workplace benefited from your application of this competency

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<p><b>Evidence of competence</b>                  (The sample evidence was provided by the manager of an aquaculture enterprise. The enterprise contains recirculated systems. The enterprise is one of six found around Australia. The corporate management team has established environmental policies, for the entire company. The managers of each site are held accountable for its environmental performance. The example is provided as a guide for assessor and candidate.)</p>
1	<p>Site business plan with items relating to environmental sustainability highlighted (including the allocation of financial and human resources to support its implementation).                  Minutes from senior management and board meetings verifying that the business plan was accepted and adopted.</p>
2	<p>Workplace documents that show organisation and enterprise commitment to environmental sustainability:</p> <ul style="list-style-type: none"> <li>a) company policies with those to do with environmental sustainability and continuous improvement highlighted</li> <li>b) recommendations from the company's environment committee (candidate is an active member) on opportunities to maximise sustainability through efficient use of resources – reducing non-renewable fuel and energy consumption, increasing use of renewable energy sources, using recyclable materials, recycling of water and waste, maximising employment opportunities for personnel by multi-skilling, job sharing arrangements and "family-friendly" policies, marketing potential using regional branding opportunities</li> <li>d) reports on product and process analysis where life cycle impacts have been evaluated, notated to show where this information has been taken into account in business planning, and work procedures</li> <li>e) reports on market research into trends and opportunities relevant to the company (for example the automated feeders, imported fish – choice for consumers</li> <li>f) requirements for suppliers and contractors to meet the company's environmental sustainability requirements. For example, guarantees from suppliers that feeds are free of contaminants and specified additives, and that the product origins can be traced</li> <li>g) worksheets 7 to 12.</li> </ul>



3	<p>Enterprise work procedures which have been appropriately notated to indicate:</p> <ul style="list-style-type: none"> <li>a) how recommendations to maximise sustainability (refer 2b) or control or eliminate environmental impacts (refer 5) identified in the risk assessment report have been put into practice</li> <li>b) the regular monitoring of environmental performance taking place</li> <li>c) the integration that takes place in developing a procedure, for example the new procedure for feeding stock covers OHS in how feed is transported and lifted, automation which reduces labour costs, reduces quantity of feed required, reduces waste and residue, improves water quality reduces requirement for filtration and improves stock growth rate and health. All of which lead to lower production costs and quality stock. Other examples provided.</li> <li>e) Worksheets 7 to 12 and 21, 22.</li> <li>f) where expertise was used to develop a procedure – for example the manufacturer helped the company to develop the cleaning and maintaining filters on the recirculation systems. Other examples are included.</li> </ul>
4	<p>Documents showing continuous improvement policies and practices are working:</p> <ul style="list-style-type: none"> <li>a) company policy on continuous improvement and innovation highlighted</li> <li>b) company training competency matrix indicates training in continuous improvement process and innovation; and examples of improvement projects undertaken as part of assessment</li> <li>c) minutes, graphic displays, monitoring data and reports showing several improvements that have been made on site: recyclable transport containers, waste treatment and conversion to fertiliser, automated feeding producing savings financially and reducing OHS manual handling incidents</li> <li>d) company template to assist managers and finance officers to analyse the cost and benefits of innovations and improvements.</li> </ul>
5	<p>Risk assessment reports on environmental impacts, notated to show where further advice was sought. Presentation as given to the senior management meeting reporting on findings and recommendations.</p>
6	<p>Risk assessment report carried out on new shed and additional 20 tanks including environmental and OHS risks associated with foundation, construction, and then its operational stages. Recommendations include changes made to the design to improve transport access, reduce dependency on non-renewable energy sources and positioning of tanks to allow for automatic feeding devices.</p>
7	<p>Contingency plans (to address recommendations from risk assessments (see 5) for power failure, quarantine arrangements for stock, loss of water supply, or substitute feed if regular supplies are halted.</p>
8	<p>Training competency matrix, and training attendance and assessment records. Environmental management training sections have been highlighted.</p>
9	<p>Interview with employees to verify:</p> <ul style="list-style-type: none"> <li>a) they have received training in environmental procedures and continuous improvement</li> <li>b) that innovation and improvements are encouraged, acknowledged and promoted by the candidate, fellow work team members and the company generally)</li> <li>c) that environmental recording and reporting is an important aspect of work</li> <li>d) they have a clear understanding of the company's culture, and commitment to sustainability.</li> </ul>
10	<p>Walk-through of aquaculture operation to show how individuals and work teams function, records reporting stations, data flow for record keeping, analysis, storage access and preparation of reports, how work instructions and given and acted on, how supervision takes place etc.</p>
11	<p>Reports on environmental performance. Spreadsheet templates used for reporting show the process by which data is gathered, collated and analysed. Some of this comes from data logging via electronic sensors. All are designed to make the process semi-automated and more efficient, plus provide valuable data.</p>
12	<p>Interview and questions by assessor to ascertain:</p> <ul style="list-style-type: none"> <li>a) how innovative ideas and improvements are acknowledged by the candidate and the company</li> <li>b) how entrepreneurial the candidate is in relation to promoting innovative ideas and achieving improvements</li> <li>c) examples of environmental non-compliance that have occurred and how they were responded to</li> <li>d) candidate understanding of business planning concepts, quality assurance procedures</li> <li>e) candidate understanding and knowledge of environmental issues in relation to the aquaculture operation</li> <li>f) candidate understanding and knowledge of the ecological systems in relation to the aquaculture operation</li> <li>g) how the candidate handles conflict management</li> <li>h) how the candidate relates to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities.</li> </ul>

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Develop a business plan to enhance environmental performance	1.1 A business plan is developed that reflects the organisation's policies and commitment to environmental sustainability as an integral part of business operations	<u>1</u> <u>2</u> 3 4 5 6 7 8 9 10 11 <u>12</u>
	1.2 Procedures are developed to maximise/enhance integration of environment, finance, safety and other areas of impacts and opportunities	<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 6 7 8 9 10 11 12
	1.3 Procedures are developed to maximise environmental opportunities and minimise environmental impacts, and expert advice is obtained as required	<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 12
	1.4 Continuous improvement policies and practices monitor and report on the environmental performance of the organisation	<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 6 7 8 9 10 <u>11</u> <u>12</u>
	1.5 The organisation's activities and products are designed to minimize life cycle impacts	<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 <u>12</u>
	1.6 Financial and human resources for the operation of environmental systems are identified, sought and/or provided as required	<u>1</u> <u>2</u> 3 4 5 6 7 8 9 10 <u>11</u> 12
<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 6 7 8 9 10 <u>11</u> <u>12</u>	1.7 Changing trends and opportunities relevant to the organisation are identified, analysed and taken into account at the planning stage	<u>1</u> <u>2</u> 3 4 5 6 7 8 9 10 11 <u>12</u>
2. Manage environmental impact and opportunity	2.1 Identification and assessment of existing and potential environmental impacts and opportunities is conducted and advice is sought as required	1 2 3 4 <u>5</u> 6 7 8 9 10 11 <u>12</u>
	2.2 Procedures for ongoing management of environmental impacts and opportunities are developed and integrated with the organisation's policies and procedures	1 2 <u>3</u> 4 5 6 7 8 9 10 11 12
	2.3 Environmental procedures are addressed at the planning, design and evaluation stages of any change in the workplace to ensure that ongoing impacts and opportunities are identified	1 2 3 4 5 <u>6</u> 7 8 9 10 11 12

	2.4	Contingency plans are established to manage impacts and opportunities when long-term solutions are not readily available	1 2 3 4 5 6 <u>7</u> 8 9 10 11 12
1 2 <u>3</u> 4 <u>5</u> 6 7 8 <u>9</u> 10 <u>11</u> 12	2.5	Ongoing training program is developed to identify and fulfil employees' environmental training needs	1 2 3 4 5 6 7 <u>8</u> <u>9</u> 10 <u>11</u> 12
3. Promote innovation and opportunity	3.1	Continuous improvement and sustainable innovation are promoted as an essential part of doing business	1 2 3 <u>4</u> 5 6 7 8 <u>9</u> 10 11 <u>12</u>
	3.2	Procedures are developed to analyse and communicate the costs and benefits of innovations and improvements	1 2 3 <u>4</u> 5 6 7 8 <u>9</u> 10 11 12
	3.3	New ideas are actively sought and entrepreneurial behaviour is encouraged in employees, workplace committees and teams	1 2 3 4 5 6 7 8 <u>9</u> 10 11 <u>12</u>
	3.4	Procedures are established to actively seek the support of the supply chain for implementing sustainable innovation and continuous improvement	1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 12
1 <u>2</u> <u>3</u> <u>4</u> 5 6 7 8 <u>9</u> 10 11 <u>12</u>	3.5	Members of the supply chain are encouraged to meet high standards of environmental performance	1 <u>2</u> 3 4 5 6 7 8 9 10 11 12
4. Manage system to record and report environmental impacts and opportunities	4.1	System is managed to record and report environmental performance as an integral part of the organisation's record keeping and performance evaluation system	1 2 3 4 5 6 7 8 <u>9</u> <u>10</u> 11 12
1 2 3 <u>4</u> 5 6 7 8 <u>9</u> <u>10</u> <u>11</u> <u>12</u>	4.2	Patterns of environmental non-compliance are identified and addressed and opportunities for environmental management improvements are acted upon	1 2 3 <u>4</u> 5 6 7 8 9 10 <u>11</u> <u>12</u>
5. Evaluate environmental performance	5.1	Processes are developed to ensure that ongoing evaluation of environmental performance, is part of the organisation's procedures	1 2 3 4 5 6 7 8 9 <u>10</u> <u>11</u> <u>12</u>
1 2 3 4 5 6 7 8 9 <u>10</u> <u>11</u> <u>12</u>			
<b>Required Knowledge and understanding</b>			
Required knowledge is to be limited to that which is sufficient to perform the particular management function and is intended to promote environmental awareness rather than technical environment competencies			
Relevant legislation, eg government regulations, OHS, environmental impacts, EO, IR and anti discrimination			<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> <u>10</u> <u>11</u> <u>12</u>

Relevant business planning concepts	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>			
Environment sustainability as a "whole-system" approach	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> <u>10</u> <u>11</u> <u>12</u>			
Quality assurance procedures	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>			
Strategies to maximise opportunities and minimise environment impact	1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>			
Relevant training and record keeping concepts	1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> <u>10</u> <u>11</u> <u>12</u>			
Relevant knowledge of environmental issues especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>			
Relevant knowledge of ecological systems in regard to business operation	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>			
<b>Required skills and attributes</b>				
Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 <u>9</u> <u>10</u> <u>11</u> <u>12</u>			
Conflict management skills to mediate, negotiate and/or attempt to obtain consensus between parties	1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>			
Analysis skills to identify potential environmental and ecological impacts and opportunities in regard to business operation	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> <u>10</u> <u>11</u> <u>12</u>			
Problem solving skills to deal effectively with environmental impacts and opportunities as identified	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> <u>10</u> <u>11</u> <u>12</u>			
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities	1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 <u>9</u> <u>10</u> <u>11</u> <u>12</u>			
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>	
Communication ideas and information	3	To promote environmental policies	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 <u>9</u> <u>10</u> <u>11</u> <u>12</u>	
Collecting, analysing and organising information	3	To aid planning	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>	
Planning and organising activities	3	To develop environmental management strategies	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>	
Working in a team	3	To control impacts, maximise opportunities and to gain support for management strategies	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 <u>9</u> <u>10</u> <u>11</u> <u>12</u>	
Using mathematical ideas and techniques	3	To aid planning	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>	
Solving problems	3	To develop management strategies and operational procedures	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>	
Using technology	3	To access and record information	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 <u>10</u> <u>11</u> <u>12</u>	

Name of candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of Competency	Elements
BSBMGT507A Manage environmental performance	<ul style="list-style-type: none"> <li>• Develop a business plan to enhance environmental performance</li> <li>• Manage environmental impact and opportunity</li> <li>• Promote innovation and opportunity</li> <li>• Manage system to record and report environmental impacts and opportunities</li> <li>• Evaluate environmental performance</li> </ul>

CANDIDATE is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process?      YES / NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE:

\_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS:

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE:

\_\_\_\_\_

DATE: \_\_\_\_\_

## SFIEMS501A Develop workplace policy for sustainability

### Assessment plan

<b>Unit title</b>	<b>SFIEMS501A Develop workplace policy for sustainability</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example risk assessments, tables, audit checklists, risk management strategy, Standard Operating Procedures (SOPs), workplace records, job roles, agendas and minutes of meetings, correspondence)</p> <p>--- portfolio of worksheets from participation in EMS working group</p> <p>--- presentation</p> <p>--- interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended.)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• the scope of sustainability policy applicable to the enterprise</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• stakeholders with a direct interest in the enterprise</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	A person who demonstrates competence in this unit must be able to provide evidence of the ability to develop and implement integrated sustainability policies and procedures within the enterprise. The review of the policy after implementation will also need to be evidenced.
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>

<b>Unit title</b>	<b>SFIEMS501A Develop workplace policy for sustainability</b>
<b>Resource requirements:</b>	Reports from other parties involved in the development and implementation of the policy. Relevant legislation, standards and guidelines.
<b>Links to other units:</b>	This unit could be assessed alone or as part of an integrated assessment activity involving other environment related units.
<b>Special workplace condition:</b>	The workplace has integrated approach to environmental sustainability.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets may provide evidence of the development of a workplace policy and procedures for sustainability. Further evidence would be required to demonstrate that a person was following through with the implementation of the policy in the enterprise.</p> <p>Worksheet 6 Scope of EMS Worksheet 7 Legal register Worksheet 11 Record your policy Worksheet 12 Record your EMS management structure Worksheet 21 Audit policy and procedures Worksheet 22 Management review</p>

## SFIEMS501A Develop workplace policy for sustainability

### Assessment instrument and Recognition checklist

#### List any training or group work that has helped you develop the knowledge and skill for this competency?

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited and who was the training provider, facilitator or presenter

#### How has the business/workplace benefited from your application of this competency

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The sample evidence was provided by the general manager of a shellfish culture enterprise that has around twenty employees. It is intended as a guide for the assessor and candidate.)
1	Worksheets 6, 7, 11 and 12 describe the scope of the enterprise environmental management system, which includes references to environmental sustainability.
2	Sustainability policy that includes: a) scope which identifies energy efficiency, waste recycling, biodegradability, triple bottom line reporting, commitment to reducing escape and resultant impact of cultured shellfish species into the wild, welfare of staff as high priority b) stakeholders consulted as part of policy development c) justification for policy recommendations based on likely effectiveness, timeframes and cost d) strategies for reducing the use of toxic material and hazardous chemicals, and employing life cycle management approaches e) methods of implementation f) earlier versions showing modifications as a result of the continuous improvement process.
3	Business plan showing that commitment to sustainability is an integral part of business planning - eg budget commitments, research goals, product research, training in new procedures and allocation of responsibilities. Associated report and PowerPoint presentation presenting research findings and justifications used to gain board members support. (Candidate highlighted and notated the tools and techniques he used – the ESD framework, fishery regulations, triple bottom line reporting, ecological footprinting, life cycle analyses.)
4	Enterprise web site and newsletter state policy on sustainability public and inform key stakeholders.
5	Agenda and notes from meetings where responsibility for activities are agreed to and assigned, and outcomes and reporting requirements are set.
6	Procedures that support sustainability are provided along with a written account by the candidate indicating how they were developed. This has been verified by the production manager with a signed statement.
7	Interview with employees indicates that they have participated in the development and testing of procedures, and that they whole-heartedly support the procedures and the company's sustainability policy.
8	Documentation showing candidate undertook formal training in continuous improvement process through Frontline Management. He used the evidence from that FM unit (which showed how work practices that reduce



	<p>risk of injury through repetitive strain have been researched and implemented with great success.</p> <p>Personnel reports to management on positive measurable outcomes achieved through improvements made to procedures and work practices and the positive response and recognition given by the management team. (For example the level of mortalities decreased dramatically after personnel were trained and given regular refresher training in hygiene and cleaning procedures.)</p>
<b>9</b>	Worksheet 21 and 22 on audit policy and review, and management review respectively show the enterprise's commitment to the policy on sustainability and continuous improvement.. Reports show follow-up recommendations.
<b>10</b>	Procedures indicating records to be kept to demonstrate sustainability outcomes are provided and relevant areas highlighted. Version control indicates changes that have been made to procedures and policy documents. These are notated to show where improvements have been made, and the candidate's role in achieving the changes.
<b>11</b>	<p>Interview and questions by assessor to ascertain:</p> <ul style="list-style-type: none"> <li>a) how consultation was carried out with stakeholders, and policy and procedures validated</li> <li>b) how the candidate went about researching sustainability issues and analysing and organising information</li> <li>c) how the candidate responded to diversity (including gender and disability)</li> <li>d) candidate understanding and knowledge of equal employment opportunity, equity, and diversity principles and OHS implications of the sustainability policy</li> <li>e) what the most significant improvements have been that have resulted from the sustainability policy.</li> </ul>

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Develop workplace sustainability policy	1.1 Scope of sustainability policy is defined 1.2 Stakeholders are identified and consulted as a key component of the policy development process 1.3 Strategies for minimising the use of non sustainable resources, reducing the use of toxic material and hazardous chemicals, and employing life cycle management approaches at all stages of work, are included in policy 1.4 Recommendations are made for policy options based on likely effectiveness, timeframes and cost	<u>1</u> <u>2</u> 3 4 5 6 7 8 9 10 11 12 1 <u>2</u> 3 4 5 6 7 8 9 10 <u>11</u> 12 1 <u>2</u> 3 4 5 6 7 8 9 10 <u>11</u> 12 1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 <u>11</u> 12
<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> 6 <u>7</u> 8 9 10 <u>11</u> 12	1.5 Policy is developed that reflects the organisation's commitment to sustainability as an integral part of the business planning and as a business opportunity 1.6 Appropriate methods of implementation are agreed	1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 12 1 <u>2</u> <u>3</u> 4 <u>5</u> 6 <u>7</u> 8 9 10 11 12
2. Communicate the policy	2.1 The policy, including its expected outcome, is promoted to key stakeholders	1 2 3 <u>4</u> <u>5</u> 6 7 8 9 10 11 12
1 2 3 <u>4</u> <u>5</u> 6 <u>7</u> 8 9 10 11 12	2.2 Those involved in implementing the policy are informed as to outcomes expected, activities to be undertaken and responsibilities assigned	1 2 3 <u>4</u> <u>5</u> 6 <u>7</u> 8 9 10 11 12
3. Implement the policy	3.1 Procedures to help implement the policy are developed and communicated 3.2 Strategies for continuous improvement in resource efficiency are implemented	1 2 3 4 5 <u>6</u> <u>7</u> 8 9 <u>10</u> 11 12 1 2 3 4 5 6 <u>7</u> <u>8</u> <u>9</u> 10 11 12
1 2 3 4 <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> 10 11 12	3.3 Record systems for tracking continuous improvements in sustainability approaches are established and responsibilities are assigned	1 2 3 4 <u>5</u> 6 7 8 <u>9</u> 10 11 12

4. Review policy implementation	4.1 Outcomes are documented and feedback is provided to key personnel and stakeholders	1 2 <u>3</u> 4 5 6 7 <u>8</u> 9 <u>10</u> <u>11</u> 12
	4.2 Success or otherwise of policy is investigated	1 2 <u>3</u> 4 5 6 7 <u>8</u> 9 <u>10</u> <u>11</u> 12
1 <u>2</u> <u>3</u> 4 5 6 7 <u>8</u> <u>9</u> <u>10</u> <u>11</u> 12	4.3 Records are monitored to identify trends that may require remedial action, and are used to promote continuous improvement of performance	1 2 3 4 5 6 7 <u>8</u> 9 <u>10</u> <u>11</u> 12
	4.4 Policy and/or procedures are modified as required to ensure performance improvements	1 <u>2</u> 3 4 5 6 7 <u>8</u> 9 <u>10</u> <u>11</u> 12
<b>Required knowledge and understanding</b>		
Policy development relating to environmental sustainability		1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> 9 <u>10</u> <u>11</u> 12
Principles, practices and available tools and techniques of sustainability management relevant to own seafood industry sector, including: <ul style="list-style-type: none"> <li>ecologically sustainable development frameworks</li> <li>ISO 14001 Environmental Management</li> <li>regulated and voluntary strategies developed to manage fishery sustainability, including aquacultural production</li> <li>triple bottom line reporting</li> <li>product stewardship</li> <li>ecological footprinting</li> <li>life cycle analyses</li> <li>global reporting initiatives</li> </ul>		1 2 <u>3</u> <u>4</u> 5 <u>6</u> 7 8 9 10 <u>11</u> 12
Best practice approaches relevant to own workplace and seafood industry sector		1 2 <u>3</u> 4 5 6 7 8 9 10 <u>11</u> 12
Relevant systems and procedures to aid in the achievement of sustainability in the workplace and seafood industry sector		1 <u>2</u> <u>3</u> 4 <u>5</u> <u>6</u> 7 <u>8</u> 9 10 11 12
Quality assurance systems relevant to own enterprise		1 2 <u>3</u> 4 5 6 7 8 9 10 11 12
Other relevant enterprise policies, procedures and protocols		1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 <u>11</u> 12
Equal employment opportunity, equity and diversity principles and occupational health and safety implications of policy being developed		1 <u>2</u> 3 4 5 6 7 8 9 10 <u>11</u> 12
<b>Required skills and attributes</b>		
Facilitate teams		1 <u>2</u> 3 4 <u>5</u> 6 <u>7</u> 8 9 10 <u>11</u> 12
Consult and validate policy with work group		1 <u>2</u> 3 4 5 <u>6</u> <u>7</u> 8 9 10 <u>11</u> 12

Adjust communication to suit different audiences		1 2 3 4 5 6 <u>7</u> 8 9 10 <u>11</u> 12
Respond to diversity, including gender and disability		1 2 3 4 5 6 <u>7</u> 8 9 10 <u>11</u> 12
Influence others with accurate, researched argument		1 2 <u>3</u> 4 <u>5</u> 6 <u>7</u> 8 9 10 11 12
Key Competencies		
Key Competencies	Level	Evidence
Communicating ideas and information	2	Discussing with stakeholders possible approaches to policy development and implementation Contributing to the resolution of disputes amongst stakeholders
Collecting, analysing and organising information	3	Gathering information from a number of sources (including regulatory sources, relevant personnel and enterprise specifications) to provide information and advice
Planning and organising activities	2	Planning the policy development process, including organising meetings with stakeholders
Working with teams and others	3	Consulting with personnel to develop policy for sustainability
Using mathematical ideas and techniques	2	Analysing data on enterprise resource consumption
Solving problems	2	Resolving disputes amongst stakeholders Devising approaches to policy implementation
Using technology	1	Using software systems for recording and filing measurement data of current usage Using word processing and other basic software for interpreting charts, flowcharts, graphs and other visual data and information
Innovative skills	1	Identifying improvements Benchmarking against industry best practice and attempting new approaches to sustainability

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
SFIEMS501A Develop workplace policy for sustainability	<ul style="list-style-type: none"> <li>• Develop workplace sustainability policy</li> <li>• Communicate the policy</li> <li>• Implement the policy</li> <li>• Review policy implementation</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## BSBMGT609A Manage risk

### Assessment plan

<b>Unit title</b>	<b>BSBMGT609A Manage risk</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example risk assessments, tables, audit checklists, risk management strategy, Standard Operating Procedures (SOPs), workplace records, job roles, agendas and minutes of meetings, correspondence)</p> <p>--- portfolio of worksheets from participation in EMS working group</p> <p>--- presentation</p> <p>--- interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended.)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• legislation, codes and national standards relevant to the workplace.</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• risks that may be relevant to the business</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	<p>This unit is about managing risk. It is not about being an expert in every facet of the business and/or doing all of the risk management planning and implementation. There needs to be clear evidence of a systematic approach to the identification of risk in each of the relevant categories and the development plans to eliminate, isolate or protect people (and/or equipment) in the event of the potential negative event occurring.</p> <p>Note: Persons or organisations engaged in assessing managers in this unit need to themselves have appropriate qualifications and experience in risk management as well as assessment.</p>

<b>Unit title</b>	<b>BSBMGT609A Manage risk</b>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>
<b>Resource requirements:</b>	Access to workplace documentation.
<b>Links to other units:</b>	This unit could be co-assessed with any other unit in which risk analysis and risk management are an integral part, especially BSBMGT610A Manage environmental management systems.
<b>Special workplace condition:</b>	The person undertaking this role would be involved in strategic management. This competency is a foundation unit for other strategic management units, and incorporates an assessment of all potential risks facing the organisation and the development of strategies and plans to mitigate all risk situations through elimination, isolation or protection.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets provide evidence of a risk management in the category of environment and sustainability. Further evidence will be required to demonstrate risk management in other categories within the business.</p> <p>Worksheet 7 Legal register  Worksheet 8 Risk assessment  Worksheet 9 Ranking risks &amp; Corrective action  Worksheet 10 Risk report  Worksheet 22 Management review</p>

## BSBMGT609A Manage risk

### Assessment instrument and Recognition checklist

#### List any training or group work that has helped you develop the knowledge and skill for this competency?

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited and who was the training provider, facilitator or presenter

#### Describe how you have used your skills and understanding of this competency within the business and industry area.

#### How has the business/workplace benefited from the application of this competency

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<b>Evidence of competence</b> (The sample evidence is provided by a managing director of a multi-level business, which has a fishing fleet, processing plant and retail outlet. It is intended as a guide for the assessor and candidate.)
1	Portfolio of documents and information compiled during the development of the risk management plan each notated by the candidate to explain significance and any processes that underpin it: <ul style="list-style-type: none"> <li>a) notes from board and senior management meeting showing company's concern and vulnerability to economic impact of overseas imports and falling catch, regulations with OHS on vessels and in processing, and in fisheries management, ability to recall product, equipment failure, disposal of waste, community attitudes based on the appearance of the factory, and guaranteed supply of labour</li> <li>b) audit report provided by external risk assessment consultant at the request of the candidate. A followup email from the consultant thanks the candidate for his input on the day of the audit.</li> <li>c) notes from senior management meeting where the ability of the organisation to reduce or control the likelihood of incidents or consequences as outlined in the Audit report is considered</li> <li>d) matrix used as the basis of a risk register showing probability and consequence of risk.</li> </ul>
2	Risk management plan which includes: <ul style="list-style-type: none"> <li>a) risk management policies (references to education and training for appropriate personnel highlighted)</li> <li>b) requirement to utilise external expertise in waste management, OHS and product recall</li> <li>c) risk register, including strategies and plans in place to deal with any even/incident that might occur; and criteria for evaluating risk</li> <li>d) procedures for on-going identification of risks, evaluation of the plan and reporting of incidents and near-misses</li> <li>e) Worksheets 8, 9, 10 and 11.</li> </ul>
3	Portfolio of documents to demonstrate the successful implementation of the plan. It includes: <ul style="list-style-type: none"> <li>a) records showing that sources of risks have been identified, and the risks analysed using criteria listed in the risk management plan. Records show follow up action taken appropriate to the level of risk and consistent with risk management plan. Records show strategies used for risk minimisation.</li> <li>b) risk monitor list – showing risks that have been classified as low/acceptable</li> </ul>



4	<p>Portfolio of documents showing the risk management plan is being evaluated. It includes:</p> <ul style="list-style-type: none"> <li>a) procedures with requirement for risk management activities to be reviewed highlighted</li> <li>b) supporting minutes from meetings where review of risk management activities has been initiated, reported on and recommendations made</li> <li>c) reports on risk control activities, incidents and near misses showing investigation into cause and response and follow-on action.</li> </ul>
5	<p>Documentation from projects, business activities, and new and modified equipment and processes showing risk management is taking place. Specific examples provide risk assessment documentation from:</p> <ul style="list-style-type: none"> <li>a) new fishing vessel commissioned</li> <li>b) fish handling and storage procedures altered</li> <li>c) changed fishing regulations</li> <li>d) high turn-over of staff, and increase in non-English speaking factory workers</li> <li>e) Worksheet 22.</li> </ul>
6	<p>Interview and questions by assessor to ascertain the candidate's understanding and knowledge of:</p> <ul style="list-style-type: none"> <li>a) the legislation that affects the company</li> <li>b) the company's strategic, tactical and operational plans</li> <li>c) the company's capability to deal with events/incidents</li> <li>e) process analysis skills and how they are used to identify potential risks and hazards.</li> </ul>
7	<p>Interview and questions by assessor to clarify how the candidate:</p> <ul style="list-style-type: none"> <li>a) approaches consultative processes</li> <li>b) would deal with individual's or groups in the company that are dysfunctional in relation to the company's performance in the area of risk management</li> <li>c) approaches problem solving when faced with risks and hazards (any type)</li> <li>d) relates to people from diverse social, cultural and ethnic backgrounds, and physical and mental abilities.</li> </ul>
8	<p>Evidence of attendance at training programs on environmental management and occupational health and safety for managers.</p>

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Develop risk management plan	1.1 Strategic position and policy on risk management are analysed and interpreted	<u>1</u> 2 3 4 5 6 7 8
	1.2 Organisation is audited to identify risk management context and potential areas of risk	<u>1</u> 2 3 4 5 <u>6</u> 7 8
	1.3 Organisational capability to reduce/control the likelihood of both incidents and consequences is analysed	<u>1</u> 2 3 4 5 <u>6</u> 7 8
	1.4 Risk register is developed incorporating a probability/consequence matrix	<u>1</u> 2 3 4 5 6 7 8
	1.5 Risk management policies are documented and include provisions for training/education of all relevant groups and individuals	1 <u>2</u> 3 4 5 6 7 8
	1.6 Access to external specialist assistance is identified within the plan	1 <u>2</u> 3 4 5 6 7 8
<u>1</u> <u>2</u> 3 4 5 <u>6</u> 7 8	1.7 Procedures for on going identification of risks are established	1 <u>2</u> 3 4 5 6 7 8
2. Implement risk management plan	2.1 Monitoring of activities to identify potential risk is undertaken continuously	1 2 <u>3</u> 4 5 <u>6</u> <u>7</u> 8
	2.2 Sources of risk are clearly documented and analysed	1 2 <u>3</u> 4 5 <u>6</u> <u>7</u> 8
	2.3 Risks are examined in terms of the criteria in the risk management plan	1 2 <u>3</u> 4 5 <u>6</u> <u>7</u> 8
	2.4 Risks classified as low/acceptable are placed on a monitor/review watch list	1 2 <u>3</u> 4 5 <u>6</u> 7 8
	2.5 Risks that are unacceptable are eliminated wherever practicable	1 2 <u>3</u> 4 5 <u>6</u> 7 8
	2.6 Risks that cannot be eliminated are mitigated/minimised in accordance with the risk management plan	1 2 <u>3</u> 4 5 <u>6</u> 7 8
1 2 <u>3</u> 4 5 <u>6</u> <u>7</u> 8	2.7 Strategies for risk minimisation are documented	1 2 <u>3</u> 4 5 <u>6</u> 7 8

3.	Evaluate risk management plan	3.1	Procedures are in place to review risk management activities regularly	1 <u>2</u> 3 <u>4</u> 5 6 7 8
		3.2	Activities which do not achieve their objectives/performance outcomes are examined to determine cause	1 2 3 <u>4</u> 5 <u>6</u> 7 8
		3.3	Incidents which occur that indicate a near miss are analysed and the risk management plan reviewed on each occasion	1 2 3 <u>4</u> 5 <u>6</u> 7 8
	1 <u>2</u> 3 <u>4</u> 5 <u>6</u> 7 8	3.4	Evaluation of risk management is a key component of all projects/activities	1 2 3 4 <u>5</u> <u>6</u> 7 8
<b>Required knowledge and understanding</b>				
Relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti discrimination				<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u>
Strategic, tactical and operational plans of the organisation				<u>1</u> <u>2</u> 3 4 5 <u>6</u> 7 8
Organisational capability to deal with events/incidents				<u>1</u> <u>2</u> 3 4 5 <u>6</u> 7 <u>8</u>
Disaster/emergency/evacuation plans				<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 6 7 <u>8</u>
Legal requirements for operating the business				<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> <u>6</u> 7 <u>8</u>
Relevant awards and industrial agreements				<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> <u>6</u> 7 <u>8</u>
Workplace standards for OHS and environmental requirements				<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 <u>8</u>
<b>Required skills and attributes</b>				
Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input				<u>1</u> <u>2</u> <u>3</u> 4 5 6 <u>7</u> 8
Conflict management skills to mediate, negotiate and/or attempt to obtain consensus between individuals/groups in conflict situations which are dysfunctional in relation to the organisation's performance				1 2 3 4 5 6 <u>7</u> 8
Process analysis skills to identify potential risks/hazards of any type				1 <u>2</u> <u>3</u> 4 5 <u>6</u> 7 8
Problem solving skills to deal effectively with risks and hazards as identified				<u>1</u> <u>2</u> <u>3</u> 4 <u>5</u> 6 <u>7</u> <u>8</u>
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities				1 2 3 4 5 <u>6</u> <u>7</u> 8
<b>Key Competencies</b>				
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>	
Collecting, analysing and organising information	3	To conduct the risk management audit	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8	

Communicating ideas and information	3	To educate managers about the importance of the risk management plan	1 <u>2</u> 3 4 5 6 7 8
Planning and organising activities	3	To develop appropriate mitigation strategies	1 2 <u>3</u> 4 5 6 7 8
Working with teams and others	3	To simulate/test the effectiveness of the risk management plan	1 2 3 <u>4</u> <u>5</u> 6 <u>7</u> 8
Using mathematical ideas and techniques	2	To calculate probability and consequences associated with risk	<u>1</u> <u>2</u> 3 4 5 6 7 8
Solving problems	3	To eliminate and/or minimise risk	<u>1</u> <u>2</u> 3 4 <u>5</u> 6 7 8
Using technology	2	To provide timely access to risk management documentation	1 <u>2</u> <u>3</u> <u>4</u> 5 6 7 8

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
BSBMGT609A Manage risk	<ul style="list-style-type: none"> <li>• Develop risk management plan</li> <li>• Implement risk management plan</li> <li>• Evaluate risk management plan</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process?                      YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## BSBMGT610A Manage environmental management systems

### Assessment plan

<b>Unit title</b>	<b>BSBMGT610A Manage environmental management systems</b>
<b>Purpose of assessment:</b>	<p>--- Recognition of Prior Learning, or Recognition of Current Competency</p> <p>--- third-party audit, for example ISO14001</p> <p>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)</p> <p>Please tick</p>
<b>Methods of assessment to be used:</b>	<p>--- portfolio of workplace documentation, (for example risk assessments, tables, audit checklists, risk management strategy, Standard Operating Procedures (SOPs), workplace records, job roles, agendas and minutes of meetings, correspondence)</p> <p>--- portfolio of worksheets from participation in EMS working group</p> <p>--- presentation</p> <p>--- interview</p> <p>--- observation</p> <p>--- short questions (oral or written)</p> <p>--- third-party verification</p> <p>--- third-party testimonial</p> <p>Please tick (A range of methods is recommended.)</p>
<b>Range of variables:</b>	<p>List:</p> <ul style="list-style-type: none"> <li>• environmental management policies relevant to the enterprise</li> </ul> <p>_____</p> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> <li>• applicable legislation, codes of practice, national standards</li> </ul> <p>_____</p> <p>_____</p>
<b>Overview of evidence required to demonstrate competence:</b>	<p>Evidence must be provided of the ability to develop and establish environmental management policies, systems and procedures in regard to managing sustainable business practices while encompassing environmental sustainability as an integral part of business planning.</p> <p>Evidence must be strictly relevant to the particular management role and is not intended to include detailed technical aspects of environmental science.</p>
<b>Communication with the candidate:</b>	<p>Communication with the candidate addresses:</p> <ul style="list-style-type: none"> <li>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)</li> <li>• grievance and appeals process</li> <li>• whether the candidate is ready for assessment</li> <li>• offer of Recognition of Prior Learning or Current Competency</li> <li>• time, place and duration of assessment</li> <li>• any requirement to take into account special needs.</li> </ul>

<b>Unit title</b>	<b>BSBMGT610A Manage environmental management systems</b>
<b>Resource requirements:</b>	Access to workplace documentation.
<b>Links to other units:</b>	This unit is related to BSBMGT505A Ensure a safe workplace and BSBMGT507A Manage environmental performance. It could be co-assessed with BSBMGT609A Manage risk.
<b>Special workplace condition:</b>	The workplace has integrated environmental management policies and procedures.
<b>Relationship to the Seafood EMS program:</b>	<p>The following Seafood EMS Worksheets may provide some evidence of development of an environmental management system. For the purposes of assessment of the competency BSBMGT610A <i>Manage environmental management systems</i> the evidence must be the work of the candidate. It is also expected that being a competency at AQF 6 level the candidate will be managing multiple environmental management systems and be in a position of senior management within a business with complex environmental issues and external stakeholders.</p> <p>Worksheet 6 Record your scope  Worksheet 7 Legal register  Worksheet 8 Risk assessment  Worksheet 9 Ranking risks  Worksheet 10 Risk report  Worksheet 11 Record your policy  Worksheet 12 Record your EMS management  Worksheet 18 Training plan  Worksheet 21 Audit policy and procedures  Worksheet 22 Management review</p>

## BSBMGT610A Manage environmental management systems

### Assessment instrument and Recognition checklist

**List any training or group work that has helped you develop the knowledge and skill for this competency?**

For example– formal training, EMS group, research, seminar.

Provide details as relevant, for example title (if known), duration and length, content (be brief), whether it was accredited or non-accredited and who was the training provider, facilitator or presenter

**Describe how you have used your skills and understanding of this competency within your business (or workplace)**

**How has the business/workplace benefited from your application of this competency**

Consider the triple bottom line – economic, environmental and social impacts

Please list the evidence of competence below.

	<p><b>Evidence of competence</b> (The sample evidence is provided by the general manager of an aquaculture enterprise which has three different operations over two states, one on land, and the other two sea-based. It is intended as a guide for the assessor and candidate.)</p>
1	Competence in the unit BSBMGT609A Manage risk – the risk management plan and strategies are the foundation on which environmental management policies are developed. These are then addressed in environmental management systems (EMSs) as they are developed.
2	Presentation (in PowerPoint, with speaker notes) given to directors and shareholders on the importance of environmental sustainability to all aspects of the company's operations – stock health, growth rates and quality; OHS of employees and the general public; community perceptions of the product and company; site sustainability including natural land and water features, equipment and infrastructure, access and transport routes.
3	Documentation for EMSs for each of the three sites which focus on ecological sustainability, and providing a safe, clean environment for stock, with guaranteed quality water supply; and another EMS for the company which focuses on increased efficiency in the use of resources, the use of alternative energy sources, and presenting the company as environmentally responsible. One of the site EMSs fits into a wider regional EMS that is addressing sustainability issues shared by other aquaculturists, of water quality from agricultural run-off, guarantee of supply and viable stocking levels.



4	<p>Policy and procedures that support the various EMSs. Highlighted are relevant sections showing that:</p> <ul style="list-style-type: none"> <li>a) stakeholders are also expected to meet high standards of environmental performance, suitable innovation and continuous improvement</li> <li>b) triple bottom line principles are supported</li> <li>c) the company is committed to maximising opportunities to improve environmental management performance, increase efficiency and to use alternative energy sources</li> <li>d) the company is committed to minimising environmental impacts from its operations</li> <li>e) environmental sustainability is considered an integral part of business planning, and a business opportunity</li> <li>f) processes are in place for an integrated on-going review of the EMSs. For example an EMS review committee operates at each site, risks identified in the risk management plan are constantly being monitored, all personnel know the reporting procedures for ideas and innovations, issues and emerging risks</li> <li>g) Worksheets 7-12.</li> </ul>
5	<p>Documentation associated with the construction of a large pond shows that environmental management has been addressed at the planning, design and evaluation stages:</p> <ul style="list-style-type: none"> <li>a) risk assessment and subsequent risk management plan, and risk control strategies</li> <li>b) adjustments to the site EMS were made to accommodate the new pond and its associated work activities.</li> </ul>
6	<p>Water monitoring program and ecosystem study; accompanied by candidate's account of his role in lobbying for a joint industry and university-funded research program to establish base parameters over a two year period. Under the ecological sustainability policy, a need to be able to monitor changes in marine life and habitat meant that base data was required as a benchmark.</p>
7	<p>Graphic display and report on a pilot wind and solar power generation scheme being trialled on one of the more remote sites. The report includes a media article on the candidate's role in firstly raising the idea, and letters and emails sent by candidate lobbying alternate power firms to run trials with new German technology.</p>
8	<p>Demonstration of modified harvest containers and lifting equipment to reduce manual handling of catch. A report showing designs and trials leading up to the present system, the cost benefit of the system after taking into account the cost of injury from the previous method over a similar period. A target had been set twelve months earlier to achieve a 0 hrs lost to manual handling related injury or strain.</p>
9	<p>Financial reports showing the potential cost benefit of the alternate power generation.</p>
10	<p>Training system and supporting records showing the systematic training and professional development of personnel in continuous improvement and innovation policies and procedures over the last twelve months, and the plans for the coming twelve months. Worksheet 18.</p>
11	<p>Minutes from senior management meetings and board meetings are notated to show that organisational performance is evaluated and assessed, and that changes to policy are made to promote improvement and sustainable innovation as necessary. Examples included the cost of fuel for vessels. The expense was benchmarked against other aquaculture businesses of a similar size and found to be significantly higher. Investigation found that using a larger but lighter vessel, fuel consumption could be reduced and less trips were required. It also meant that boat trailers being lighter did less damage in sandy areas. The shape of the larger vessel meant that the trailers required only minor modifications.</p>
12	<p>Interview and questions by the assessor to ascertain the candidate's:</p> <ul style="list-style-type: none"> <li>a) understanding and knowledge of policy development and business development, systems analysis and design principles, performance benchmarking and indicator development, supply chain management</li> <li>b) understanding and knowledge of legislation, environmental issues and ecological systems in so far as they relate to the business</li> <li>c) ability to communicate and consult, help others to resolve conflicts and reach consensus</li> <li>d) ability to apply process analysis skills, problem solving skills and planning and evaluation skills in so far as they relate to environmental impacts and opportunities.</li> <li>e) ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities.</li> </ul>

Element	Performance criteria	Assessor use only
<i>Underline numbers of evidence relevant to this element</i>		<i>Underline numbers of evidence relevant to criteria</i>
1. Follow workplace procedures for environmental work practices	1.1 Environmental management policies that reflect the organisation's commitment to environmental sustainability are developed	1 2 3 4 5 6 7 8 9 10 11 <u>12</u>
	1.2 Environmental sustainability is identified as an integral part of business planning and promoted as a business opportunity	1 2 3 4 5 6 7 8 9 10 11 12
	1.3 Policies encourage all stakeholders to meet high standards of environmental performance and to support sustainable innovation and continuous improvement	1 2 3 <u>4</u> 5 6 7 8 9 10 11 <u>12</u>
	1.4 Policies and procedures are established to incorporate and support triple bottom line principles	1 <u>2 3 4</u> 5 6 7 8 9 10 11 <u>12</u>
	1.5 Policies are established which maximise opportunities and minimise environmental impacts	1 <u>2 3 4 5</u> 6 7 8 9 10 11 <u>12</u>
1 2 3 4 5 6 7 8 9 10 11 <u>12</u>	1.6 Environmental management is addressed at the planning, design and evaluation stages of any change in the workplace to ensure that ongoing impacts and opportunities are identified	1 2 3 4 <u>5</u> 6 7 8 9 10 11 <u>12</u>
2. Participate in the improvement of environmental work practices	2.1 Changing trends and opportunities relevant to the organisation are identified, evaluated and taken into consideration for ongoing improvement programs	1 2 3 4 5 <u>6 7 8</u> 9 10 11 12
	2.2 Continuous improvement and sustainable innovation are promoted as an essential part of doing business and as a context for assessment and planning of environmental performance	1 2 3 4 5 <u>6 7 8</u> 9 10 <u>11 12</u>
	2.3 Continuous improvement and innovation policies and procedures, which include training and professional development, are established to optimise the environmental performance of the organisation	1 2 3 <u>4</u> 5 6 7 8 9 <u>10 11 12</u>

	2.4	A system is established to analyse and communicate the costs and benefits of innovations and improvements and to measure, monitor and record environmental performance	1 2 3 4 5 6 7 <u>8</u> <u>9</u> 10 11 12
1 2 3 <u>4</u> 5 <u>6</u> 7 8 9 <u>10</u> 11 <u>12</u>	2.5	Performance benchmarks and indicators are established and targets are set to maximise continuous improvement	1 2 3 4 5 <u>6</u> 7 8 9 10 11 <u>12</u>
3. Maintain environmental records	3.1	Processes are developed to ensure that an integrated ongoing review is part of the organisation's policy and procedures	1 2 3 <u>4</u> 5 6 7 8 9 10 <u>11</u> <u>12</u>
1 2 3 <u>4</u> 5 6 7 8 9 10 <u>11</u> <u>12</u>	3.2	Organisational performance is subject to ongoing evaluation and assessment, and changes to policies are made as required to promote improvement and sustainable innovation	1 2 3 4 5 6 7 8 9 10 <u>11</u> <u>12</u>
<b>Required knowledge and understanding</b>			
Relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti discrimination		1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 <u>12</u>	
Required knowledge is to be limited to that which is sufficient to perform the particular management function and is intended to promote environmental awareness rather than technical environment competencies			
Concepts of policy development and business planning		1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 <u>12</u>	
Relevant system analysis and design principles		1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 <u>12</u>	
Performance benchmarking and indicator development relevant to organisation's activities		1 2 3 4 5 <u>6</u> 7 8 9 10 11 <u>12</u>	
Environment sustainability as a "whole system" approach		<u>1</u> <u>2</u> <u>3</u> 4 5 6 7 8 <u>9</u> 10 11 <u>12</u>	
Techniques to measure sustainability		1 2 3 4 5 <u>6</u> 7 8 <u>9</u> 10 11 12	
Quality systems		1 2 3 4 5 6 7 8 9 10 11 <u>12</u>	
Supply chain management		1 2 3 4 5 6 7 8 9 10 11 <u>12</u>	
Strategies to maximise opportunities		1 <u>2</u> <u>3</u> 4 5 6 7 8 9 10 11 <u>12</u>	

Environment impact minimisation strategies	1 2 <u>3</u> 4 5 6 7 8 9 10 11 <u>12</u>			
Relevant knowledge of environmental issues, especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation	<u>1</u> 2 3 4 5 6 7 8 9 10 11 12			
Relevant knowledge of ecological systems in regard to business operation	1 <u>2</u> 3 4 5 6 7 8 <u>9</u> 10 <u>11</u> <u>12</u>			
<b>Required skills and attributes</b>				
Communication/consultation skills to ensure all relevant groups and individuals are advised of what is occurring and are provided with an opportunity for input	1 <u>2</u> 3 4 5 6 7 8 9 10 11 <u>12</u>			
Conflict resolution skills to mediate, negotiate and/or attempt to obtain consensus between parties	1 2 3 4 5 6 7 8 9 10 11 <u>12</u>			
Planning and evaluation skills to develop policies and procedures	<u>1</u> <u>2</u> <u>3</u> <u>4</u> 5 6 7 8 9 10 11 12			
Process analysis skills to identify potential environmental and ecological impacts and opportunities	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> 9 10 <u>11</u> <u>12</u>			
Problem solving skills to deal effectively with environmental impacts and opportunities as identified	1 2 <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> 8 9 10 11 12			
Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities	<u>1</u> <u>2</u> 3 4 5 6 7 8 9 <u>10</u> <u>11</u> <u>12</u>			
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>	<b>Evidence</b>	
Collecting, analysing and organising information	3	To aid planning and development of management systems	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> 9 10 11 12	
Communicating ideas and information	3	To promote environmental policies as an integral part of the organisation's operations	1 <u>2</u> 3 4 5 6 7 8 9 10 11 12	
Planning and organising activities	3	To develop environmental management strategies	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> 9 10 11 12	
Working with teams and others	3	To negotiate, consult and to gain support for environmental issues	<u>1</u> <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> 10 11 <u>12</u>	
Using mathematical ideas and techniques	3	To aid planning and development	1 2 3 4 <u>5</u> <u>6</u> <u>7</u> <u>8</u> 9 10 11 12	
Solving problems	3	To develop management strategies	<u>1</u> 2 <u>3</u> <u>4</u> 5 6 7 8 9 10 11 12	
Using technology	3	To access and record information	1 <u>2</u> <u>3</u> <u>4</u> <u>5</u> <u>6</u> <u>7</u> <u>8</u> <u>9</u> 10 11 <u>12</u>	

Name of Candidate: \_\_\_\_\_

This assessment addresses the requirements of:

Unit of competency	Elements
BSBMGT610A Manage environmental management systems	<ul style="list-style-type: none"> <li>• Establish an environmental management system</li> <li>• Manage innovation and improvement</li> <li>• Review environmental management system</li> </ul>

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ASSESSOR'S SIGNATURE: \_\_\_\_\_

ASSESSOR'S NAME and QUALIFICATIONS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CANDIDATE'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

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