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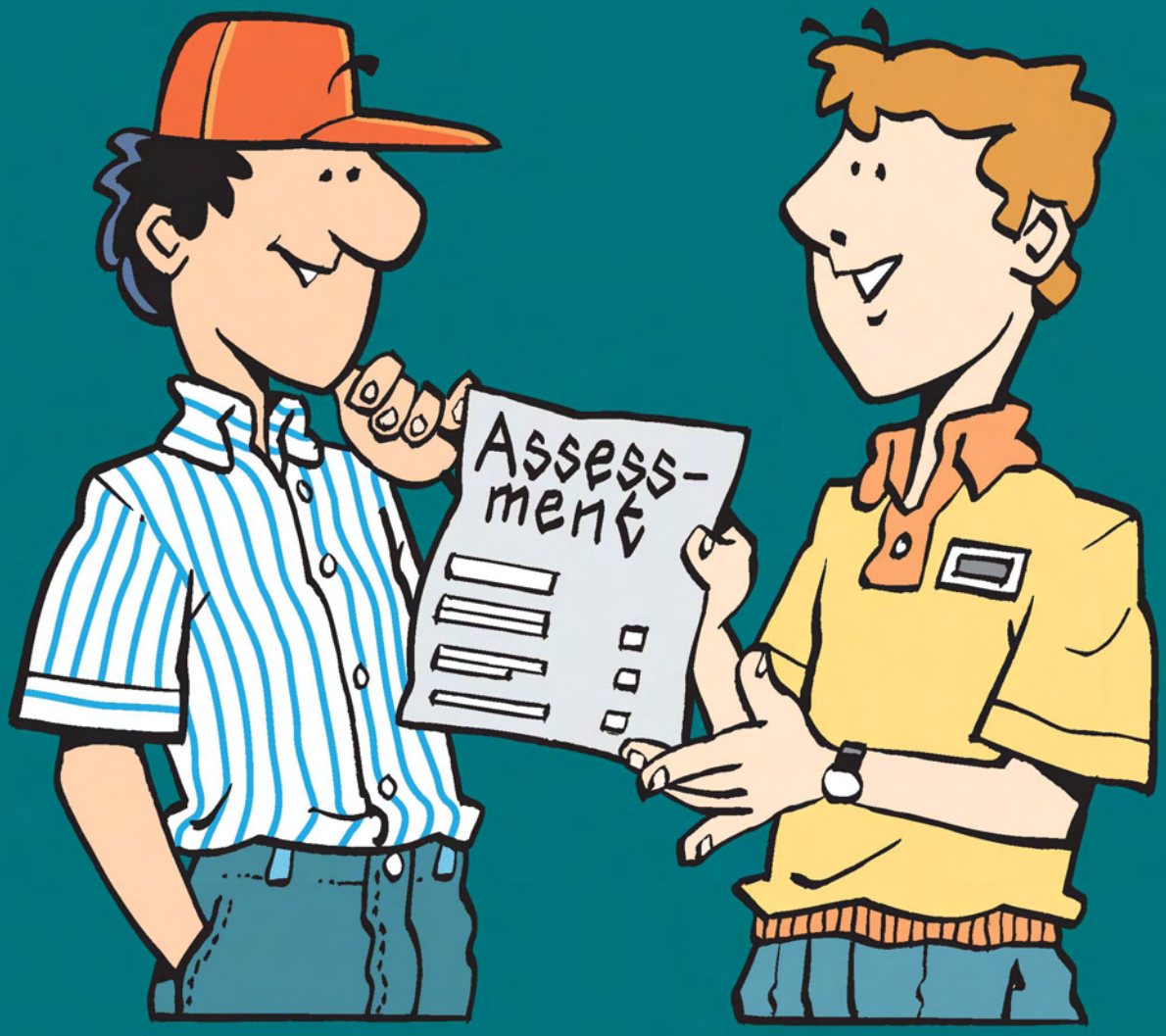
# Seafood EMS
# Assessor's Guide

... to help in judging EMS skills and knowledge




SEAFOOD SERVICES
AUSTRALIA

LEADERS IN INDUSTRY DEVELOPMENT

SEMS

# 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**

SEAFOOD SERVICES AUSTRALIA

Natural Heritage Trust
Helping Communities Helping Australia
A Commonwealth Government Initiative

Australian Government
Fisheries Research and Development Corporation

*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.

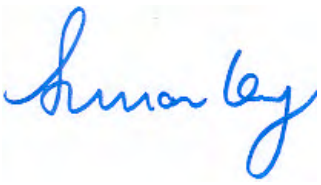
The seafood industry's achievements have built on longstanding research and development investment in environmental management by the Fisheries Research and Development Corporation. The recent successful outcomes of the six pilot projects were enabled by timely investment by the Australian Government, 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** — 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[1] 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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1 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

# 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 BSBCMN313A 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 BSBCMN215A 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 | |
| BSBCMN215A Participate in environmental work practices[2] | BSBCMN313A Maintain environmental procedures | BSBCMN413A Implement and monitor environmental policies | BSBMGT507A Manage environmental performance | BSBMGT610A Manage environmental management systems |
| | | BSBCMN416A 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

2 The unit *BSBCMN215A 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:

| | |
|---|---|
| **BSBCMN215A** | **Participate in environmental work practices** |
| **SFIEMS201A** | **Participate in environmentally sustainable work practices** |
| **BSBCMN313A** | **Maintain environmental procedures** |
| **SFIEMS301A** | **Implement and monitor environmentally sustainable work practices** |
| **SFIEMS302A** | **Act to prevent interaction with protected species** |
| **BSBCMN413A** | **Implement and monitor environmental policies** |
| **BSBCMN416A** | **Identify risk and apply risk management processes** |
| **SFIEMS401A** | **Conduct an internal audit of an environmental management system** |
| **RTD4804A** | **Develop community networks** |
| **SFIEMS501A** | **Develop workplace policy for sustainability** |
| **BSBMGT609A** | **Manage risk** |
| **BSBMGT610A** | **Manage environmental management systems** |

# 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[3] 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.

3 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. (Go to *Registered Training Organisations*, and Search by *Training Delivery*. Choose *Training Package* and scroll down to *SFI04 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.

# BSBCMN215A Participate in environmental work practices

## Assessment plan

| Unit title | BSBCMN215A Participate in environmental work practices |
|---|---|
| **Purpose of assessment::** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- internal audit<br>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- workplace records and reports<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended) |
| **Range of variables:** | List applicable:<br>• legislation, codes of practice, award or enterprise agreements<br>_____<br>_____<br>• workplace procedures and work procedures<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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.<br>(Evidence must be strictly relevant to the workplace role, and is not intended to include detailed technical aspects of environmental science.) |
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Information about the organisation's environmental management system or plan including workplace procedures. |

| **Unit title** | **BSBCMN215A Participate in environmental work practices** |
|---|---|
| **Links to other units:** | BSBCMN313A Maintain environmental procedures<br>The unit could be co-assessed with SFICORE106A Meet workplace OHS requirements and SFIEMS201A Participate in environmentally sustainable work practices. |
| **Special workplace condition:** | The workplace has an environmental management system or plan in place. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 15 Action plan<br>Worksheet 16 Work programs<br>Worksheet 17 Task sheet<br>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.

| | **Evidence of competence**<br>(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 |
|---|---|---|
| *Underline numbers of evidence relevant to this element* | | *Underline numbers of evidence relevant to criteria* |
| 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 | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 1.2 Environmental hazards in the workplace are recognised and reported to designated personnel according to workplace procedures | 1 2 3 4 5 6 7 8 |
| | 1.3 Changes to work practices and procedures are responded to positively and promptly in accordance with organisational requirements | 1 2 3 4 5 6 7 8 |
| 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 | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 2.2 Suggestions are made for improvements to workplace practices where applicable | 1 2 3 4 5 6 7 8 |
| 3. Maintain environmental records | 3.1 Environmental records are maintained as required according to organisational policies and procedures | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | | |
| **Required knowledge and understanding** | | |
| 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. | | 1 2 3 4 5 6 7 8 |
| Knowledge of environmental hazards/risks associated with own workplace | | 1 2 3 4 5 6 7 8 |
| Relevant environmental systems and procedures for own work area | | 1 2 3 4 5 6 7 8 |
| Reporting procedures | | 1 2 3 4 5 6 7 8 |

| **Required skills and attributes** | |
|---|---|
| Ability to recognise procedures, follow instructions and respond to change | 1 2 3 4 5 6 7 8 |
| Communications skills to enable questions and clarifications relating to work requirements | 1 2 3 4 5 6 7 8 |
| Literacy skills to interpret workplace information | 1 2 3 4 5 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 7 8 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Collecting, analysing and organising information | 1 | To recognise hazards and opportunities | 1 2 3 4 5 6 7 8 |
| Communicating ideas and information | 1 | To raise environmental issues and report as required | 1 2 3 4 5 6 7 8 |
| Planning and organising activities | 1 | To participate in workplace procedures | 1 2 3 4 5 6 7 8 |
| Working with teams and others | 1 | To contribute to responsible workplace practices | 1 2 3 4 5 6 7 8 |
| Using mathematical ideas and techniques | 1 | To interpret workplace information | 1 2 3 4 5 6 7 8 |
| Solving problems | 1 | To recognise and report risks/hazards | 1 2 3 4 5 6 7 8 |
| Using technology | 1 | To access workplace information | 1 2 3 4 5 6 7 8 |

Name of Candidate:_____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| BSBCMN215A Participate in environmental work practices | • Follow workplace procedures for environmental work practices<br>• Participate in the improvement of environmental work practices<br>• Maintain environmental records |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# SFIEMS201A Participate in environmentally sustainable work practices

## Assessment plan

| Unit title | SFIEMS201A Participate in environmentally sustainable work practices |
|---|---|
| **Purpose of assessment::** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- internal audit<br>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- workplace records and reports<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended) |
| **Range of variables:** | List applicable:<br>• legislation, codes of practice directly relevant to workplace role<br>_____<br>_____<br>• workplace policies and work procedures relevant to sustainability and directly relevant to workplace role<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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.<br>Evidence must be strictly relevant to the particular workplace role and is not intended to include detailed technical aspects of environmental science. |
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Information about the organisation's environmental management system or plan including workplace procedures. |

| Unit title | **SFIEMS201A Participate in environmentally sustainable work practices** |
|---|---|
| **Links to other units:** | 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.<br>SFIEMS201A Participate in environmentally sustainable work practices could be co-assessed with SFICORE105A Work effectively in the seafood industry. |
| **Special workplace condition:** | The workplace has an environmental management system or plan, or a policy on sustainability. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 15 Action plan<br>Worksheet 16 Work programs<br>Worksheet 17 Task worksheets |

# 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.

| | **Evidence of competence**<br>(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:<br>a) minutes of meetings where environmental and resource efficiency issues and practices are identified and reviewed (personal contribution highlighted)<br>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:<br>a) standard operating procedures (SOPs) with areas relevant to environmental regulations highlighted<br>b) log book showing participation over last three months, signed by supervisor (log book has criteria checklist)<br>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 |
|---|---|---|
| *Underline numbers of evidence relevant to this element* | | *Underline numbers of evidence relevant to criteria* |
| 1. Identify current resource use | 1.1 Workplace environmental and resource efficiency issues are identified | 1 2 3 4 5 6 7 8 |
| | 1.2 Resources used in own work role are identified | 1 2 3 4 5 6 7 8 |
| | 1.3 Current usage of resources is measured and documented using appropriate techniques | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 1.4 Workplace environmental hazards are identified and reported to appropriate personnel | 1 2 3 4 5 6 7 8 |
| 2. Comply with environmental regulations | 2.1 Procedures are followed to ensure compliance with relevant environmental regulations | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 2.2 Breaches or potential breaches of relevant environmental regulations are reported to appropriate personnel | 1 2 3 4 5 6 7 8 |
| 3. Seek opportunities to improve resource efficiency | 3.1 Enterprise plans to improve environmental practices and resource efficiency are followed | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 3.2 Suggestions are made for improvements to workplace practices and resource efficiency | 1 2 3 4 5 6 7 8 |
| **Required knowledge and understanding** | | |
| Basic environmental sustainability principles | | 1 2 3 4 5 6 7 8 |
| Environmental and resource hazards and risks associated with the seafood sector in which the individual works | | 1 2 3 4 5 6 7 8 |
| Procedures and processes relevant to the individual's work area that support environmental and resource efficiencies | | 1 2 3 4 5 6 7 8 |
| Environmental laws, regulations and standards and why they are relevant to the work context and seafood industry | | 1 2 3 4 5 6 7 8 |
| Procedures for reporting environmental and resource hazards and risks, and environmental and resource efficiencies and inefficiencies | | 1 2 3 4 5 6 7 8 |
| **Required skills and attributes** | | |
| Recognise procedures and follow instructions | | 1 2 3 4 5 6 7 8 |

| | |
|---|---|
| Support changes to work practices that support environmental and resource efficiencies | 1 2 3 4 5 6 7 8 |
| Question and seek clarification of work requirements | 1 2 3 4 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 6 7 8 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Communicating ideas and information | 1 | Making suggestions for improved processes and reporting where appropriate | 1 2 3 4 5 6 7 8 |
| Collecting, analysing and organising information | 1 | Developing and using tools, such as inspection checklists. | 1 2 3 4 5 6 7 8 |
| Planning and organising activities | 1 | Participating in procedures that contribute to workplace environmental and resource efficiency | 1 2 3 4 5 6 7 8 |
| Working with teams and others | 1 | Working together to identify improved practices | 1 2 3 4 5 6 7 8 |
| Using mathematical ideas and techniques | 1 | Calculating and collating relevant information on company resource consumption | 1 2 3 4 5 6 7 8 |
| Solving problems | 1 | Discussing possible problems and reporting any risks and hazards | 1 2 3 4 5 6 7 8 |
| Using technology | 1 | Using software systems for recording and filing measurement data relating to current usage | 1 2 3 4 5 6 7 8 |
| Innovative skills | 1 | Identifying improvements in work practices<br>Applying learning about resource use to future activities | 1 2 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 | • Identify current resource use<br>• Comply with environmental regulations<br>• Seek opportunities to improve resource efficiency |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# BSBCMN313A Maintain environmental procedures

## Assessment plan

| Unit title | **BSBCMN313A Maintain environmental procedures** |
|---|---|
| **Purpose of assessment::** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- internal audit<br>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- workplace records and reports<br>--- Interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended) |
| **Range of variables:** | List:<br>• applicable legislation, codes of practice, award or enterprise agreements<br>_____<br>_____<br>• applicable workplace procedures and work procedures<br>_____<br>_____<br>• approaches to improving environmental performance<br>_____<br>_____<br>• environmental management policies<br>_____<br>_____<br>• environmental records required by the organisation<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |

| Unit title | **BSBCMN313A Maintain environmental procedures** |
|---|---|
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Information about the organisation's environmental management system or plan including workplace procedures. |
| **Links to other units:** | This unit is related to BSBCMN413A Implement and monitor environmental policies.<br>BSBCMN313A Maintain environmental procedures could be co-assessed with SFIEMS301A Implement and monitor environmentally sustainable work practices and SFIOHS301B Implement OHS policies and guidelines. |
| **Special workplace condition:** | The workplace has integrated environmental management system or plan. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 7 Legal register<br>Worksheet 15 Action plan<br>Worksheet 16 Work programs<br>Worksheet 17 Task worksheets<br>Worksheet 18 Training plan<br>Worksheet 19 Document control<br>Worksheet 20 Emergency response<br>Worksheet 21 Audit policy and procedures<br>Worksheet 22 Management review |

# 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.

| | **Evidence of competence**<br>(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.<br>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 |
|---|---|---|---|
| *Underline numbers of evidence relevant to this element* | | | *Underline numbers of evidence relevant to criteria* |
| 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 | 1 2 3 4 5 6 7 8 9 10 11 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 4 5 6 7 8 9 10 11 12 |
| | 1.3 | Required changes to workplace practices/procedures are responded to promptly and positively | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 1.4 | Contingency plan is implemented immediately when unplanned incidents occur | 1 2 3 4 5 6 7 8 9 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 5 6 7 8 9 10 11 12 |
| | 2.2 | Information is gathered and improvements are suggested to support the development of improved work practices | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 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 6 7 8 9 10 11 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 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 3.2 | Internal and external reporting procedures are identified and maintained as required | 1 2 3 4 5 6 7 8 9 10 11 12 |
| **Required knowledge and understanding** | | | |
| 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 | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Recognition of relevant environmental policies and procedures | 1 2 3 4 5 6 7 8 9 10 11 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 11 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 11 12 |
| Relevant knowledge of ecological systems in regard to business operation | 1 2 3 4 5 6 7 8 9 10 11 12 |
| **Required skills and attributes** | |
| Communication skills to ensure information is supplied to the workgroup | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Literacy skills for comprehending documentation and interpreting environment requirements | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Operational skills including the ability to operate and shut down equipment where required | 1 2 3 4 5 6 7 8 9 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 11 12 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Collecting, analysing and organising information | 2 | To maintain workplace procedures | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Communicating ideas and information | 2 | To resolve environmental issues and to report as required | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Planning and organising activities | 2 | To maintain procedures and support change and improvement | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Working with teams and others | 2 | To gain support in maintaining and improving procedures | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Using mathematical ideas and techniques | 2 | To aid planning | 1 2 3 4 5 6 7 8 9 10 11 12 |

| | | | |
|---|---|---|---|
| Solving problems | 2 | To maintain procedures | 1 2 3 4 5 6 7 8 9<br>10 11 12 |
| Using technology | 2 | To assist work tasks | 1 2 3 4 5 6 7 8 9<br>10 11 12 |

Name of Candidate: _____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| BSBCMN313A Maintain environmental procedures | • Maintain workplace procedures<br>• Support continuous improvement<br>• Maintain recording procedures |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# SFIEMS301A Implement and monitor environmentally sustainable work practices

## Assessment plan

| | |
|---|---|
| **Unit title** | **SFIEMS301A Implement and monitor environmentally sustainable work practices** |
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- internal audit<br>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- workplace records and reports<br>--- Interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended) |
| **Range of variables:** | List:<br>• applicable environmental regulations<br>_____<br>_____<br>• relevant compliance requirements<br>_____<br>_____<br>• relevant stakeholders, key personnel and specialists<br>_____<br>_____<br>• specific environmental and resource efficiency improvement plans in place<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |

| Unit title | **SFIEMS301A Implement and monitor environmentally sustainable work practices** |
|---|---|
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Information about the organisation's environmental management system or plan appropriate to the range of variables above. |
| **Links to other units:** | 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.<br>SFIEMS301A Implement and monitor environmentally sustainable work practices could be co-assessed with BSBCMN313A Maintain environmental procedures. |
| **Special workplace condition:** | The workplace has integrated environmental management policies and procedures. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 7 Legal register<br>Worksheet 15 Action plan<br>Worksheet 16 Work programs<br>Worksheet 17 Task sheet |

# 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.

| | **Evidence of competence**<br>(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:<br>a) environmental regulations applicable to the estuary and the fishing industry in general<br>b) evaluation of procedures used by fishing fleet owner/skippers checking that their operations meet environmental regulations<br>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<br>d) benchmarking data and findings from fleet operations on catch size and quantity, and trawling effort<br>e) analysis of fleet purchasing strategies for diesel and lubricants including volume, storage, recycling etc<br>f) comparison of current trawling techniques with alternatives using supplier and benchmarking data. |
| **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:<br>a) notes, invoices, data and research showing consideration of fuel consumption, power usage, emissions, use of bio-degradable material in consumables and packaging<br>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<br>c) emails to and from suppliers concerning environmental efficiency of their products and materials<br>d) emails to and from clients to ascertain customer demand and interest in "clean and green" seafood<br>e) graphs showing increased value of seafood product since policies and procedures have been in place. |

| | |
|---|---|
| **5** | Documentation showing success of strategies, and that they are monitored:<br>a) newspaper clippings from media coverage of cooperative fishing fleet EMS and it's positive impact on the estuary<br>b) graphs and data of seafood catch and value<br>c) notes and meetings of EMS group showing ongoing commitment and recent strategies – revegetation, collaboration with water catchment boards on waste water control<br>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<br>e) local award received for approach to sustainable development. |
| **6** | Assessor interview and questions to determine candidate:<br>a) understanding and knowledge of environmental sustainability and energy efficiency issues<br>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 |
|---|---|---|---|
| *Underline numbers of evidence relevant to this element* | | | *Underline numbers of evidence relevant to criteria* |
| 1. Investigate current practices in relation to resource usage | 1.1 | Environmental regulations applying to the enterprise are identified | 1 2 3 4 5 6 7 8 |
| | 1.2 | Procedures for assessing compliance with environmental regulations are evaluated for their effectiveness | 1 2 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 2 3 4 5 6 7 8 |
| | 1.4 | Current resource usage is measured and documented by members of the work group | 1 2 3 4 5 6 7 8 |
| | 1.5 | Current purchasing strategies are analysed and documented | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 1.6 | Current work processes are analysed to identify areas for improvement | 1 2 3 4 5 6 7 8 |
| 2. Set targets for improvements | 2.1 | Input is sought from stakeholders, key personnel and specialists | 1 2 3 4 5 6 7 8 |
| | 2.2 | External sources of information and data are accessed as required. | 1 2 3 4 5 6 7 8 |
| | 2.3 | Alternative solutions to workplace environmental issues are evaluated | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 2.4 | Efficiency targets are set | 1 2 3 4 5 6 7 8 |
| 3. Implement performance improvement strategies | 3.1 | Techniques and tools are sourced to assist in achieving efficiency targets | 1 2 3 4 5 6 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 4 5 6 7 8 |
| | 3.3 | Environmental and resource efficiency improvement plans for own work group are integrated with other operational activities and are implemented | 1 2 3 4 5 6 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 | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 3.5 | Costing strategies are implemented to fully value environmental assets | 1 2 3 4 5 6 7 8 |
| 4. Monitor performance | 4.1 | Outcomes are documented and reports on targets are communicated to key personnel and stakeholders | 1 2 3 4 5 6 7 8 |
| | 4.2 | Strategies are evaluated | 1 2 3 4 5 6 7 8 |
| | 4.3 | New targets are set and new tools and strategies are investigated and applied | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 4.4 | Successful strategies are promoted and, where possible, participants are rewarded | 1 2 3 4 5 6 7 8 |
| **Required knowledge and understanding** | | | |
| Standards, guidelines and approaches to environmental sustainability relevant to the seafood sector, such as:<br>• federal, state, territory and local government laws and regulations relating to environmental protection<br>• ecologically sustainable development frameworks<br>• ISO 14001 Environmental Management<br>• regulated and voluntary strategies developed to manage fishery sustainability, including aquacultural production<br>• triple bottom line reporting<br>• product stewardship<br>• ecological footprinting<br>• life cycle analyses<br>• global reporting initiative | | | 1 2 3 4 5 6 7 8 |
| Best practice approaches relevant to the seafood industry | | | 1 2 3 4 5 6 7 8 |
| Quality assurance systems relevant to the seafood industry | | | 1 2 3 4 5 6 7 8 |
| Supply chain procedures | | | 1 2 3 4 5 6 7 8 |
| Strategies to maximise opportunities and minimise impacts relevant to the seafood industry | | | 1 2 3 4 5 6 7 8 |

| | |
|---|---|
| Relevant knowledge of environmental and resource energy efficiency issues specific to the seafood industry such as:<br>• by-catch<br>• management and disposal of waste<br>• impact of urban and agricultural development on water quality<br>• marine ecology<br>• catch and disposal monitoring of species, size and quantity<br>• fuel and oil consumption<br>• strategic and emergency response to reduce environmental risks to livelihoods and natural resources, including the marine environment | 1 2 3 4 5 6 7 8 |
| **Required skills and attributes** | |
| Communicate information about environmental sustainability to the work group | 1 2 3 4 5 6 7 8 |
| Consult with the work group on implementation and improvements in environmental and energy efficiency | 1 2 3 4 5 6 7 8 |
| Operate and shut down equipment | 1 2 3 4 5 6 7 8 |
| Manage organisational change associated with the implementation of environmentally sustainable work practices | 1 2 3 4 5 6 7 8 |
| Implement management policies and procedures relating to environmental and energy efficiency relevant to own work area | 1 2 3 4 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 6 7 8 |
| Analyse problems, devise solutions and reflect on approaches taken. | 1 2 3 4 5 6 7 8 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Communicating ideas and information | 2 | Resolving environmental and resource efficiency issues with work group and reporting as required | 1 2 3 4 5 6 7 8 |
| Collecting, analysing and organising information | 2 | Recognising and acting upon hazards and opportunities<br>Gathering information from a number of sources (including regulatory sources, relevant personnel and enterprise specifications) to provide information and advice | 1 2 3 4 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 2 3 4 5 6 7 8 |
| Working with teams and others | 2 | Facilitating a team to identify improved practices | 1 2 3 4 5 6 7 8 |

| | | | |
|---|---|---|---|
| Using mathematical ideas and techniques | 2 | Analysing data on organisational resource consumption<br>Analysing data on the volume of organisational waste product | 1 2 3 4 5 6 7 8 |
| Solving problems | 2 | Devising approaches to improved environmental sustainability | 1 2 3 4 5 6 7 8 |
| Using technology | 1 | Using software systems for recording and filing measurement data relating to current usage<br>Using word processing and other basic software for interpreting charts, flowcharts, graphs and other visual data and information | 1 2 3 4 5 6 7 8 |
| Innovative skills | 1 | Identifying improvements<br>Applying learning about resource use to future activities | 1 2 3 4 5 6 7 8 |

Name of Candidate:_____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| SFIEMS301A Implement and monitor environmentally sustainable work practices | • Investigate current practices in relation to resource usage<br>• Set targets for improvements<br>• Implement performance improvement strategies<br>• Monitor performance |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE:

# SFIEMS302A Act to prevent interaction with protected species

## Assessment plan

| Unit title | SFIEMS302A Act to prevent interaction with protected species |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- internal audit<br>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- workplace records and reports<br>--- Interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended) |
| **Range of variables:** | List:<br>• operation addressed in this assessment (aquaculture either land or sea, or commercial fishing)<br>_____<br>_____<br>• the specific protected species under consideration in this assessment<br>_____<br>_____<br>• information relevant to the protected species and this competency<br>_____<br>_____<br>• strategies which will be relevant to the protected species<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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 | **SFIEMS302A Act to prevent interaction with protected species** |
|---|---|
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Resource implications for assessment include access to:<br>• relevant enterprise procedures and workplace personnel<br>• operational environment or simulation that closely resembles an actual workplace.<br>• relevant legislation, standards and guidelines. |
| **Links to other units:** | SFIEMS302A Act to prevent interaction with protected species could be co-assessed with fishing or aquaculture units at AQF level 3 or 4. |
| **Special workplace condition:** | 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. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 7 Legal register<br>Worksheet 8 Risk assessment<br>Worksheet 9 Ranking risks & Corrective action<br>Worksheet 10 Risk report<br>Worksheet 11 Record your policy<br>Worksheet 15 Action plan<br>Worksheet 16 Work programs<br>Worksheet 17 Task sheet<br>Worksheet 18 Training plan<br>Worksheet 20 Emergency response<br>Worksheet 21 Audit policy and procedures<br>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.

| | **Evidence of competence**<br>(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.<br>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 |
|---|---|---|---|
| *Underline numbers of evidence relevant to this element* | | | *Underline numbers of evidence relevant to criteria* |
| 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 3 4</u> 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 3 4</u> 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 4 5</u> 6 7 8 |
| | 2.2 | Resources and equipment required to implement strategies are identified and acquired following enterprise procedures | 1 2 <u>3 4 5</u> 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 4 5</u> 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 6 7 8 |
| | | 3.2 | Options for intervention are evaluated against criteria for a successful outcome | 1 2 3 4 5 6 7 8 |
| | | 3.3 | The preferred option for intervention is selected based on agreed procedures and the outcomes of the evaluation | 1 2 3 4 5 6 7 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 5 6 7 8 |
| | | 3.5 | The intervention is carried out in accordance with agreed procedures | 1 2 3 4 5 6 7 8 |
| | 1 2 3 4 5 6 7 8 | 3.6 | The wellbeing of the animal is monitored before, during and after the intervention | 1 2 3 4 5 6 7 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 7 8 |
| | | 4.2 | Data required by authorities is collected, recorded and relayed as required | 1 2 3 4 5 6 7 8 |
| | | 4.3 | Recommendations for improvement to strategies and interventions are communicated to management following enterprise procedures | 1 2 3 4 5 6 7 8 |
| | | 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 8 |
| | 1 2 3 4 5 6 7 8 | 4.5 | Publicity associated with an interaction or intervention event is handled in accordance with enterprise procedures | 1 2 3 4 5 6 7 8 |
| **Required knowledge and understanding** | | | | |
| Biological and behavioural characteristics of protected species likely to be found in the local area of operation | | | | 1 2 3 4 5 6 7 8 |
| Legislation under which a species is afforded protection | | | | 1 2 3 4 5 6 7 8 |
| Consequences of non-compliance with fisheries and environment legislation | | | | 1 2 3 4 5 6 7 8 |

| | |
|---|---|
| Regulations pertaining to the responsibility of aquaculture and commercial fishing operations to:<br>• prevent or minimise the impact of interactions with endangered, threatened or protected species<br>• intervene to restore the wellbeing of an animal | 1 2 3 4 5 6 7 8 |
| Hazards and risks associated with interaction and interventions with protected species | 1 2 3 4 5 6 7 8 |
| Hierarchy of risk control measures in ensuring a safe work environment | 1 2 3 4 5 6 7 8 |
| Enterprise procedures relating to the implementation of strategies and interventions | 1 2 3 4 5 6 7 8 |
| **Required skills and attributes** | |
| Identify species | 1 2 3 4 5 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 2 3 4 5 6 7 8 |
| Identify hazards, assess risks and apply the hierarchy of risk control measures | 1 2 3 4 5 6 7 8 |
| Evaluate information against criteria for a successful outcome | 1 2 3 4 5 6 7 8 |
| Communicate both in writing and orally | 1 2 3 4 5 6 7 8 |
| Carry out interventions | 1 2 3 4 5 6 7 8 |
| Train personnel in relevant enterprise procedures | 1 2 3 4 5 6 7 8 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Communicating ideas and information | 2 | Training personnel in procedures for preventing or minimising interactions with protected species<br>Relaying information to appropriate authorities | 1 2 3 4 5 6 7 8 |
| Collecting, analysing and organising information | 2 | Collecting data relating to protected species<br>Obtaining information relating to interventions that will promote the wellbeing of an animal | 1 2 3 4 5 6 7 8 |
| Planning and organising activities | 2 | Implementing strategies, including interventions, to prepare for interaction events | 1 2 3 4 5 6 7 8 |
| Working with teams and others | 2 | Carrying out an intervention | 1 2 3 4 5 6 7 8 |

| | | | |
|---|---|---|---|
| Using mathematical ideas and techniques | 1 | Monitoring the number of interactions and interventions<br>Collecting and recording data on species and individual animals | 1 2 3 4 5 6 7 8 |
| Solving problems | 2 | Devising strategies that prevent or minimise the impact of interactions | 1 2 3 4 5 6 7 8 |
| Using technology | 1 | Reducing risks associated with carrying out interventions | 1 2 3 4 5 6 7 8 |
| Innovative skills | 2 | Researching information<br>Developing innovative strategies to prevent interaction with protected species | 1 2 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 | • Determine strategies for preventing or minimising the impact of interactions<br>• Implement strategies<br>• Intervene to restore the wellbeing of an animal<br>• Monitor and report on interactions |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# BSBCMN413A Implement and monitor environmental policies

## Assessment plan

| Unit title | **BSBCMN413A Implement and monitor environmental policies** |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- internal audit<br>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- Workplace records and reports<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended) |
| **Range of variables:** | List applicable:<br>• legislation, regulations, codes of practice, protocols and agreements<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Information about the organisation's environmental management system or plan appropriate to the range of variables. |

| Unit title | **BSBCMN413A Implement and monitor environmental policies** |
|---|---|
| **Links to other units:** | This unit is related to BSBMGT506A Manage environmental performance and BSBCMN313A Maintain environmental procedures.<br>BSBCMN413A 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. |
| **Special workplace condition:** | The workplace has integrated environmental management policies and procedures. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 5 SEMS Agreement form<br>Worksheet 6 Scope of EMS<br>Worksheet 7 Legal register<br>Worksheet 8 Risk assessment<br>Worksheet 9 Ranking risks & Corrective action<br>Worksheet 10 Risk report<br>Worksheet 11 Record your policy<br>Worksheet 15 Action plan<br>Worksheet 16 Work programs<br>Worksheet 17 Task sheet<br>Worksheet 18 Training plan<br>Worksheet 19 Document control<br>Worksheet 20 Emergency response<br>Worksheet 21 Audit policy and procedures<br>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.

| | **Evidence of competence**<br>(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<br>a) induction (and annual re-induction) program with sections on the organisation's environment policy, and environmental management highlighted<br>b) verification sheets signed by workgroup indicating attendance at induction/re-induction sessions<br>c) notes of presentation on waste water quality monitoring given to workgroup. |
| **4** | Documentation showing links between environmental, financial, safety and other risk areas and organisational policies and procedures related to aeration of ponds:<br>a) notes from research and comparison of equipment and methods for effectiveness, capital required, cost of depreciation, installation, operation, maintenance and labour<br>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<br>b) risk assessment tables including OHS, potential for contamination of water, noise, fuel or power consumption including its greenhouse impact<br>c) policy statements showing the organisation's commitment to environmental management<br>d) Standard operating procedures for the operation and maintenance of the aeration equipment notated to show how they minimise impact of identified risks. |

| | |
|---|---|
| **5** | Documentation showing identification of environmental risks and actions taken including changes to work practices and use of experts:<br>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.)<br>b) minutes summarising research, and actions taken in response to these risks<br>c) photographs showing damage to embankments, the construction of reinforced ramps and the stabilisation<br>c) report from agricultural consultant on changing farm practices, potential risks to water quality, and environmental protection by which farmers must abide<br>d) Standard operating procedures showing additional direction on the disposal of plastic waste and permissible vehicle movement. |
| **6** | A range of environmental records:<br>a) water quality test data, graphed and analysed for compliance with EPA requirements<br>b) vehicle maintenance logs<br>c) equipment maintenance logs<br>d) chemical usage diary and chemical stores register<br>e) authorisation papers for stock imported from interstate.<br>Accompanying written explanation:<br>i) describing how records are securely stored and accessed<br>ii) how records are used for analysis of trends, and<br>iii) how analysis of records is used for reporting on environmental performance. |
| **7** | Documentation showing that personnel understand organisation's environmental management system or plan, and follow environmental related procedures relevant to their work responsibilities: *(with environment-related references highlighted)*<br>a) matrix showing job roles and required competencies<br>b) matrix showing environment competencies and related SOPs<br>c) personnel training records<br>d) training schedule for coming year. |
| **8** | Documentation illustrating supply chain involvement in improving environmental performance:<br>a) letters to suppliers requesting confirmation that materials used in their products or packaging was recyclable, or bio-degradable (suppliers of harvest nets. transport baskets, feed suppliers)<br>b) testimonial from feed supplier indicating that candidate negotiated specifications of feeds, to maximise stock growth and to have nil impact on water quality<br>c) notes from meetings with transport company negotiating cold storage and transport facilities and procedures to meet organisation's specifications. |
| **9** | Documentation showing candidate's role in continuous improvement:<br>a) registration of attendance and handouts from aquaculture extension workshops tabout best practice approaches in water quality management<br>b) flow chart and notes showing how changes to water testing and water aeration were researched, tested and eventually implemented<br>c) notes explaining how candidate and organisation handle continuous improvement. |
| **10** | Work records indicating contingency plans are in place and implemented as needed:<br>a) Standard operating procedures for responding to high river levels, quarantining diseased stock, chemical and fuel spillages<br>b) Work logs showing that contingency plans are trialed periodically, or have been implemented. |
| **11** | Manager testimonial verifying job role in implementing and monitoring the organisation's environmental policies. |
| **12** | Interview and questions by the Assessor relating to underpinning knowledge and skills. |

| Element | Performance criteria | | Assessor use only |
|---|---|---|---|
| *Underline numbers of evidence relevant to this element* | | | *Underline numbers of evidence relevant to criteria* |
| 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 3 4 5 6 7 8 9 10 11 12 |
| | 1.2 | Organisation's activities/performance in regard to environmental management and business sustainability are conveyed to work team where required | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.3 | Links between environmental, financial, safety and other risk areas and how these are integrated in organisational policies and practices are explained | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 1.4 | Information on environmental systems and procedures and other risk areas within the area of management responsibility is provided | 1 2 3 4 5 6 7 8 9 10 11 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 4 5 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 5 6 7 8 9 10 11 12 |
| | 2.3 | Organisational environmental policies and procedures are implemented | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 2.4 | Tasks are allocated and outcomes are monitored in accordance with organisational policies and targets | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 2.5 | Contingency plan is implemented promptly when incidents occur | 1 2 3 4 5 6 7 8 9 10 11 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 8 9 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 9<br>10 11 12 |
| | 3.3 | Suggestions and ideas about environmental management are sought from the work team and acted upon where appropriate | 1 2 3 4 5 6 7 8 9<br>10 11 12 |
| 1 2 3 4 5<br>6 7 8 9<br>10 11 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 8 9<br>10 11 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 6 7 8 9<br>10 11 12 |
| | 4.2 | Environmental records are accurately and legibly maintained and stored securely in a form accessible for reporting purposes | 1 2 3 4 5 6 7 8 9<br>10 11 12 |
| 1 2 3 4 5<br>6 7 8 9<br>10 11 12 | 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 6 7 8 9<br>10 11 12 |
| 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 7 8 9<br>10 11 12 |
| 1 2 3 4 5<br>6 7 8 9<br>10 11 12 | 5.2 | Arrangements are made for fulfilling identified training needs for the work group with relevant parties | 1 2 3 4 5 6 7 8 9<br>10 11 12 |
| **Required knowledge and understanding** | | | |
| *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 | | | 1 2 3 4 5 6 7 8 9<br>10 11 12 |
| Relevant environmental systems and procedures | | | 1 2 3 4 5 6 7 8 9<br>10 11 12 |

| | |
|---|---|
| Knowledge of best practice approaches relevant to own work area | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Quality assurance systems relevant to own work area | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Supply chain procedures | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Strategies to maximise opportunities and minimise impacts relevant to own work area | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Relevant knowledge of environmental issues especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation relevant to own work area | 1 2 3 4 5 6 7 8 9 10 11 12 |
| **Required skills and attributes** | |
| Communication skills to ensure information is supplied to the work team | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Consultation skills to assist in workplace negotiations | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Literacy skills for comprehending documentation and interpreting environment requirements | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Operational skills relevant to the workplace, including the ability to operate and shut down equipment | 1 2 3 4 5 6 7 8 9 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 11 12 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Collecting, analysing and organising information | 2 | To provide information and advice | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Communicating ideas and information | 2 | To resolve environmental issues with the work team and external contacts | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Planning and organising activities | 2 | To plan training and to implement change and improvement | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Working with teams and others | 2 | To gain support for environmental policies | 1 2 3 4 5 6 7 8 9 10 11 12 |

| | | | |
|---|---|---|---|
| Using mathematical ideas and techniques | 2 | To aid planning | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Solving problems | 2 | To implement change and maintain procedures | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Using technology | 2 | To assist implementation | 1 2 3 4 5 6 7 8 9 10 11 12 |

Name of Candidate: _____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| BSBCMN413A Implement and monitor environmental policies | • Provide information to the work team<br>• Implement and monitor operational procedures<br>• Implement and monitor change and continuous improvement<br>• Implement and monitor recording procedures<br>• Implement and monitor an environmental management training program |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# BSBCMN416A Identify risk and apply risk management processes

## Assessment plan

| Unit title | **BSBCMN416A Identify risk and apply risk management processes** |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- portfolio of worksheets from participation in EMS working group<br>--- presentation<br>--- Interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended.) |
| **Range of variables:** | List:<br>• applicable legislation, codes of practice, award or enterprise agreements<br>_____<br>_____<br>_____<br>• types of risk (for example environmental, economic, human behaviour, economic, natural events)<br>_____<br>_____<br>• tools being used to identifying risk<br>_____<br>_____<br>• risk categorisations being used<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |

| Unit title | **BSBCMN416A Identify risk and apply risk management processes** |
|---|---|
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Access to workplace documentation is required. |
| **Links to other units:** | This unit could be assessed alone or as part of an integrated assessment activity involving other environment related units. |
| **Special workplace condition:** | The workplace has integrated environmental management policies and procedures. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 6 Scope of EMS<br>Worksheet 7 Legal register<br>Worksheet 8 Risk assessment<br>Worksheet 9 Ranking risks & Corrective action<br>Worksheet 10 Risk report |

# 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.

| | **Evidence of competence**<br>(The evidence listed is an example only of an owner/skipper of fishing vessel, intended as a guide for the assessor and candidate.) |
|---|---|
| 1 | Worksheets 6, 7, 8, 9 and 10 relating to environmental, food safety and OHS risks in the management of the fishing operation. |
| 2 | Documentation relating to the risk assessment of a new fishing technique showing:<br>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<br>b) how risk controls (OHS procedures, additional by-catch devices, locations avoided when fishing) were determined and implemented<br>c) how risk controls were being monitored to ensure effectiveness. |
| 3 | Supporting evidence showing how the risk control strategies were being implemented:<br>a) induction program for deckhands (relevant areas highlighted)<br>b) procedures for setting our and retrieving net, with controls highlighted<br>c) chart showing fishing locations being avoided notated with reasons. |
| 4 | Supporting evidence showing how effectiveness of controls is monitored and reviewed<br>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<br>b) safety incident reports, also compared to records from previous years, and to the records of other fishers<br>c) audit checklists undertaken on risks (Worksheet 21 – Audit policy and review)<br>c) discussion with assessor on improvements and changes made as a result of use of risk management process within the fishing operation. |
| 5 | Interview and questions by the Assessor to determine candidate:<br>a) understanding and knowledge of risk management and ability to apply risk assessment and control skills<br>b) attributes to carry our risk assessment and control strategies. |

| Element | Performance criteria | | Assessor use only |
|---|---|---|---|
| *Underline numbers of evidence relevant to this element* | | | *Underline numbers of evidence relevant to criteria* |
| 1. Identify risks | 1.1 | Tools for identification of risks are accessed | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 1.2 | Risks are identified | 1 2 3 4 5 6 7 8 |
| | 1.3 | Identified risks are documented in accordance with relevant policies, procedures and legislation | 1 2 3 4 5 6 7 8 |
| 2. Analyse and evaluate risks | 2.1 | Causes of risk are analysed | 1 2 3 4 5 6 7 8 |
| | 2.2 | Potential impact of risks is determined | 1 2 3 4 5 6 7 8 |
| | 2.3 | Frequency of exposure to risks is determined | 1 2 3 4 5 6 7 8 |
| | 2.4 | Likelihood of risks is determined | 1 2 3 4 5 6 7 8 |
| | 2.5 | Risks categorisation is undertaken and risk priorities set | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 2.6 | Analysis processes and outcomes are documented | 1 2 3 4 5 6 7 8 |
| 3. Treat risks | 3.1 | Appropriate control measures for risks are determined and assessed for strengths and weaknesses | 1 2 3 4 5 6 7 8 |
| | 3.2 | Risks are continuously monitored | 1 2 3 4 5 6 7 8 |
| | 3.3 | Control measures are identified for all risks | 1 2 3 4 5 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 | 1 2 3 4 5 6 7 8 |
| | 3.5 | Control measures for own area of operation and/or responsibilities are chosen and implemented | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 3.6 | Treatment plans are prepared and implemented | 1 2 3 4 5 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 4 5 6 7 8 |
| | 4.2 | Review results are used to improve the treatment of risks | 1 2 3 4 5 6 7 8 |

| | | |
|---|---|---|
| | 4.3 Assistance is provided to auditing risk in own area of operation | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 4.4 Management of risk in own area of operation is monitored and reviewed | 1 2 3 4 5 6 7 8 |

| | |
|---|---|
| **Required knowledge and understanding** | |
| Legislation, codes of practice and national standards relevant to organisation's operation as a business entity, for example<br>❑ occupational health and safety (OHS), public safety and duty of care<br>❑ company and contract law<br>❑ industrial relations law<br>❑ privacy, confidentiality and freedom of information<br>❑ environmental law<br>❑ Australian/New Zealand risk management standards | 1 2 3 4 5 6 7 8 |
| Organisational policies and procedures:<br>❑ risk management strategy<br>❑ policies and procedures for risk management | 1 2 3 4 5 6 7 8 |
| Auditing requirements | 1 2 3 4 5 6 7 8 |
| **Required skills and attributes** | |
| 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 |
| Risk assessment and treatment skills | 1 2 3 4 5 6 7 8 |
| Auditing skills to assist in audit of own area | 1 2 3 4 5 6 7 8 |
| Monitoring, review and evaluation skills | 1 2 3 4 5 6 7 8 |
| Attributes:<br>❑ safety consciousness<br>❑ concern for continuity of operations<br>❑ thoroughness<br>❑ attention to detail | 1 2 3 4 5 6 7 8 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Collecting, analysing and organising information | 1 | Collecting and analysing data to monitor and review risk management in own area of operations<br>Identifying and analysing risk processes | 1 2 3 4 5 6 7 8 |

| | | | |
|---|---|---|---|
| Communicating ideas and information | 2 | Communicating in writing to monitor and review risk in own area of operations<br>Documenting risk analysis | 1 2 3 4 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 | 1 2 3 4 5 6 7 8 |
| Working with teams and others | 1 | Working with auditors, specialists, other personnel to manage risks | 1 2 3 4 5 6 7 8 |
| Using mathematical ideas and techniques | 1 | Calculating costs of risk treatment options | 1 2 3 4 5 6 7 8 |
| Solving problems | 2 | Applying problem solving techniques to identification of risk and determining treatment options | 1 2 3 4 5 6 7 8 |
| Using technology | 1 | Using software for document production, collation and analysis of data<br>Using software specifically designed for risk management | 1 2 3 4 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 | • Identify risks<br>• Analyse and evaluate risks<br>• Treat risks<br>• Monitor and review effectiveness of treatment of risks |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# SFIEMS401A Conduct an internal audit of an environmental management system

## Assessment plan

| Unit title | **SFIEMS401A Conduct an internal audit of an environmental management system** |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- portfolio of worksheets from participation in EMS working group<br>--- presentation<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended.) |
| **Range of variables:** | List:<br>• the scope of the environmental management system being audited<br>_____<br>_____<br>_____<br>• the standards, regulations, legislation and conventions being met by the environmental management system<br>_____<br>_____<br>• documentation that is required to be recorded and stored for future reference<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |

| Unit title | **SFIEMS401A Conduct an internal audit of an environmental management system** |
|---|---|
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | 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. |
| **Links to other units:** | This unit could be assessed on its own or in combination with other units relevant to the job function. |
| **Special workplace condition:** | The workplace has integrated environmental management policies and procedures. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 7 Legal register<br>Worksheet 21 Audit policy and procedures<br>Worksheet 22 Management review |

# 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.

| | **Evidence of competence**<br>(The evidence listed is an example only of an environmental management officer, intended as a guide for the assessor and candidate.) |
|---|---|
| **1** | Worksheets 7, 21 and 22 |
| **2** | Audit documentation:<br>a) audit plan<br>b) checklist to show conformance and non-conformance<br>c) improvement tools (used to identify suitable corrective actions)<br>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:<br>a) how the components of the environmental management system to be audited were selected<br>b) that there was collaboration with relevant personnel about the audit and regarding strategies for improving the environmental management system<br>c) that the candidate understood the concept of "sufficient evidence" (to identify non-conformance)<br>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 |
|---|---|---|---|
| *Underline numbers of evidence relevant to this element* | | | *Underline numbers of evidence relevant to criteria* |
| 1. Prepare for an internal audit | 1.1 | The scope of the planned audit is determined and the requirements are detailed | 1 2 3 4 5 6 7 8 |
| | 1.2 | Procedures to be audited are identified and relevant documentation is collected | 1 2 3 4 5 6 7 8 |
| | 1.3 | Relevant personnel are briefed, and roles and responsibilities are allocated | 1 2 3 4 5 6 7 8 |
| | 1.4 | A detailed audit plan is developed in consultation with relevant personnel | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 1.5 | A checklist to identify conformance and non conformance is developed | 1 2 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 2 3 4 5 6 7 8 |
| | 2.2 | Continuous improvement and ownership of the audit process are maximised by collaborating with relevant personnel | 1 2 3 4 5 6 7 8 |
| | 2.3 | Sufficient evidence is collected to identify non conforming aspects of the environmental management system | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 2.4 | Evidence is analysed using improvement tools to identify suitable corrective actions | 1 2 3 4 5 6 7 8 |
| 3. Report findings | 3.1 | The internal audit is reported as directed in the audit plan | 1 2 3 4 5 6 7 8 |
| | 3.2 | Findings from the audit process are documented in the required format | 1 2 3 4 5 6 7 8 |
| | 3.3 | Recommendations for corrective actions are presented | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 3.4 | Strategies are provided for the implementation of the corrective actions | 1 2 3 4 5 6 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 5 6 7 8 |

| | | |
|---|---|---|
| | 4.2 An action plan is developed and implemented to improve the environmental management system | 1 2 3 4 5 6 7 8 |
| | 4.3 The effectiveness of the corrective action is evaluated and reported after an agreed time interval | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 4.4 Relevant documentation is recorded and stored appropriately for future access | 1 2 3 4 5 6 7 8 |
| **Required knowledge and understanding** | | |
| Enterprise or cooperative environmental management system | | 1 2 3 4 5 6 7 8 |
| National or international environmental standards and protocols relevant to the audit | | 1 2 3 4 5 6 7 8 |
| Audit processes | | 1 2 3 4 5 6 7 8 |
| Continuous improvement processes | | 1 2 3 4 5 6 7 8 |
| Problem-solving techniques that identify causes of non-conformance and options to remedy problems | | 1 2 3 4 5 6 7 8 |
| Reporting requirements of the workplace or common interest group | | 1 2 3 4 5 6 7 8 |
| Organisational structure of the enterprise or common interest group, including responsibilities and delegated authority of key personnel | | 1 2 3 4 5 6 7 8 |
| Relevant health, safety and environment requirements | | 1 2 3 4 5 6 7 8 |
| **Required skills and attributes** | | |
| Interpret environmental management system documentation | | 1 2 3 4 5 6 7 8 |
| Interpret relevant national and international standards and codes of practice | | 1 2 3 4 5 6 7 8 |
| Develop and document an audit plan, action plan and conformance/ non conformance checklist | | 1 2 3 4 5 6 7 8 |
| Analyse monitoring data | | 1 2 3 4 5 6 7 8 |
| Document and report on findings | | 1 2 3 4 5 6 7 8 |
| Present recommendations | | 1 2 3 4 5 6 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 6 7 8 |
| Collecting, analysing and organising information | 3 | Collecting and analysing evidence<br>Developing and using tools, such as conformance checklists | 1 2 3 4 5 6 7 8 |
| Planning and organising activities | 3 | Developing the audit plan and action plan | 1 2 3 4 5 6 7 8 |
| Working with teams and others | 3 | Consulting with personnel to identify strategies for improved practices | 1 2 3 4 5 6 7 8 |
| Using mathematical ideas and techniques | 3 | Collating and evaluating monitoring data and evidence of improvements. | 1 2 3 4 5 6 7 8 |
| Solving problems | 3 | Providing strategies for the implementation of the corrective actions | 1 2 3 4 5 6 7 8 |
| Using technology | 1 | Using software systems for recording and filing documentation<br>Using software applications for collating and evaluating numerical data | 1 2 3 4 5 6 7 8 |
| Innovative skills | 2 | Identifying improvements | 1 2 3 4 5 6 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 | • Prepare for an internal audit<br>• Conduct the internal audit<br>• Report findings<br>• Complete corrective action |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# RTD4804A Develop community networks

## Assessment plan

| Unit title | RTD4804A Develop community networks |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- portfolio of worksheets from participation in EMS working group<br>--- presentation<br>--- Interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended.) |
| **Range of variables:** | List:<br>• reasons for contacts in the community relevant to this competency<br>_____<br>_____<br>_____<br>• relevant agency/enterprise procedures and guidelines<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |

| Unit title | **RTD4804A Develop community networks** |
|---|---|
| **Resource requirements:** | Environmental management plan or system developed by either a cooperative or regional group or by an individual enterprise. |
| **Links to other units:** | This unit could be assessed alone or as part of an integrated assessment activity involving other environment related units. |
| **Special workplace condition:** | Evidence must demonstrate constructive involvement with a range of community networks over a period of time. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Refer to<br>Worksheet 4 Contacts database<br>Worksheet 6 for the scope of the EMS<br>Worksheet 7 Legal register<br>Worksheet 12 Record your EMS structure<br>Worksheet 13 Guide to EMS organisations<br>Worksheet 14 Model rules for an Association<br>Worksheet 15 Action plan<br>Encourage the candidate to submit any other Worksheets that he or she considers relevant to developing community networks. |

# 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.

| | **Evidence of competence**<br>(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):<br>a) local Water Catchment Management Board<br>b) Environmental Protection Authority (EPA) compliance officers<br>c) Land Owners Action Group (LOAG)<br>d) Birds Australia<br>e) Municipal Business Development Board (MBDB)<br>f) Shire councillors<br>g) Recreational Boat Owners Association (RBOA)<br>h) Native Title Lobby Group (NTLG)<br>i) Fisherman's Cooperative Management Committee (FCMC). |
| **3** | Notations on the notes and minutes from (2) explaining:<br>a) the involvement of the candidate in the pre-planning and conduct of meetings listed in (2) above.<br>b) key people in the above agencies and groups are identified along with desired relationship goals and steps to achieve them<br>c) prioritised opportunities and timing of consultations, interactions and promotion with each group or agency<br>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 Englis h 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** | Interview and questions by the assessor to:<br>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.<br>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<br>c) hear from the candidate the purpose of supporting promotional activities (see (6) below), and the benefits that have come from the involvement<br>d) ascertain what changes or improvements the candidate has made to the way promotional activities are carried out based on feedback received. |
| **6** | 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.<br>Feedback from the promotional activities indicating candidate involvement and success was provided in the form of letters from the school, and service clubs. |
| **7** | Worksheets 12, 13 and 14 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. |
| **8** | 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. |
| **9** | Video of two presentations – one to local school children the other to Birds Australia on how estuary oyster culture is a sustainable industry.<br>Presentation plan for the "walk-around" session with the NTLG.<br>Power point presentation used with MBDB on the economic value of the local oyster industry to the region. |
| **10** | Minutes from meetings with LOAG and RBOA groups indicating how the candidate handled contentious issues raised by their members.<br>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. |

| Element | Performance criteria | Assessor use only |
|---|---|---|
| *Underline numbers of evidence relevant to this element* | | *Underline numbers of evidence relevant to criteria* |
| 1. Make contacts within community | 1.1 Connections are made through business, social and personal contacts, and programs to the community | 1 2 3 4 5 6 7 8 9 10 |
| | 1.2 Connections are identified for the potential in regard to some group program or activity | 1 2 3 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 2 3 4 5 6 7 8 9 10 |
| | 1.4 Equity requirements and cultural backgrounds of people being contacted are respected | 1 2 3 4 5 6 7 8 9 10 |
| | 1.5 Appropriate cultural protocols are observed to establish positive contacts | 1 2 3 4 5 6 7 8 9 10 |
| | 1.6 Appropriate mechanisms are followed to establish contacts with Indigenous communities | 1 2 3 4 5 6 7 8 9 10 |
| 1 2 3 4 5 6 7 8 9 10 | 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 6 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 6 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 6 7 8 9 10 |
| | 2.3 Working relationships are developed in areas of common interest and goals to bring benefit to all parties | 1 2 3 4 5 6 7 8 9 10 |
| | 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 6 7 8 9 10 |
| 1 2 3 4 5 6 7 8 9 10 | 2.5 Appropriate records are developed to maintain ongoing contracts and relationships | 1 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 | 1 2 3 4 5 6 7 8 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 8 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 8 9 10 |
| 1 2 3 4 5 6 7 8 9 10 | 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 7 8 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 6 7 8 9 10 |
| 1 2 3 4 5 6 7 8 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 8 9 10 |
| **Required knowledge and understanding** | | | |
| Community structures, organisations and cultures | | | 1 2 3 4 5 6 7 8 9 10 |
| Relevant government community action program(s) | | | 1 2 3 4 5 6 7 8 9 10 |
| Process of delivery of program(s) | | | 1 2 3 4 5 6 7 8 9 10 |
| Broad Australian and regional history | | | 1 2 3 4 5 6 7 8 9 10 |
| Current social and environmental affairs for local community and wider region. | | | 1 2 3 4 5 6 7 8 9 10 |
| Rural industry operations and structures (for rural programs) | | | 1 2 3 4 5 6 7 8 9 10 |
| Relevant legislation | | | 1 2 3 4 5 6 7 8 9 10 |
| Affirmative action and anti-discrimination policies | | | 1 2 3 4 5 6 7 8 9 10 |
| Occupational health and safety requirements | | | 1 2 3 4 5 6 7 8 9 10 |

| **Required skills and attributes** | |
|---|---|
| Identify community cultures and goals | 1 2 3 4 5 6 7 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** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Communicating ideas and information | 3 | Through meetings, community events and functions, and informal discussions with individuals and groups | 1 2 3 4 5 6 7 8 9 10 |
| Collecting, analysing and organising information | 2 | Through research and consultation with community people, groups and networks, and printed media | 1 2 3 4 5 6 7 8 9 10 |
| Planning and organising activities | 2 | Through planning of schedules to attend meetings and community functions and events | 1 2 3 4 5 6 7 8 9 10 |
| Working with teams and others | 3 | Through co-operative sharing of information and development of strategies with colleagues | 1 2 3 4 5 6 7 8 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 2 3 4 5 6 7 8 9 10 |
| Using technology | 1 | Through use of computers and communications equipment | 1 2 3 4 5 6 7 8 9 10 |

Name of Candidate: _____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| RTD4804A Develop community networks | • Make contacts within community<br>• Form and create links<br>• Build networks<br>• Report on community liaison |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# BSBMGT507A Manage environmental performance

## Assessment plan

| Unit title | **BSBMGT507A Manage environmental performance** |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- portfolio of worksheets from participation in EMS working group<br>--- presentation<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended.) |
| **Range of variables:** | List:<br>• applicable legislation, codes and national standards<br>_____<br>_____<br>_____<br>• environmental policies relevant to the workplace and industry<br>_____<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |

| Unit title | **BSBMGT507A Manage environmental performance** |
|---|---|
| **Resource requirements:** | Workplace documentation<br>Relevant legislation, standards and guidelines. |
| **Links to other units:** | This unit is related to BSBMGT505A Ensure a safe workplace, BSBMGT609A Manage risk and BSBMGT610A Manage environmental management systems. |
| **Special workplace condition:** | The workplace has integrated approach to environmental management. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 6 Scope of EMS<br>Worksheet 7 Legal register<br>Worksheet 8 Risk assessment<br>Worksheet 9 Ranking risks & corrective action<br>Worksheet 10 Risk report<br>Worksheet 11 Record your policy<br>Worksheet 12 Record your EMS structure<br>Worksheet 21 Audit policy and procedures<br>Worksheet 22 Management review |

# 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.

| | **Evidence of competence**<br>(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.) |
|---|---|
| **1** | Site business plan with items relating to environmental sustainability highlighted (including the allocation of financial and human resources to support its implementation).<br>Minutes from senior management and board meetings verifying that the business plan was accepted and adopted. |
| **2** | Workplace documents that show organisation and enterprise commitment to environmental sustainability:<br>a) company policies with those to do with environmental sustainability and continuous improvement highlighted<br>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<br>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<br>e) reports on market research into trends and opportunities relevant to the company (for example the automated feeders, imported fish – choice for consumers<br>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<br>g) worksheets 7 to 12. |

| | |
|---|---|
| **3** | Enterprise work procedures which have been appropriately notated to indicate:<br>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<br>b) the regular monitoring of environmental performance taking place<br>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.<br>e) Worksheets 7 to 12 and 21, 22.<br>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. |
| **4** | Documents showing continuous improvement policies and practices are working:<br>a) company policy on continuous improvement and innovation highlighted<br>b) company training competency matrix indicates training in continuous improvement process and innovation; and examples of improvement projects undertaken as part of assessment<br>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<br>d) company template to assist managers and finance officers to analyse the cost and benefits of innovations and improvements. |
| **5** | Risk assessment reports on environmental impacts, notated to show where further advice was sought.<br>Presentation as given to the senior management meeting reporting on findings and recommendations. |
| **6** | 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. |
| **7** | 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. |
| **8** | Training competency matrix, and training attendance and assessment records. Environmental management training sections have been highlighted. |
| **9** | Interview with employees to verify:<br>a) they have received training in environmental procedures and continuous improvement<br>b) that innovation and improvements are encouraged, acknowledged and promoted by the candidate, fellow work team members and the company generally)<br>c) that environmental recording and reporting is an important aspect of work<br>d) they have a clear understanding of the company's culture, and commitment to sustainability. |
| **10** | 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. |
| **11** | 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. |
| **12** | Interview and questions by assessor to ascertain:<br>a) how innovative ideas and improvements are acknowledged by the candidate and the company<br>b) how entrepreneurial the candidate is in relation to promoting innovative ideas and achieving improvements<br>c) examples of environmental non-compliance that have occurred and how they were responded to<br>d) candidate understanding of business planning concepts, quality assurance procedures<br>e) candidate understanding and knowledge of environmental issues in relation to the aquaculture operation<br>f) candidate understanding and knowledge of the ecological systems in relation to the aquaculture operation<br>g) how the candidate handles conflict management<br>h) how the candidate relates to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities. |

| Element | Performance criteria | Assessor use only |
|---|---|---|
| *Underline numbers of evidence relevant to this element* | | *Underline numbers of evidence relevant to criteria* |
| 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 | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.2 Procedures are developed to maximise/enhance integration of environment, finance, safety and other areas of impacts and opportunities | 1 2 3 4 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 | 1 2 3 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 | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.5 The organisation's activities and products are designed to minimize life cycle impacts | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.6 Financial and human resources for the operation of environmental systems are identified, sought and/or provided as required | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 1.7 Changing trends and opportunities relevant to the organisation are identified, analysed and taken into account at the planning stage | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 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 5 6 7 8 9 10 11 12 |
| | 2.2 Procedures for ongoing management of environmental impacts and opportunities are developed and integrated with the organisation's policies and procedures | 1 2 3 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 6 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 7<br>8 9 10 11 12 |
| 1 2 3 4 5 6 7<br>8 9 10 11 12 | 2.5 | Ongoing training program is developed to identify and fulfil employees' environmental training needs | 1 2 3 4 5 6 7<br>8 9 10 11 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 4 5 6 7<br>8 9 10 11 12 |
| | 3.2 | Procedures are developed to analyse and communicate the costs and benefits of innovations and improvements | 1 2 3 4 5 6 7<br>8 9 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<br>8 9 10 11 12 |
| | 3.4 | Procedures are established to actively seek the support of the supply chain for implementing sustainable innovation and continuous improvement | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| 1 2 3 4 5 6 7<br>8 9 10 11 12 | 3.5 | Members of the supply chain are encouraged to meet high standards of environmental performance | 1 2 3 4 5 6 7<br>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<br>8 9 10 11 12 |
| 1 2 3 4 5 6 7<br>8 9 10 11 12 | 4.2 | Patterns of environmental non-compliance are identified and addressed and opportunities for environmental management improvements are acted upon | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| 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<br>8 9 10 11 12 |
| 1 2 3 4 5 6 7<br>8 9 10 11 12 | | | |
| **Required Knowledge and understanding** | | | |
| 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 | | | 1 2 3 4 5 6 7<br>8 9 10 11 12 |

| | |
|---|---|
| Relevant business planning concepts | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Environment sustainability as a "whole-system" approach | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Quality assurance procedures | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Strategies to maximise opportunities and minimise environment impact | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Relevant training and record keeping concepts | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Relevant knowledge of environmental issues especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Relevant knowledge of ecological systems in regard to business operation | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| **Required skills and attributes** | |
| 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 2 3 4 5 6 7<br>8 9 10 11 12 |
| Conflict management skills to mediate, negotiate and/or attempt to obtain consensus between parties | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Analysis skills to identify potential environmental and ecological impacts and opportunities in regard to business operation | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Problem solving skills to deal effectively with environmental impacts and opportunities as identified | 1 2 3 4 5 6 7<br>8 9 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<br>8 9 10 11 12 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Communication ideas and information | 3 | To promote environmental policies | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Collecting, analysing and organising information | 3 | To aid planning | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Planning and organising activities | 3 | To develop environmental management strategies | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Working in a team | 3 | To control impacts, maximise opportunities and to gain support for management strategies | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Using mathematical ideas and techniques | 3 | To aid planning | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Solving problems | 3 | To develop management strategies and operational procedures | 1 2 3 4 5 6 7<br>8 9 10 11 12 |
| Using technology | 3 | To access and record information | 1 2 3 4 5 6 7<br>8 9 10 11 12 |

Name of candidate: _____

This assessment addresses the requirements of:

| Unit of Competency | Elements |
|---|---|
| BSBMGT507A Manage environmental performance | • Develop a business plan to enhance environmental performance<br>• Manage environmental impact and opportunity<br>• Promote innovation and opportunity<br>• Manage system to record and report environmental impacts and opportunities<br>• Evaluate environmental performance |

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

| Unit title | **SFIEMS501A Develop workplace policy for sustainability** |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- portfolio of worksheets from participation in EMS working group<br>--- presentation<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended.) |
| **Range of variables:** | List:<br>• the scope of sustainability policy applicable to the enterprise<br>_____<br>_____<br>_____<br>• stakeholders with a direct interest in the enterprise<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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. |
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |

| Unit title | **SFIEMS501A Develop workplace policy for sustainability** |
|---|---|
| **Resource requirements:** | Reports from other parties involved in the development and implementation of the policy.<br>Relevant legislation, standards and guidelines. |
| **Links to other units:** | This unit could be assessed alone or as part of an integrated assessment activity involving other environment related units. |
| **Special workplace condition:** | The workplace has integrated approach to environmental sustainability. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 6 Scope of EMS<br>Worksheet 7 Legal register<br>Worksheet 11 Record your policy<br>Worksheet 12 Record your EMS management structure<br>Worksheet 21 Audit policy and procedures<br>Worksheet 22 Management review |

# 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.

| | **Evidence of competence**<br>(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:<br>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<br>b) stakeholders consulted as part of policy development<br>c) justification for policy recommendations based on likely effectiveness, timeframes and cost<br>d) strategies for reducing the use of toxic material and hazardous chemicals, and employing life cycle management approaches<br>e) methods of implementation<br>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.<br>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 responsbility 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 |

| | |
|---|---|
| | risk of injury through repetitive strain have been researched and implemented with great success.<br>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.) |
| **9** | 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. |
| **10** | 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. |
| **11** | Interview and questions by assessor to ascertain:<br>a) how consultation was carried out with stakeholders, and policy and procedures validated<br>b) how the candidate went about researching sustainability issues and analysing and organising information<br>c) how the candidate responded to diversity (including gender and disability)<br>d) candidate understanding and knowledge of equal employment opportunity, equity, and diversity principles and OHS implications of the sustainability policy<br>e) what the most significant improvements have been that have resulted form the sustainability policy. |

| Element | Performance criteria | Assessor use only |
|---|---|---|
| *Underline numbers of evidence relevant to this element* | | *Underline numbers of evidence relevant to criteria* |
| 1. Develop workplace sustainability policy | 1.1 Scope of sustainability policy is defined | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.2 Stakeholders are identified and consulted as a key component of the policy development process | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 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 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.4 Recommendations are made for policy options based on likely effectiveness, timeframes and cost | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 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 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.6 Appropriate methods of implementation are agreed | 1 2 3 4 5 6 7 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 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 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 4 5 6 7 8 9 10 11 12 |
| 3. Implement the policy | 3.1 Procedures to help implement the policy are developed and communicated | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 3.2 Strategies for continuous improvement in resource efficiency are implemented | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 3.3 Record systems for tracking continuous improvements in sustainability approaches are established and responsibilities are assigned | 1 2 3 4 5 6 7 8 9 10 11 12 |

| | | | |
|---|---|---|---|
| 4. | Review policy implementation | 4.1 | Outcomes are documented and feedback is provided to key personnel and stakeholders | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | | 4.2 | Success or otherwise of policy is investigated | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 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 8 9 10 11 12 |
| | | 4.4 | Policy and/or procedures are modified as required to ensure performance improvements | 1 2 3 4 5 6 7 8 9 10 11 12 |
| **Required knowledge and understanding** | | | | |
| Policy development relating to environmental sustainability | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Principles, practices and available tools and techniques of sustainability management relevant to own seafood industry sector, including:<br>• ecologically sustainable development frameworks<br>• ISO 14001 Environmental Management<br>• regulated and voluntary strategies developed to manage fishery sustainability, including aquacultural production<br>• triple bottom line reporting<br>• product stewardship<br>• ecological footprinting<br>• life cycle analyses<br>• global reporting initiatives | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Best practice approaches relevant to own workplace and seafood industry sector | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Relevant systems and procedures to aid in the achievement of sustainability in the workplace and seafood industry sector | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Quality assurance systems relevant to own enterprise | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Other relevant enterprise policies, procedures and protocols | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Equal employment opportunity, equity and diversity principles and occupational health and safety implications of policy being developed | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| **Required skills and attributes** | | | | |
| Facilitate teams | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Consult and validate policy with work group | | | | 1 2 3 4 5 6 7 8 9 10 11 12 |

| | |
|---|---|
| Adjust communication to suit different audiences | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Respond to diversity, including gender and disability | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Influence others with accurate, researched argument | 1 2 3 4 5 6 7 8<br>9 10 11 12 |

| Key Competencies | Level | Examples | Evidence |
|---|---|---|---|
| Communicating ideas and information | 2 | Discussing with stakeholders possible approaches to policy development and implementation<br>Contributing to the resolution of disputes amongst stakeholders | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| 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 | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Planning and organising activities | 2 | Planning the policy development process, including organising meetings with stakeholders | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Working with teams and others | 3 | Consulting with personnel to develop policy for sustainability | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Using mathematical ideas and techniques | 2 | Analysing data on enterprise resource consumption | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Solving problems | 2 | Resolving disputes amongst stakeholders<br>Devising approaches to policy implementation | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Using technology | 1 | Using software systems for recording and filing measurement data of current usage<br>Using word processing and other basic software for interpreting charts, flowcharts, graphs and other visual data and information | 1 2 3 4 5 6 7 8<br>9 10 11 12 |
| Innovative skills | 1 | Identifying improvements<br>Benchmarking against industry best practice and attempting new approaches to sustainability | 1 2 3 4 5 6 7 8<br>9 10 11 12 |

Name of Candidate: _____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| SFIEMS501A Develop workplace policy for sustainability | • Develop workplace sustainability policy<br>• Communicate the policy<br>• Implement the policy<br>• Review policy implementation |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# BSBMGT609A Manage risk

## Assessment plan

| Unit title | **BSBMGT609A Manage risk** |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- national recognition (ie to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- portfolio of worksheets from participation in EMS working group<br>--- presentation<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended.) |
| **Range of variables:** | List:<br>• legislation, codes and national standards relevant to the workplace.<br>_____<br>_____<br>_____<br>• risks that may be relevant to the business<br>_____<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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.<br>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. |

| Unit title | **BSBMGT609A Manage risk** |
|---|---|
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |
| **Resource requirements:** | Access to workplace documentation. |
| **Links to other units:** | This unit could be co-assessed with any other unit in which risk analysis and risk management are an integral par, especially BSBMGT610A Manage environmental management systems. |
| **Special workplace condition:** | 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. |
| **Relationship to the Seafood EMS program:** | 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.<br><br>Worksheet 7 Legal register<br>Worksheet 8 Risk assessment<br>Worksheet 9 Ranking risks & Corrective action<br>Worksheet 10 Risk report<br>Worksheet 22 Management review |

# 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.

| | **Evidence of competence**<br>(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:<br>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<br>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.<br>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<br>d) matrix used as the basis of a risk register showing probability and consequence of risk. |
| **2** | Risk management plan which includes:<br>a) risk management policies (references to education and training for appropriate personnel highlighted)<br>b) requirement to utilise external expertise in waste management, OHS and product recall<br>c) risk register, including strategies and plans in place to deal with any even/incident that might occur; and criteria for evaluating risk<br>d) procedures for on-going identification of risks, evaluation of the plan and reporting of incidents and near-misses<br>e) Worksheets 8, 9, 10 and 11. |
| **3** | Portfolio of documents to demonstrate the successful implementation of the plan. It includes:<br>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.<br>b) risk monitor list – showing risks that have been classified as low/acceptable |

| | |
|---|---|
| **4** | Portfolio of documents showing the risk management plan is being evaluated. It includes:<br>a) procedures with requirement for risk management activities to be reviewed highlighted<br>b) supporting minutes from meetings where review of risk management activities has been initiated, reported on and recommendations made<br>c) reports on risk control activities, incidents and near misses showing investigation into cause and response and follow-on action. |
| **5** | 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:<br>a) new fishing vessel commissioned<br>b) fish handling and storage procedures altered<br>c) changed fishing regulations<br>d) high turn-over of staff, and increase in non-English speaking factory workers<br>e) Worksheet 22. |
| **6** | Interview and questions by assessor to ascertain the candidate's understanding and knowledge of:<br>a) the legislation that affects the company<br>b) the company's strategic, tactical and operational plans<br>c) the company's capability to deal with events/incidents<br>e) process analysis skills and how they are used to identify potential risks and hazards. |
| **7** | Interview and questions by assessor to clarify how the candidate:<br>a) approaches consultative processes<br>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<br>c) approaches problem solving when faced with risks and hazards (any type)<br>d) relates to people from diverse social, cultural and ethnic backgrounds, and physical and mental abilities. |
| **8** | Evidence of attendance at training programs on environmental management and occupational health and safety for managers. |

| Element | Performance criteria | Assessor use only |
|---|---|---|
| *Underline numbers of evidence relevant to this element* | | *Underline numbers of evidence relevant to criteria* |
| 1. Develop risk management plan | 1.1 Strategic position and policy on risk management are analysed are interpreted | 1 2 3 4 5 6 7 8 |
| | 1.2 Organisation is audited to identify risk management context and potential areas of risk | 1 2 3 4 5 6 7 8 |
| | 1.3 Organisational capability to reduce/control the likelihood of both incidents and consequences is analysed | 1 2 3 4 5 6 7 8 |
| | 1.4 Risk register is developed incorporating a probability/consequence matrix | 1 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 2 3 4 5 6 7 8 |
| | 1.6 Access to external specialist assistance is identified within the plan | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 1.7 Procedures for on going identification of risks are established | 1 2 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 3 4 5 6 7 8 |
| | 2.2 Sources of risk are clearly documented and analysed | 1 2 3 4 5 6 7 8 |
| | 2.3 Risks are examined in terms of the criteria in the risk management plan | 1 2 3 4 5 6 7 8 |
| | 2.4 Risks classified as low/acceptable are placed on a monitor/review watch list | 1 2 3 4 5 6 7 8 |
| | 2.5 Risks that are unacceptable are eliminated wherever practicable | 1 2 3 4 5 6 7 8 |
| | 2.6 Risks that cannot be eliminated are mitigated/minimised in accordance with the risk management plan | 1 2 3 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 2.7 Strategies for risk minimisation are documented | 1 2 3 4 5 6 7 8 |

| | | | |
|---|---|---|---|
| 3. Evaluate risk management plan | 3.1 | Procedures are in place to review risk management activities regularly | 1 2 3 4 5 6 7 8 |
| | 3.2 | Activities which do not achieve their objectives/performance outcomes are examined to determine cause | 1 2 3 4 5 6 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 4 5 6 7 8 |
| 1 2 3 4 5 6 7 8 | 3.4 | Evaluation of risk management is a key component of all projects/activities | 1 2 3 4 5 6 7 8 |
| **Required knowledge and understanding** | | | |
| 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 2 3 4 5 6 7 8 |
| Strategic, tactical and operational plans of the organisation | | | 1 2 3 4 5 6 7 8 |
| Organisational capability to deal with events/incidents | | | 1 2 3 4 5 6 7 8 |
| Disaster/emergency/evacuation plans | | | 1 2 3 4 5 6 7 8 |
| Legal requirements for operating the business | | | 1 2 3 4 5 6 7 8 |
| Relevant awards and industrial agreements | | | 1 2 3 4 5 6 7 8 |
| Workplace standards for OHS and environmental requirements | | | 1 2 3 4 5 6 7 8 |
| **Required skills and attributes** | | | |
| 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 2 3 4 5 6 7 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 7 8 |
| Process analysis skills to identify potential risks/hazards of any type | | | 1 2 3 4 5 6 7 8 |
| Problem solving skills to deal effectively with risks and hazards as identified | | | 1 2 3 4 5 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 7 8 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Collecting, analysing and organising information | 3 | To conduct the risk management audit | 1 2 3 4 5 6 7 8 |

| | | | |
|---|---|---|---|
| Communicating ideas and information | 3 | To educate managers about the importance of the risk management plan | 1 2 3 4 5 6 7 8 |
| Planning and organising activities | 3 | To develop appropriate mitigation strategies | 1 2 3 4 5 6 7 8 |
| Working with teams and others | 3 | To simulate/test the effectiveness of the risk management plan | 1 2 3 4 5 6 7 8 |
| Using mathematical ideas and techniques | 2 | To calculate probability and consequences associated with risk | 1 2 3 4 5 6 7 8 |
| Solving problems | 3 | To eliminate and/or minimise risk | 1 2 3 4 5 6 7 8 |
| Using technology | 2 | To provide timely access to risk management documentation | 1 2 3 4 5 6 7 8 |

Name of Candidate: _____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| BSBMGT609A Manage risk | • Develop risk management plan<br>• Implement risk management plan<br>• Evaluate risk management plan |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

# BSBMGT610A Manage environmental management systems

## Assessment plan

| Unit title | BSBMGT610A Manage environmental management systems |
|---|---|
| **Purpose of assessment:** | --- Recognition of Prior Learning, or Recognition of Current Competency<br>--- third-party audit, for example ISO14001<br>--- national recognition (i.e. to receive a Statement of Attainment or to contribute to a seafood industry qualification)<br>Please tick |
| **Methods of assessment to be used:** | --- 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)<br>--- portfolio of worksheets from participation in EMS working group<br>--- presentation<br>--- interview<br>--- observation<br>--- short questions (oral or written)<br>--- third-party verification<br>--- third-party testimonial<br>Please tick (A range of methods is recommended.) |
| **Range of variables:** | List:<br>• environmental management policies relevant to the enterprise<br>_____<br>_____<br>_____<br>• applicable legislation, codes of practice, national standards<br>_____<br>_____ |
| **Overview of evidence required to demonstrate competence:** | 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.<br>Evidence must be strictly relevant to the particular management role and is not intended to include detailed technical aspects of environmental science. |
| **Communication with the candidate:** | Communication with the candidate addresses:<br>• evidentiary requirements for assessment (for example expectations of the amount and types of evidence, authenticity)<br>• grievance and appeals process<br>• whether the candidate is ready for assessment<br>• offer of Recognition of Prior Learning or Current Competency<br>• time, place and duration of assessment<br>• any requirement to take into account special needs. |

| Unit title | **BSBMGT610A Manage environmental management systems** |
|---|---|
| **Resource requirements:** | Access to workplace documentation. |
| **Links to other units:** | This unit is related to BSBMGT505A Ensure a safe workplace and BSBMGT507A Manage environmental performance. It could be co-assessed with BSBMGT609A Manage risk. |
| **Special workplace condition:** | The workplace has integrated environmental management policies and procedures. |
| **Relationship to the Seafood EMS program:** | 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 *Manage environmental management systems* 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.<br><br>Worksheet 6 Record your scope<br>Worksheet 7 Legal register<br>Worksheet 8 Risk assessment<br>Worksheet 9 Ranking risks<br>Worksheet 10 Risk report<br>Worksheet 11 Record your policy<br>Worksheet 12 Record your EMS management<br>Worksheet 18 Training plan<br>Worksheet 21 Audit policy and procedures<br>Worksheet 22 Management review |

# 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.

| | **Evidence of competence**<br>(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.) |
|---|---|
| **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** | Policy and procedures that support the various EMSs. Highlighted are relevant sections showing that:<br>a) stakeholders are also expected to meet high standards of environmental performance, suitable innovation and continuous improvement<br>b) triple bottom line principles are supported<br>c) the company is committed to maximising opportunities to improve environmental management performance, increase efficiency and to use alternative energy sources<br>d) the company is committed to minimising environmental impacts from its operations<br>e) environmental sustainability is considered an integral part of business planning, and a business opportunity<br>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<br>g) Worksheets 7-12. |
| **5** | Documentation associated with the construction of a large pond shows that environmental management has been addressed at the planning, design and evaluation stages:<br>a) risk assessment and subsequent risk management plan, and risk control strategies<br>b) adjustments to the site EMS were made to accommodate the new pond and its associated work activities. |
| **6** | 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. |
| **7** | 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. |
| **8** | 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. |
| **9** | Financial reports showing the potential cost benefit of the alternate power generation. |
| **10** | 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.<br>Worksheet 18. |
| **11** | 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. |
| **12** | Interview and questions by the assessor to ascertain the candidate's:<br>a) understanding and knowledge of policy development and business development, systems analysis and design principles, performance benchmarking and indicator development, supply chain management<br>b) understanding and knowledge of legislation, environmental issues and ecological systems in so far as they relate to the business<br>c) ability to communicate and consult, help others to resolve conflicts and reach consensus<br>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.<br>e) 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 |
|---|---|---|
| *Underline numbers of evidence relevant to this element* | | *Underline numbers of evidence relevant to criteria* |
| 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 12 |
| | 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 4 5 6 7 8 9 10 11 12 |
| | 1.4 Policies and procedures are established to incorporate and support triple bottom line principles | 1 2 3 4 5 6 7 8 9 10 11 12 |
| | 1.5 Policies are established which maximise opportunities and minimise environmental impacts | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 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 5 6 7 8 9 10 11 12 |
| 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 6 7 8 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 6 7 8 9 10 11 12 |
| | 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 4 5 6 7 8 9 10 11 12 |

| | | | |
|---|---|---|---|
| | 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 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 2.5 | Performance benchmarks and indicators are established and targets are set to maximise continuous improvement | 1 2 3 4 5 6 7 8 9 10 11 12 |
| 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 4 5 6 7 8 9 10 11 12 |
| 1 2 3 4 5 6 7 8 9 10 11 12 | 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 11 12 |
| **Required knowledge and understanding** | | | |
| 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<br>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 | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Concepts of policy development and business planning | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Relevant system analysis and design principles | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Performance benchmarking and indicator development relevant to organisation's activities | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Environment sustainability as a "whole system" approach | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Techniques to measure sustainability | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Quality systems | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Supply chain management | | | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Strategies to maximise opportunities | | | 1 2 3 4 5 6 7 8 9 10 11 12 |

| | |
|---|---|
| Environment impact minimisation strategies | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Relevant knowledge of environmental issues, especially in regard to water catchments, air, noise, ecosystems, habitat, waste minimisation | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Relevant knowledge of ecological systems in regard to business operation | 1 2 3 4 5 6 7 8 9 10 11 12 |
| **Required skills and attributes** | |
| 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 2 3 4 5 6 7 8 9 10 11 12 |
| 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 12 |
| Planning and evaluation skills to develop policies and procedures | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Process analysis skills to identify potential environmental and ecological impacts and opportunities | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Problem solving skills to deal effectively with environmental impacts and opportunities as identified | 1 2 3 4 5 6 7 8 9 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 11 12 |

| **Key Competencies** | **Level** | **Examples** | **Evidence** |
|---|---|---|---|
| Collecting, analysing and organising information | 3 | To aid planning and development of management systems | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Communicating ideas and information | 3 | To promote environmental policies as an integral part of the organisation's operations | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Planning and organising activities | 3 | To develop environmental management strategies | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Working with teams and others | 3 | To negotiate, consult and to gain support for environmental issues | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Using mathematical ideas and techniques | 3 | To aid planning and development | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Solving problems | 3 | To develop management strategies | 1 2 3 4 5 6 7 8 9 10 11 12 |
| Using technology | 3 | To access and record information | 1 2 3 4 5 6 7 8 9 10 11 12 |

Name of Candidate: _____

This assessment addresses the requirements of:

| **Unit of competency** | **Elements** |
|---|---|
| BSBMGT610A Manage environmental management systems | • Establish an environmental management system<br>• Manage innovation and improvement<br>• Review environmental management system |

Candidate is COMPETENT / NOT YET COMPETENT (please circle as appropriate)

Is this a Recognition Process? YES/NO

COMMENTS:

_____

_____

_____

_____

ASSESSOR'S SIGNATURE: _____

ASESSOR'S NAME and QUALIFICATIONS: _____

_____

_____

CANDIDATE'S SIGNATURE: _____

DATE: _____

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