



Seafood EMS

Self-assessment and training manual

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



SEAFOOD SERVICES
AUSTRALIA

LEADERS IN INDUSTRY DEVELOPMENT



SEAFOOD EMS SELF-ASSESSMENT AND TRAINING MANUAL

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

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

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

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

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

www.seafoodems.com.au



Seafood EMS Self-assessment and Training Manual

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Cartoons by Paul Lennon

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QUOTES FROM THE SEAFOOD EMS PILOT GROUPS

Northern Territory — barramundi

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

Queensland — Moreton Bay fishers

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

Victoria — Bays and Inlets

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

Tasmania — oysters

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

South Australia — southern rocklobster

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

Western Australia — pearls

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

EMS REMINDS US THAT THE FUTURE IS OURS TO MANAGE

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

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

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

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

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

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

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

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

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



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



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

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

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

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

Choose the right environmental management system

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

Develop your EMS and put it into practice

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

Save time with handy worksheets

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

Prefer an interactive program?

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

Be rigorous — get assessed

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

Get recognised, get community support

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

Grab new ideas

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

Pick the brains of the trail-blazers

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

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

Get together with your stakeholders

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

ABOUT ASSESSMENT



Why have your skills recognised?

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

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

How do you go about claiming recognition?

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

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

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

ABOUT THIS MANUAL

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

The program can be undertaken in several ways.

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

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

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

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

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

HOW TO USE THIS MANUAL

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

The system you develop will be designed specifically for *your* organisation! It will be based on the easy to follow Seafood EMS model which is underpinned by the philosophy of continual improvement — that is, recognising current levels of performance, and then systematically working towards realistic and achievable improvements for the future.

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

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

INTRODUCTION TO EMS

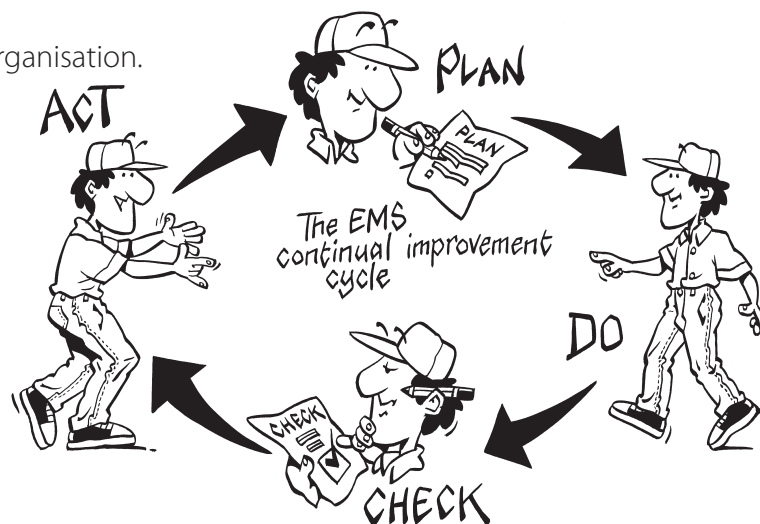
WHY FOCUS ON THE ENVIRONMENT?

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

WHAT IS AN EMS?

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

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



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

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

An EMS may cover:

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

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

An EMS may be:

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

Key aspects of an EMS are:

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

CERTIFICATION

What do you want your fishery to achieve?

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

An individual or organisation may seek certification to:

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

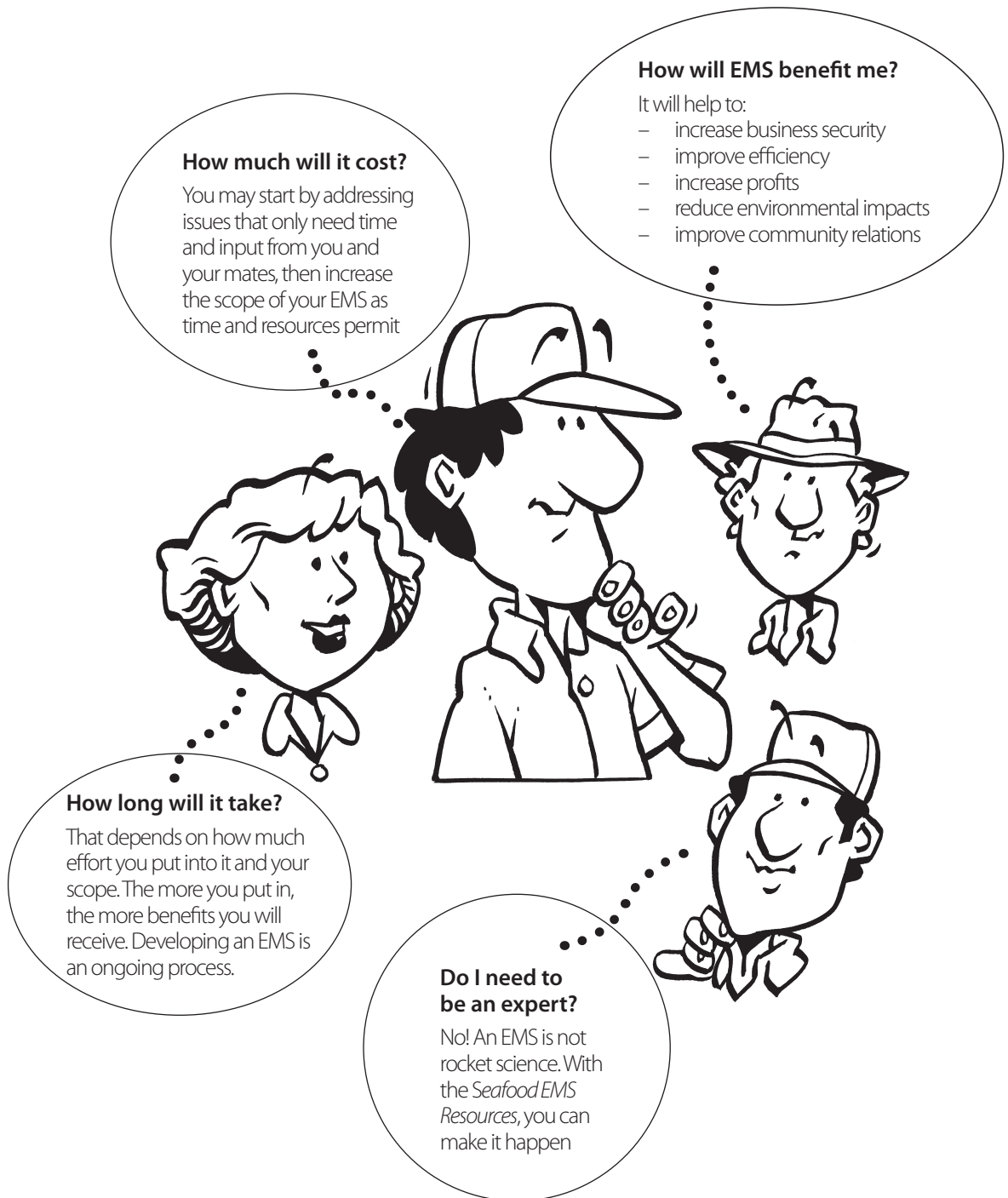
Certification schemes are many and varied, and will normally involve the following processes:

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

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

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

FREQUENTLY ASKED QUESTIONS



DEFINITIONS AND JARGON

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

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

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

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

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

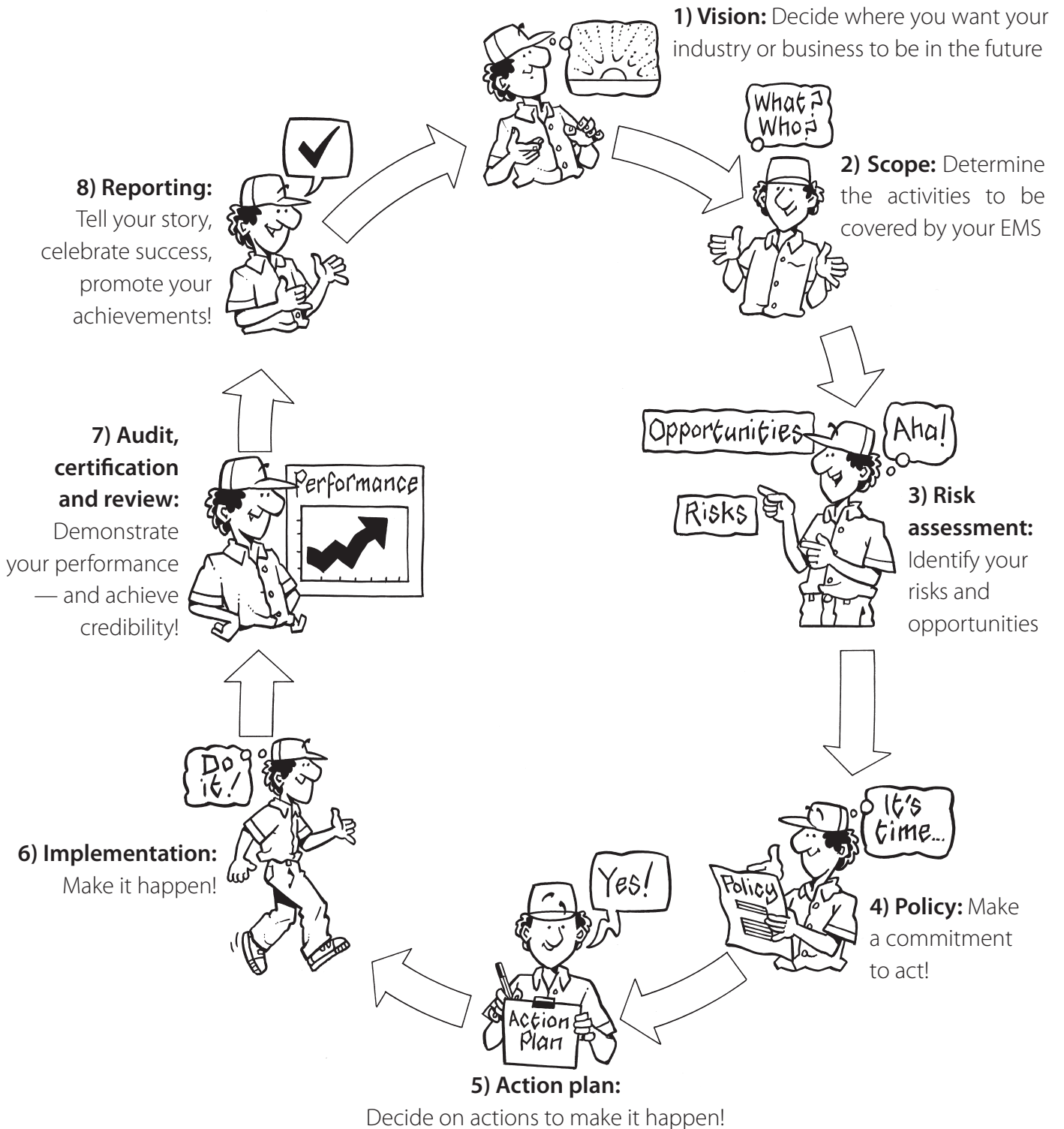
Now you can spend your valuable time focusing on achieving results!

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



INTRODUCTION TO SEAFOOD EMS

THE EIGHT SEAFOOD EMS STEPS



YOUR EMS PLAN

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

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

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



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

What to include in your EMS Plan

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

What not to include in your EMS plan

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

How to create your EMS plan the easy way!

- use the Seafood EMS Resources to help you to work through each step of the process and to record the information you generate in a way that allows it to be easily managed and analysed
- when you have completed the 8 steps, you will have your draft EMS plan
- decide what other information you want to include and how to gather it
- when you are reasonably happy with your draft plan, have it reviewed by someone from outside your group — make sure it is someone who is objective and not “pushing their own barrow”
- provide a consultation copy to some stakeholders for initial feedback — then amend the draft to address legitimate concerns raised by reviewers
- consider making the draft plan available for wider consultation — then finalise the draft, taking into account legitimate comments
- launch version 1 of your SEMS plan!

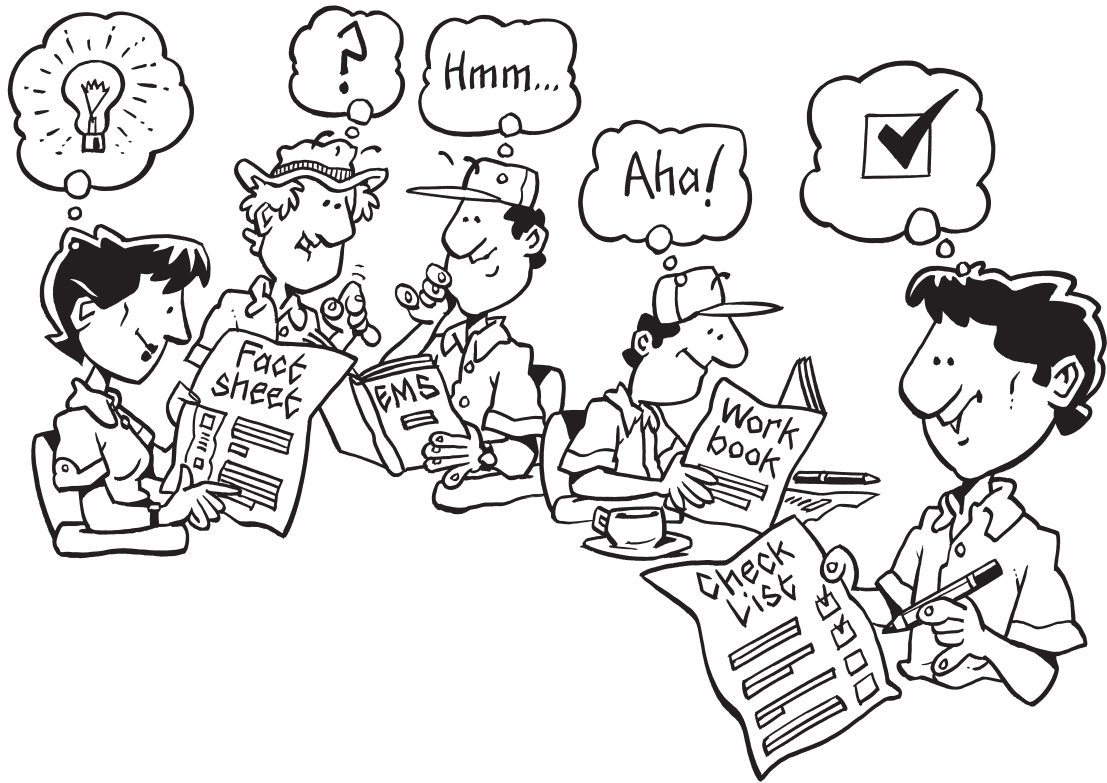
Maintaining your EMS plan

- establish a simple procedure for updating and distributing your EMS plan — this will minimise your administrative workload and ensure everyone is working from the current version
- your master copy will be an electronic copy, probably in Microsoft Word, and you will benefit from:
 - nominating one person to be the custodian — responsible for maintaining the master copy, updating it etc (and making back-up electronic copies)
 - recording in the footer of each revised edition “edition [no.] of [date]” — for example, edition 2 of 25 November 2007”
 - maintaining a master list showing previous versions and their issue dates
 - keeping a hard copy of each version and all amendments on file

Distributing your EMS plan

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

COLLECTIVE AND INDIVIDUAL ACTIONS



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

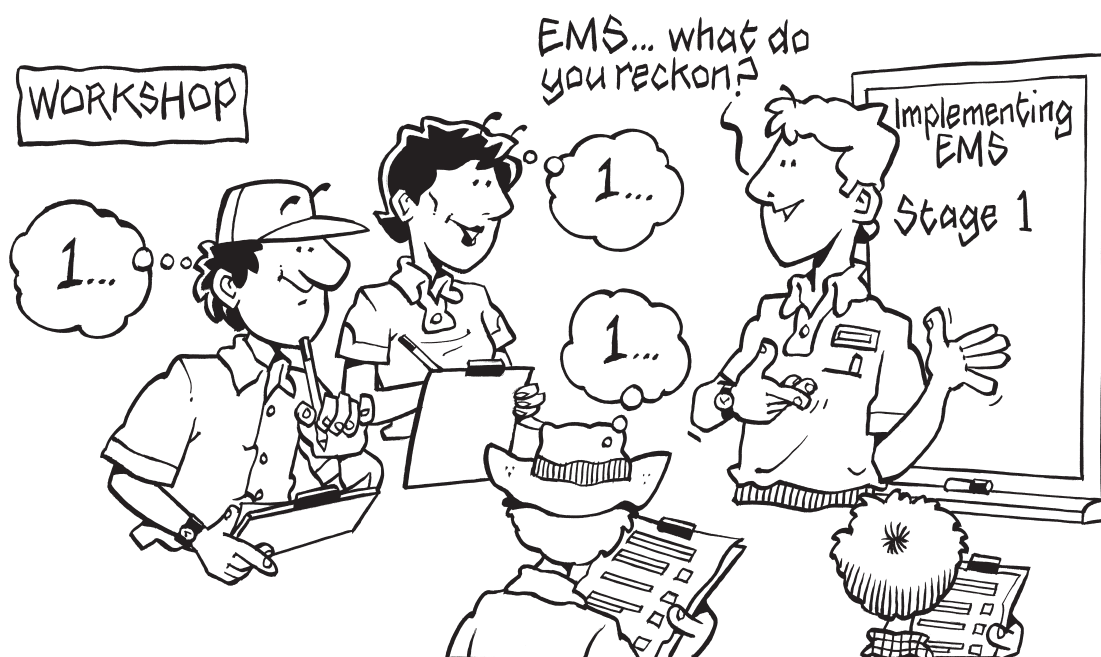
Accordingly, the actions required to address particular issues may require:

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

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

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

EMS WORKSHOPS TO SET AND ACHIEVE COMMON GOALS



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

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

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

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

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

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

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

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

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

COMMUNICATION — A CRITICAL SUCCESS FACTOR!

Public perceptions

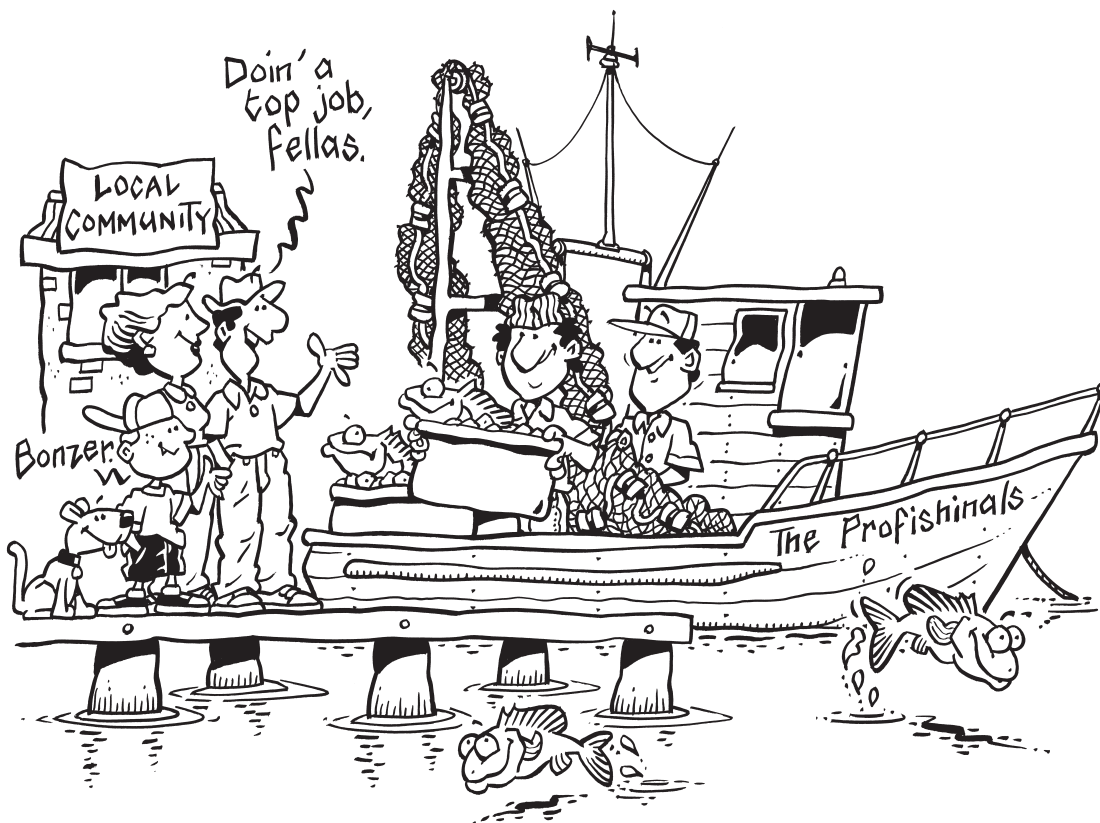
Sadly, our seafood industry — held in such high regard overseas — is often publicly maligned by Australians, despite having achieved world-class outcomes on matters such as sustainability and food safety.



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

Effective communication is an on-going process. You need to refine your messages and consider a variety of methods to deliver them to your target audiences.

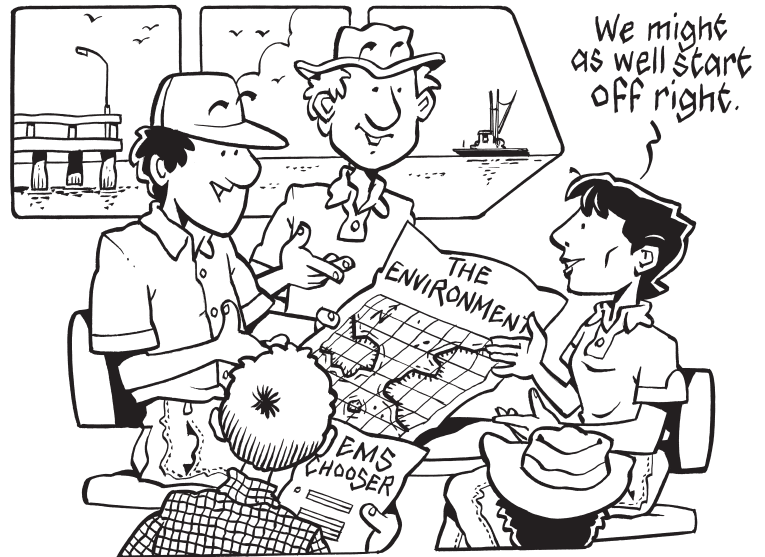
Often the people or groups that you find the most difficult to deal with — and the ones you might be hoping to avoid — are the ones you most need to communicate with.



Improve your environmental performance – and demonstrate it!

GETTING STARTED

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



INDUSTRY TRAINERS CAN BE A GREAT HELP

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

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

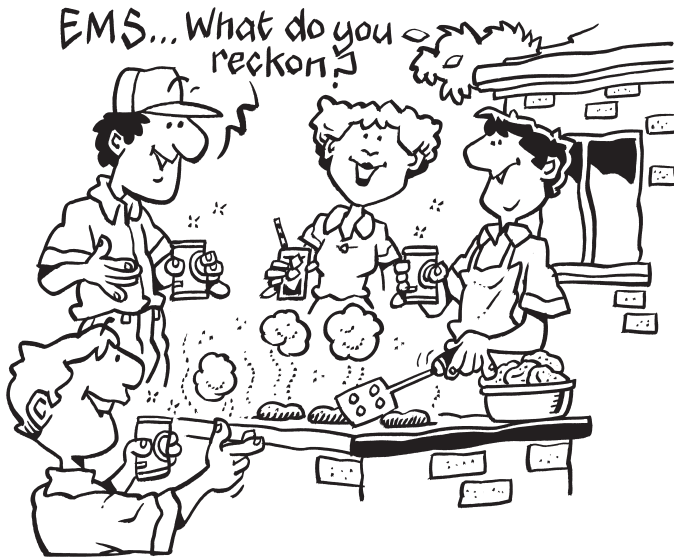
If you intend to do the training yourself, complete each schedule in Worksheet 18, Training Plan. By working through the steps, completing each schedule of the Training Plan Template as you come to it, you will develop your training plan. If necessary, modify the template to suit your needs.

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

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

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

TALK ABOUT EMS WITH YOUR MATES



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

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

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

EMS FACILITATORS – TO HELP DRIVE THE PROCESS



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

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

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

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

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

RESOURCES TO HELP YOU

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

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

DON'T RE-INVENT THE WHEEL ...

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

PLAN YOUR APPROACH...

- you can achieve a lot by having all members of your group pulling together and dedicating some modest amounts of their free time towards specific tasks. Think about the impact that some anti-fishing groups have, with little more than their freely given time!
- many of your existing resources can make a huge contribution — look for opportunities to increase efficiency and eliminate duplication of effort and costs
- from the outset, create a workable document control process and filing system — it will save frustration later
- involve staff, family members and friends in your EMS — they need to share your EMS vision, support you when the going gets tough, and help from time to time
- if resources are limited, tackle the most pressing issues first and expand your actions later
- if you have a very ambitious vision, or want your EMS to cover a large number of operators, you may need to employ staff to drive and manage your EMS process
- if you are seeking certification, identify your documentation requirements up-front.

ORGANISE YOUR DOCUMENTS

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

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

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

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

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

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

Hints:

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

BUILD ON YOUR STRENGTHS...

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

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

ENJOYING THE BENEFITS OF YOUR EMS

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

For starters ...

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

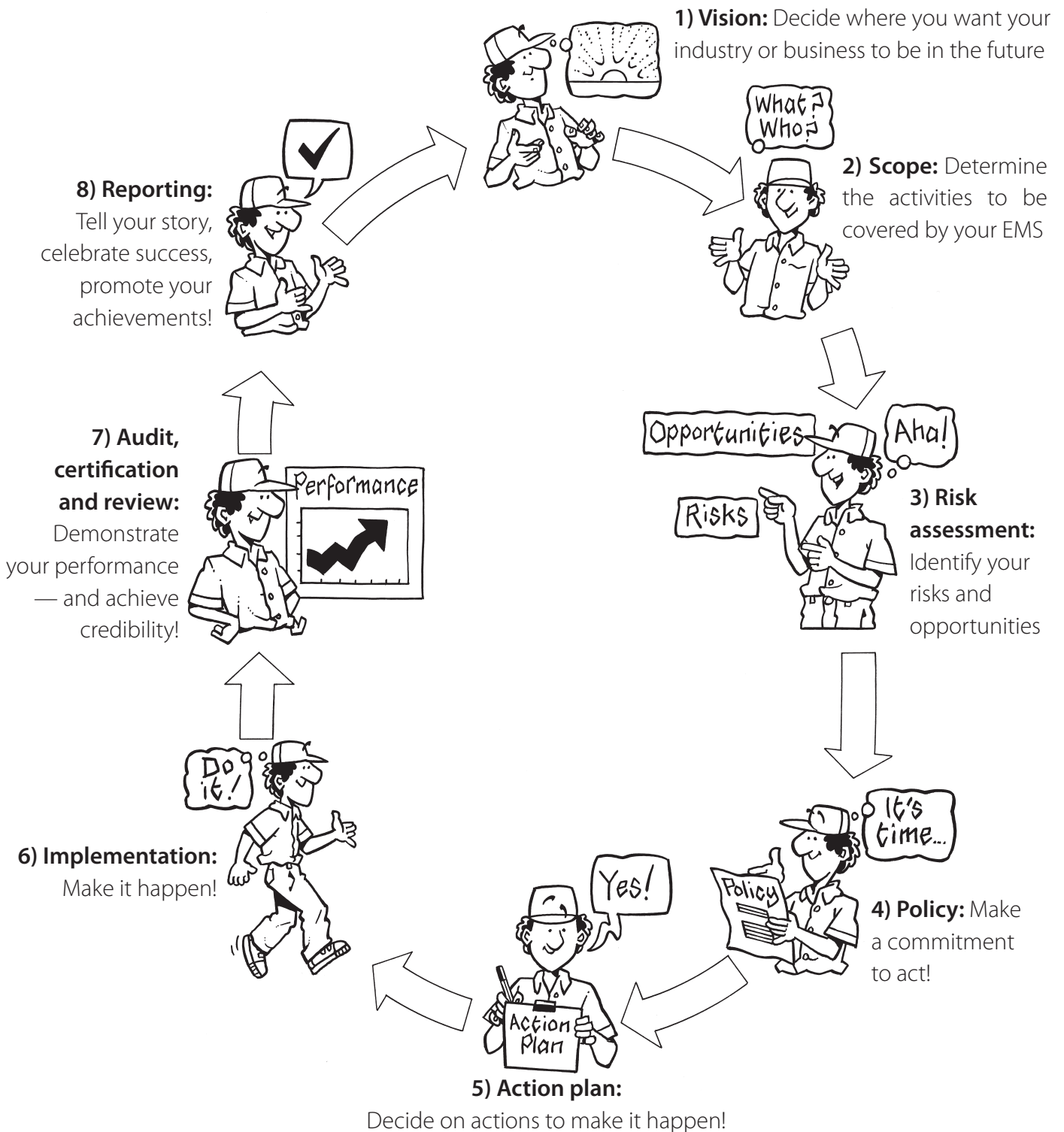
In a nutshell — Work smarter, not harder!

WORKSHEETS USED IN THE INTRODUCTION:

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

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

DEVELOPING AND IMPLEMENTING YOUR SEAFOOD EMS





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

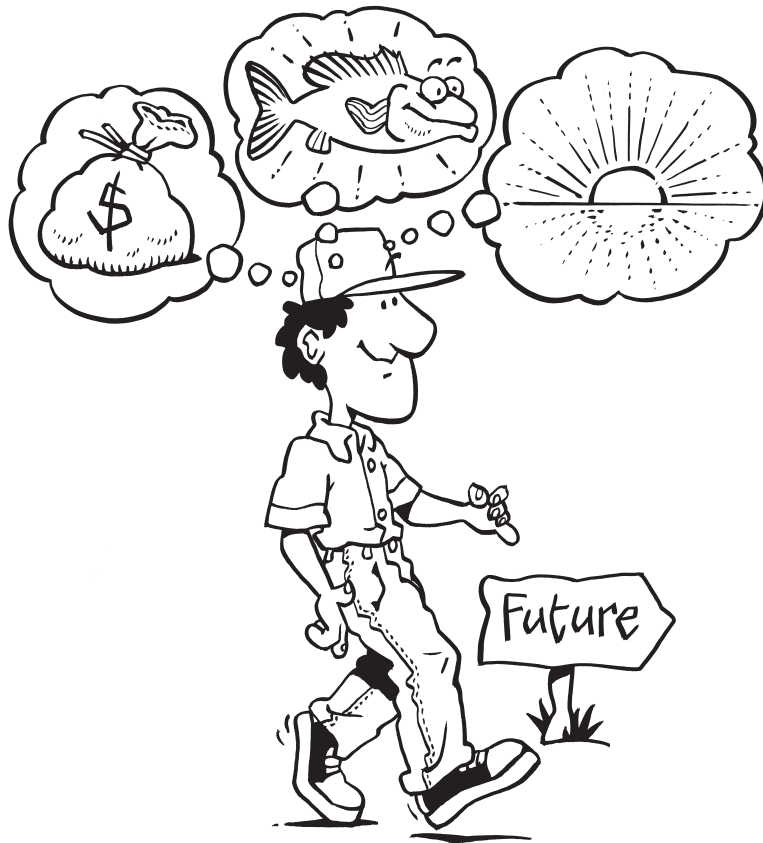
WORKING THROUGH THE STEPS — KEY POINTS TO REMEMBER

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

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

- start at step 1 (vision)
- don't skip any steps — they are all important to a successful EMS outcome
- refer to previous steps as required — that's a normal part of the process
- follow the instructions, read the helpful hints, look at the ideas and examples
- use the checklists and worksheets in the Seafood EMS Resources to develop your EMS and to record the outcomes from each step — this information will help to form your EMS plan.

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



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

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

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

Your vision¹ is an extremely powerful point of focus. In fact it's more than that — it's a tool, an over-arching "signpost" to achieving collective action from members of your group. A shared vision for the future gives you a solid base to achieve cooperation on many issues, and to work through complex or difficult issues.

Most importantly, before you start on your EMS journey you need to know where you want to go. Your vision is your destination. It will help you to work out the activities your EMS needs to cover, who will need to come on your EMS journey, and how you will reach your destination.

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

HELPFUL HINTS

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

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

DEVELOPING YOUR VISION

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

In this step you will:

- develop a draft vision statement
- consider organisations² that may take carriage of your EMS
- agree on a person to act your EMS Facilitator for the time being
- create a contacts list for members of your group
- create a list of your other stakeholders
- document the above.

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

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

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

Some examples of visions are:

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

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

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

² ‘EMS organisation’ the organisation that you agree will take carriage of your EMS

WORKSHEETS USED IN THIS STEP

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

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

EXERCISE 1: APPLY THE THEORY

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

Make working copies of worksheets for use in this exercise.

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

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

SELF-ASSESSMENT 1

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

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



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

Step 2. Scope³: Determine the activities to be covered by your EMS

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

Under the Seafood EMS model, your scope will describe the industry sector⁴ and jurisdiction⁵; fishery or aquaculture operations; area of operations⁶; species⁷; and fishing or aquaculture methods⁸.

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

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

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

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

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

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

⁷ **'species'** the species that you produce or harvest

⁸ **'methods'** the production or harvesting methods that you use

HELPFUL HINTS

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

DEFINING YOUR SCOPE

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

In this step you will:

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

Legal register

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

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

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

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

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

An effective EMS should include procedures to:

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

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

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

Examples

Example 1: Scope (commercial fishing example)

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

Example 2: Scope (aquaculture example)

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

WORKSHEETS USED IN THIS STEP

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

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

EXERCISE 2: APPLY THE THEORY

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

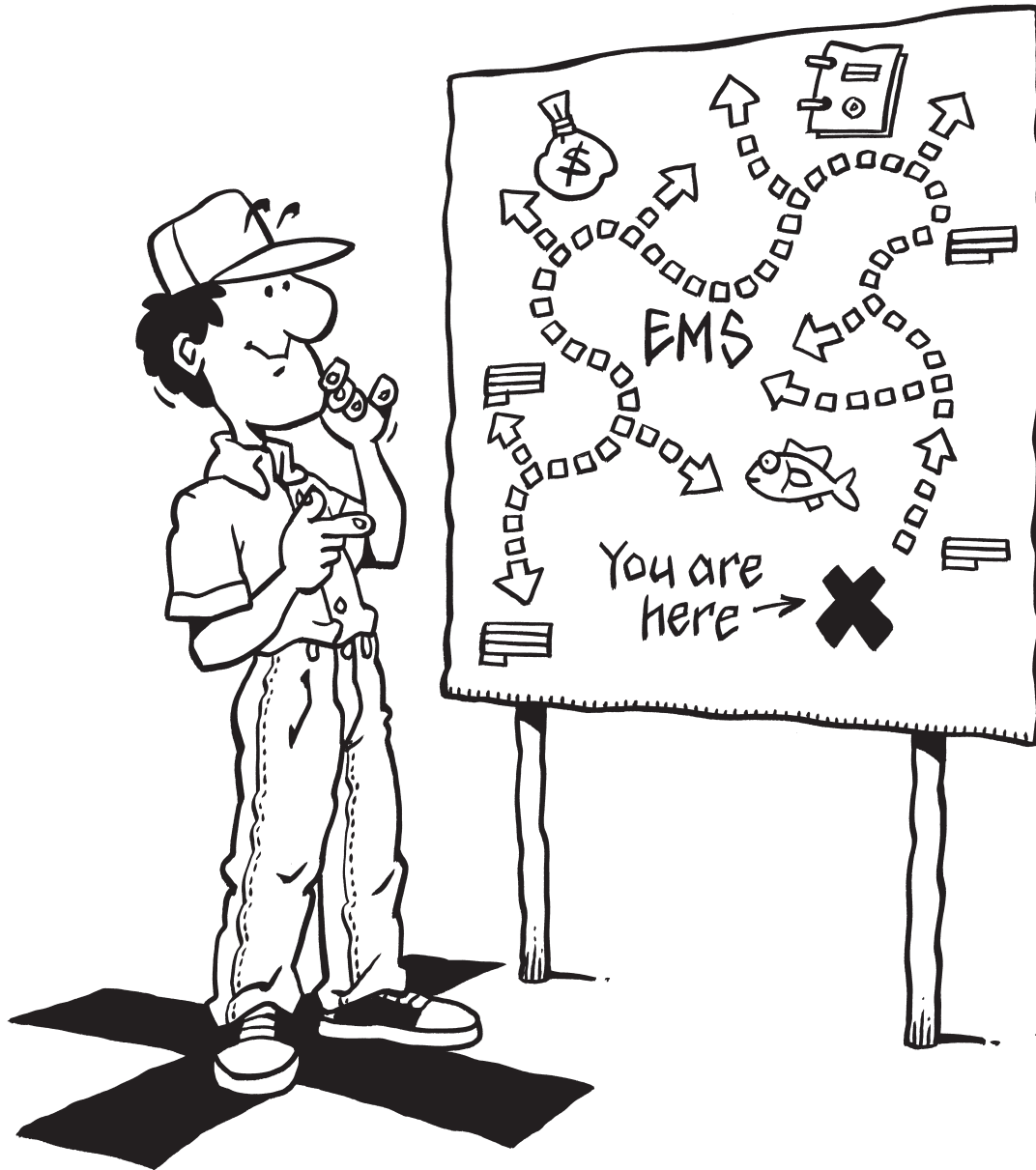
Make working copies of worksheets for use in this exercise. Keep your written material clear and legible, including notes.

SELF-ASSESSMENT 2

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

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

IDENTIFY YOUR RISKS AND OPPORTUNITIES!



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

Step 3. Risk⁹ Assessment: Identify your risks and opportunities

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

Risks to your industry or business may relate to the environment¹⁰, food safety¹¹, OH&S¹², profitability or public relations¹³. Internal risks are those arising as a consequence¹⁴ of your operations¹⁵ and activities¹⁶. External risks are those arising from other people's activities, or from natural events such as extreme weather conditions.

By planning to manage your own risks, countermeasures can be in place to offset negative impacts before they materialise, or to capitalise on positive opportunities that may otherwise pass you by. However, to do this you need to know what those risks are, and the level of risk they may pose. Then you need to decide which risks require corrective actions¹⁷.

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

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

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

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

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

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

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

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

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

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

HELPFUL HINTS

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

INTERNAL AND EXTERNAL RISKS

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

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

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

External risks can also be associated with natural events such as extreme weather conditions. Cyclones or droughts are examples. While you cannot influence the likelihood¹⁸ of those events occurring, your EMS can help you to plan and implement measures aimed at minimising the impact on your organisation when these events occur.

UNDERTAKING YOUR RISK ASSESSMENT

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

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

- list the activities undertaken in conducting your operations
- identify potential hazards¹⁹ associated with each activity
- briefly describe the potential risk associated with each hazard
- classify each risk type²⁰ (environmental, food safety and quality, OH&S, profitability or public relations)
- briefly describe current controls aimed at mitigating risks
- rank each risk²¹, taking into account current controls²²
- identify your strengths, weaknesses, opportunities and threats
- update your contacts register
- document the above.

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

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

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

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

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

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

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

²² **'current controls'** current management or control measures aimed at reducing or eliminating a risk

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

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

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

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

RISK TYPES AND RISK RANKINGS

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

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

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

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

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

DECIDING WHETHER CORRECTIVE ACTION IS REQUIRED

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

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

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

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

WORKSHEETS USED IN THIS STEP

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

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

EXERCISE 3 APPLY THE THEORY

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

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

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

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

SELF-ASSESSMENT 3

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

Below is the list of topics you should have addressed:

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

SELF-ASSESSMENT 3 (CONTINUED)

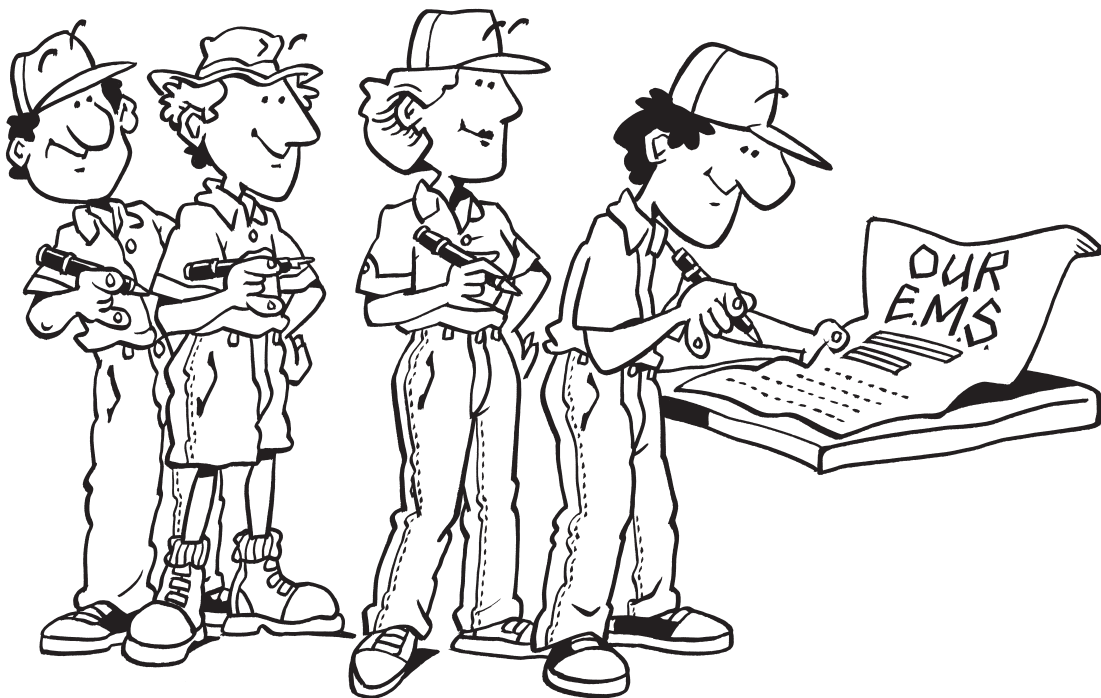
Have your members signed their agreement to progress to date?

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

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

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





Make a commitment to act!

Step 4. Policy²³ & Management: Make a commitment to act!

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

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

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

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

HELPFUL HINTS

- this step is about making a commitment — don't get bogged down trying to work out actions to deliver on your commitment — that happens in Step 5
- think of what you want to achieve — not just what you think you can achieve
- keep your policy brief and concise, so everyone understands it
- word your policy statement in terms that are clear and measurable, so that they can be specifically addressed in your action plan
- commit to addressing the impacts and opportunities identified in Step 3
- make your commitments reasonably achievable — over-commitment may result in a loss of credibility
- don't commit to changing activities that you have no control over — although you may decide to commit to influencing those activities
- road-test your policy statement with some friendly, objective, external interest groups before launching it — address any legitimate concerns they raise
- consult as many industry members as possible to ensure they understand your policy, have some "ownership" over it, and commit to subsequent actions
- make every effort to accommodate the legitimate views or concerns of stakeholders
- ensure everyone in your group signs on to your policy statement
- briefly re-visit your vision and scope to make sure they remain compatible with your policy
- make the launch of your policy an opportunity for positive publicity — to demonstrate your environmental commitment to the public
- decide on an appropriate EMS management structure and the membership and role of your EMS management team²⁴
- decide on an organisation²⁵ (existing or new) to take carriage of your EMS
- look for one or more leaders or champions in every group — the challenge is often to identify them and then to encourage them to take on a more formal leadership role, in this case to champion the EMS in the industry and community.

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

²⁵'EMS organisation' the organisation that you agree will take carriage of your EMS

DEVELOPING YOUR POLICY

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

In this step, you will:

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

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

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

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

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

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

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

EXAMPLES

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

Policy goals:

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

Commitment to achieving policy goals

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

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

Example 4: Policy (generic – brief)

Our organisation and its members are committed to:

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

Example 5: Long Sound Professional Net Fishing Association

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

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

Compliance

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

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

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

Prevention

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

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

Continual Improvement

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

{Signed}.....

Secretary
The Long Sound Professional Net Fishing Association

EMS MANAGEMENT STRUCTURE

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

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

EMS ORGANISATION

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

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

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

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

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

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

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

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

SEMS organisation model rules

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

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

EMS MANAGEMENT TEAM

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

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

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

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

Terms of reference

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

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

An effective management team will:

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

INDUSTRY LEADERS AND CHAMPIONS

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

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

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

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

WORKSHEETS USED IN THIS STEP

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

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

EXERCISE 4 APPLY THE THEORY

Policy

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

EMS management structure

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

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

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

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

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

SELF-ASSESSMENT 4

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

POLICY



Have you perused the information available about EMS policy?

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

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

Have you recorded your draft policy in the worksheet?

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

SELF-ASSESSMENT 4 (CONTINUED)

EMS MANAGEMENT STRUCTURE

Have you perused the information available about EMS management structure?

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

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

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

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

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

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

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

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

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

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

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





Decide on the actions to make it happen!

Step 5. Action²⁶ plan: Decide on actions²⁷ to make it happen!

Your action plan defines the goals²⁸ you are aiming to achieve in addressing each priority risk; the actions to be taken to achieve those goals; who is responsible; and a deadline for each action.

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

²⁶ **'action plan'** plan describing the actions and steps to implement an EMS

²⁷ **'action'** the process of doing something in order to achieve a goal

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

HELPFUL HINTS

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

DEVELOPING YOUR ACTION PLAN

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

In this step, you will:

- set goals for each risk requiring corrective action
- decide actions to be taken to achieve goals, by whom²⁹ and by when
- decide how to monitor³⁰ progress towards achieving goals
- consider audit processes (if any) required for each goal
- consider appropriate processes to report progress
- consider the resources required to implement the action plan
- document the above.

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

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

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

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

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

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

Now

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

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

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

Setting goals

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

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

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

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

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

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

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

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

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

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

Goals should be SMART:

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

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

Deciding action

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

Allocating responsibility for actions

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

Setting deadlines³¹

Deadlines need to be attainable, affordable and acceptable.

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

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

Audit process³²

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

Reporting process³³

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

Resources

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

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

³² **'audit process'** the process by which progress towards meeting a goal is evaluated

³³ **'reporting process'** the process by which progress towards a goal is reported

WORKSHEETS USED IN THIS STEP

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

- Worksheet 15 Action plan

EXERCISE 5 APPLY THE THEORY

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

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

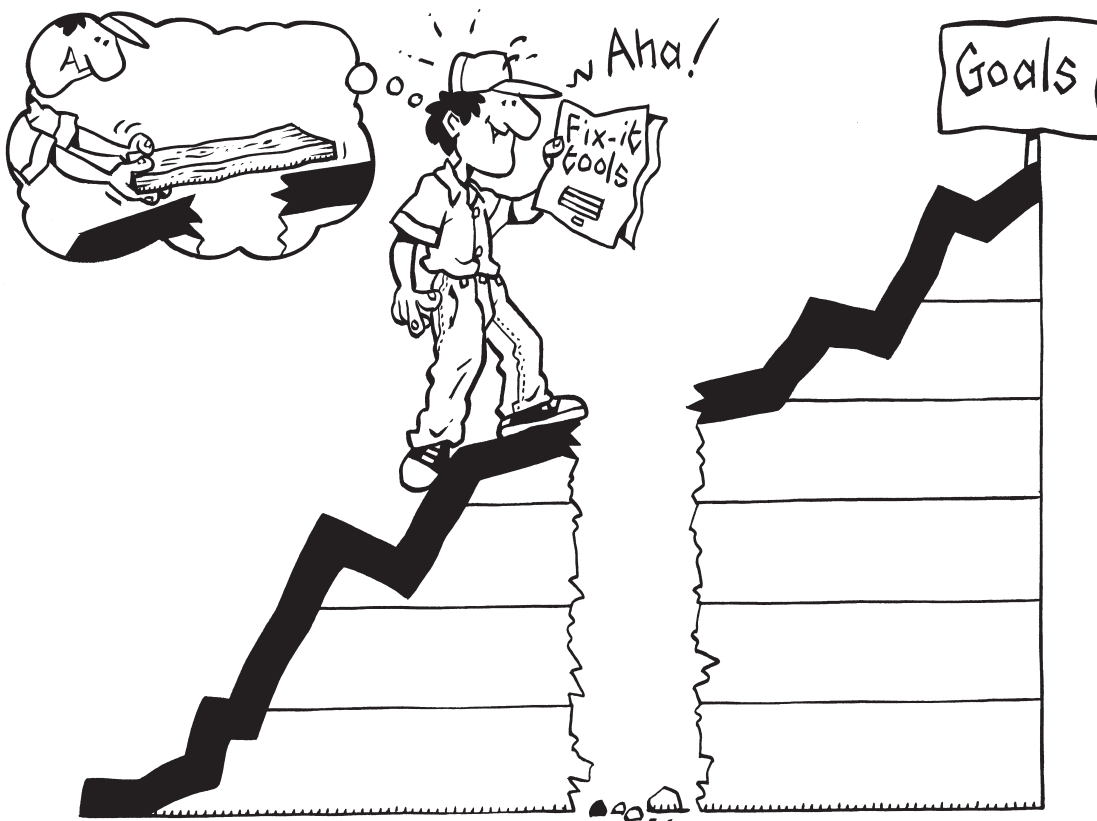
Review all that you have written for this step. Polish it and adjust it to suit yourself, but ensure that it is relevant to **your** organisation and that it addresses **all** the elements that apply to your organisation. Use the checklist that follows to ensure you have covered all relevant points.

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

SELF-ASSESSMENT 5

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

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



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

Step 6. Implementation: Make it happen!

In this step, you will implement your action plan³⁴, and monitor and refine your actions to ensure you are achieving the outcomes you want.

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

By now, you know what you have to do, and you know how you intend to do it. Next, you need to put all of these plans into action. This requires your organisation to develop or acquire the capabilities to implement your EMS action plan. You will need a communication plan³⁵, a training plan³⁶ and resources to make the EMS happen.

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

For example, a code of practice may not work because some people ignore it. Your corrective action could be to make sure everyone is aware of the reasons for the code of practice and the consequences if they do not follow it. You could also resolve public criticism by publicly promoting the code of practice as the standards by which you work.

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

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

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

HELPFUL HINTS

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

THE IMPLEMENTATION STEP

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

In this step, you will:

- create a task list³⁷ for each person or organisation responsible for implementing actions
- develop a training plan
- develop a communication plan
- develop a plan for emergency response³⁸
- implement a document control system
- commence implementing and monitoring the actions determined under step 5
- document the above.

³⁷ 'task list' a list of EMS actions allocated to an organisation or individual

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

IMPLEMENTATION STRATEGIES

Key elements of your implementation strategy should include:

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

Monitoring progress

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

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

You should develop procedures to:

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

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

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

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

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

Key questions to consider:

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

Create and update task lists

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

Develop a training program

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

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

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

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

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

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

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

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

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

Develop a communication plan

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

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

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

Effective internal communications will help you to:

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

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

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

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

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

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

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

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

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

Organising yourself

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

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

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

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

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

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

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

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

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

Table1 SEMS procedures register

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

Hints on writing procedures

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

Fixing EMS problems – and avoiding them in the future

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

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

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

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

Emergency preparedness and response

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

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

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

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

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

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

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

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

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

WORKSHEETS USED IN THIS STEP

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

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

EXERCISE 6 APPLY THE THEORY

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

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

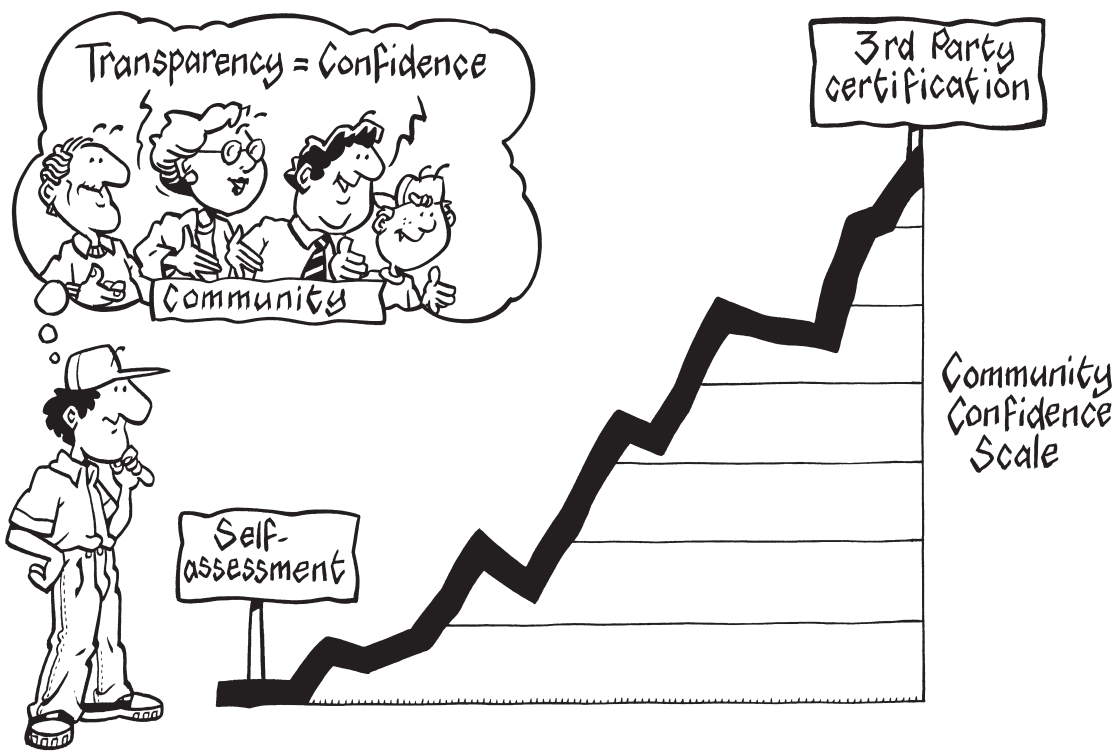
Review all that you have written for this step. Polish it and adjust it to suit yourself, but ensure that it is relevant to **your** organisation and that it addresses **all** the elements that apply to your organisation. Keep in mind that in the future you will refer back many times to what you have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

SELF-ASSESSMENT 6

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

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

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



Demonstrate your performance — and achieve credibility!

Step 7. Audit³⁹, certification and review⁴⁰: Demonstrate your performance — and achieve credibility!

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

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

There are several options available for auditing an EMS. The one you choose should directly relate to the level of confidence in your performance that you want your customers, the community or governments to have. For example, gaining the community's confidence that you are serious about a particular issue may be as simple as involving community representatives in the process, but it may take more.

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

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

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

HELPFUL HINTS

Auditing

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

DEVELOPING THE AUDIT PROGRAM

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

In this step, you will:

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

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

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

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

Transparency = confidence!

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

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

Table 2 Typical customer expectations

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

For example, gaining the community's confidence that you are serious about a particular issue may be as simple as involving community representatives in the relevant EMS processes such as the internal assessment relating to that issue.

Audits generally fall into the following three categories:

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

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

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

Table 3 Audit/assessment options and deliverables

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

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

Certification

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

An individual or organisation may seek certification to:

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

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

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

KEY ELEMENTS OF YOUR AUDIT PROGRAM

Audit focus

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

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

Communication

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

Sources of evidence

Evidence may be gathered during your audit through:

- interviews
- document review
- observation of work practices

Key audit elements

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

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

Audit procedures

Audit procedures should describe:

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

Audit frequently

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

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

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

Selecting auditors

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

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

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

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

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

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

Auditor independence

Auditors should be independent of the activities being audited. This can be a challenge for small organisations, particularly when conducting internal audits. Options to enhance auditor independence include:

- negotiate audit services collectively with other similar organisations
- use external auditors
- have personnel audit areas for which they are not directly responsible

Integrating audits

Avoid duplication of audits! Duplication of audits = duplication of costs!

Consider integrating your EMS and regulatory compliance audit processes, but keep in mind that these audit processes may have different purposes. While you might want to communicate the results of EMS audits widely, the results of regulatory compliance audits might need to be communicated in a more limited manner.

If your company is registered under ISO 9000, consider using your internal quality auditors as EMS auditors. While some additional training might be needed for EMS auditing, many of the required skills are the same.

Results of regulatory compliance audits are often good indicators of EMS deficiencies. Use compliance audit findings to guide your EMS efforts.

AUDIT APPROACHES

This section gives an overview of audit approaches relevant to the seafood industry.

Internal audits / self assessment

The self-assessment process is a method for evaluating what you are doing, why you are doing it, and what you must do to improve your organisation's performance. Without self-assessment you are likely to repeat mistakes. Generally, an organisation that carries out a self-assessment of its own management system tends not to provide much assurance to interested parties and the community of an organisation's environmental claims.

Involving the community

You may actively involve the community in the process of developing and/or reviewing your EMS. This can help to avoid misunderstandings and ensure you are clear on the public's true objectives and views so they can be addressed.

An effective community consultation plan will address attitudes and perceptions that the community holds about the industry, as well as developing relationships and trust.

Guidelines for Involving the Community in Monitoring and Evaluation

- obtain the community's agreement for a participatory approach – make it official
- make sure objectives and methods are clear from the outset. Methods should be simple and adapted to the local culture and ways of doing things
- recruit community members who truly represent community views and attitudes.

A participatory approach with the community can:

- help communities accept the responsibility for addressing community based impacts
- enable members of the public to take responsibility for activities that they benefit from
- reduce the need for external experts, and lowers costs
- provide communities with an opportunity to learn about your industry.

Second party audits

A second party audit is an audit conducted by an external organisation to determine your compliance with standards or regulations set by that external organisation.

A second party audit may be conducted by an external organisation that wants to monitor your compliance with their quality standards, or by a government agency that wants to monitor compliance with the regulations that they administer.

While second party audits may engender the confidence of the external organisation that conducts it, and will help you continually improve your system, they may not provide the level of transparency required to gain public's confidence. Second party audit processes can be distorted because the auditors can easily become biased as they have a direct pecuniary interest in the outcomes.

Furthermore, because second party audits by their very nature are non-competitive, you may be faced with inflated audit costs and no opportunity to seek a more cost effective option such as alternative auditors or integrate the audit into your overall EMS audit.

As a general rule of thumb, a second party audit process should be able to be undertaken as cost-effectively as a third party audit, which will also provide more confidence in the outcomes, if the company or regulator undertaking the audit so desires.

Department of Environment and Heritage Fishery Assessments

To satisfy the Australian Government requirements for a demonstrably ecologically sustainable fishery, a fishery or fisheries (if a species is caught in more than one fishery), must operate under a management regime that meets Principles 1 and 2 of the *Guidelines for the Ecologically Sustainable Management of Fisheries*. It is important when deciding on the type of auditing system you are going to use to understand Principles 1 and 2, if you are required to meet them.

Principle 1 – A fishery must be conducted in a manner that does not lead to over-fishing, or for those stocks that are over-fished, the fishery must be conducted such that there is a high degree of probability the stock(s) will recover.

Principle 2 – Fishing operations should be managed to minimise their impact on the structure, productivity, function and biological diversity of the ecosystem.

The Environmental Protection and Biodiversity Conservation Act 1999 establishes benchmarks for the Environmental assessment of fisheries. A Terms of Reference is used in the assessment of the fishery to establish details, which include:

- Description of the fishery
- The environment likely to be affected by the fishery
- Proposed Management Arrangements for the fishery
- Environmental Assessment of the Fishery
- Management measures and safeguards to ensure ecological sustainability
- Monitoring and Alternatives
- Information Sources

The environmental assessment must be conducted under State or Australian Government legislation. The terms of reference must be prepared in consultation with the Department of the Environment and Heritage.

The purpose of the assessment is to identify negative impacts that may be caused by your operation, how they impact the environment and how to prevent them. Whilst there is no requirement for an Environmental Impact Assessment to be conducted for all activities, this type of second party audit system produces a higher level of confidence in your audit results than a self-assessment because it encompasses State or Federal legislation.

The assessments are conducted by Department of Environment and Heritage's Sustainable Fisheries Section (SFS) on behalf of the Australian Government. Submissions are prepared by the fishery management agency against the *Guidelines for the Ecologically Sustainable Management of Fisheries* (available from the SFS or at <http://www.deh.gov.au/coasts/fisheries/assessment/guidelines.html>). The Guidelines outline principles and objectives designed to ensure a strategic and transparent way of evaluating ecological sustainability.

Environmental Consultants

A second party option is having an environmental consultant engaged by you to do your audit. Consider the options; do a search on the internet.

Third party audits

This is an evaluation of a company by a certification body, and it lends its name to the concept that there are three parties involved: the company, the certification body and the theoretical customer that the certification body is auditing on behalf of.

Third party audits allow you to:

- evaluate your current practices, policies, procedures, and programs
- determine your level of regulatory compliance
- recommend appropriate program development, modification, or consolidation
- develop a program plan to meet your specific needs.

SSA Third Party Audit

SSA is currently working on developing a transparent and objective third party auditing regime for EMS audits with JAS-ANZ, the Joint Accreditation System of Australia & New Zealand. SSA has a goal of achieving the development and implementation of a third-party certification system that is acceptable to Department of Environment and Heritage (DEH), for more information contact SSA.

ISO 14001

ISO 14001 is part of the ISO 14000 series, voluntary environmental management standards and guidelines developed by the International Organisation for Standardisation (ISO). ISO 14001 is a standard for establishing and maintaining an environmental management system. Specific outcomes are not given to you; this standard allows you to develop your own EMS to suit your own operation. Certification is given to verify that a successful management process has been established.

The ISO 14001 Standard examines the management process only, and not the environmental outcomes or product. For this reason, ISO 14001 certification provides no information or assurance about the level of environmental impact a certified organisation's achieves.

The ISO 14001 Standard is not specific to fisheries or aquaculture, but is applicable across all sectors and all organisations. The ISO 14001 Standard was developed to bring consistency and common understanding to the design of environmental management systems in the global marketplace.

An independent certifier accredited by JAS-ANZ evaluates a management system to determine whether it meets the ISO 14001 Standard.

Even without certification, the ISO 14001 Standard and others in the ISO 14000 series can provide useful guidance to designing and improving your management system, for more information visit www.iso14000.com.

Marine Stewardship Council

Marine Stewardship Council (MSC) offers certification to marine capture fisheries if they meet the principles and criteria for good management and sustainability established by MSC. The aim of MSC is to encourage sustainable fishing operations through product eco-labelling aimed at consumers.

An eco-label is a symbol that indicates an environmentally friendly product. This allows consumers the choice to buy environmentally friendly products. Contact the Fisheries Research and Development Corporation for a copy of the "Ecolabelling guide". www.frdc.com.au

The MSC is an international accreditation body for sustainable fisheries, for more information visit www.msc.org

The MSC label is increasingly recognised in Europe and the USA with some major retailers implementing policies of selling a minimum amount of MSC labelled product.

REVIEWING YOUR MANAGEMENT SYSTEM

What is a management review?

The key question that a management review seeks to answer: "Is the system working (that is, is it suitable, adequate and effective, given our needs)?"

An EMS Management Review is conducted to evaluate the effectiveness of your organisation's EMS and its role in the goals that you set. Continually improve your EMS by reviewing it at regular intervals — your audit report will help you to identify where improvements can be made. Results of your EMS audits therefore need to feed into your EMS management review.

The results of regulatory compliance audits are often good indicators of EMS deficiencies; use compliance audit findings to guide your EMS efforts, and include them in your management review.

Your audit results can help you to identify trends or patterns that need to be fixed and gaps or deficiencies that need to be corrected. Your management review can help you to:

- maintain management focus on agreed goals
- improve the EMS and its performance
- ensure the system's cost-effectiveness.

Management Review Tips

- changing circumstances might be internal to your organisation (such as new facilities, changes in catch, new customers, etc.) or might be external factors (such as new laws, new scientific information or changes in access rights)
- involve people in the management review process who have the right information and knowledge, and people who can make decisions about the organisation and resources
- determine how often to conduct the management review so that it will work best for your organisation; consider combining these reviews with other meetings, but at a minimum, consider conducting management reviews at least once per year
- during management review meetings, make sure that someone records what issues were discussed, what decisions were arrived at, and what action items were selected
- be sure that someone follows-up and progresses action items
- at the end of each review, you should come away with at least one improvement to the management of your EMS, this way you know you are continuously improving
- after your first review, don't be disconcerted if you have many changes to make.

This is a good step towards improvement, and it is best done as soon as possible after you implement your EMS.

Conducting your management review

Key questions to consider:

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

Suggested information sources for review:

- results and recommendations of system audits
- results of performance monitoring and evaluations – progress towards operational objectives and targets
- feedback from employees, members and other industry participants
- feedback from interested parties
- changes to legal or other requirements
- results of research (scientific and technical investigations)
- reports of emergencies and other incidents.

WORKSHEETS USED IN THIS STEP:

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

- Worksheet 21 Audit policy and procedures
- Worksheet 22 Management review

EXERCISE 7 APPLY THE THEORY

- 1 Peruse this section of the manual.
 - 2 Contact other EMS organisations and discuss the audit process they adopted – contacts on the Seafood EMS inventory at www.seafoodems.com.au.
 - 3 Discuss audit options as a group.
 - 4 In Worksheet 21 Audit policy and procedures lists goals and actions by the audit processes that you determined for them in step 5.
 - 5 Agree on your EMS audit and certification approach and document the reasons for taking this approach including:
 - a. 1st party, 2nd party or 3rd party
 - b. certification sought (if any)
 - c. audit procedures and protocols
 - d. audit frequency
 - e. auditor selection process
 - f. integration with other audits
 - 6 Communicate information about your audit process to all members of your group.
 - 7 Develop and describe your management review procedure, including how you will implement recommendations arising from it. Use Worksheet 22 Management review as required, and to record the description of your management review procedure.
 - 8 Seek written agreement from members of your group to the outcomes to date.
 - 10 Place copies of working documents in your Seafood EMS Folder.
-

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

As with other steps, this is a lot of work. Just how much work it should be is your decision. Only you can decide how much is enough for you and **your** organisation. The quality of your work is in the results, and the results are indicated by your documentation.

SELF-ASSESSMENT 7

When you have completed Step 7, do this self-assessment. If you are satisfied with the result, move to Step 8. If you are not satisfied, revise those areas with which you were not happy. You should be able to answer yes to all the following questions:

- | | |
|--|--------------------------|
| | ✓ |
| Have you perused the relevant information about audit, certification and review? | <input type="checkbox"/> |
| Have you discussed audit, certification and review as a group? | <input type="checkbox"/> |
| Did you list your goals and actions by the audit the processes that you determined for them in step 5? | <input type="checkbox"/> |
| Have you agreed on your EMS audit and certification approach and document the reasons for taking that approach? | <input type="checkbox"/> |
| Have you selected an objective audit team? | <input type="checkbox"/> |
| Have you communicated information about your audit process to members of your group? | <input type="checkbox"/> |
| Have you developed and described your management review procedure, including how you will implement recommendations arising from it? | <input type="checkbox"/> |
| Have you recorded information about your audit, certification and review process in the worksheets? | <input type="checkbox"/> |
| Have members of your group agreed to the outcomes to date in writing? | <input type="checkbox"/> |
| Have you placed master copies all of documents in your SEMS Folder? | <input type="checkbox"/> |

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



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

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

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

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

Reporting also provides an opportunity to positively profile your organisation and members. Tell your story — about your achievements, about your successes, and also about where you would like to do better. You need to think about who you should report to, what your message is, and the best way to communicate your message to your target audience.

HELPFUL HINTS

- your reporting program is the best opportunity you will get to improve your public image as a responsible and accountable industry — it can help you to build a more positive, open relationship with the community and other interest groups
- involve all of your group — it will help to create a sense of pride and increase everyone's commitment to improving performance
- report progress against your priorities
- be open and honest — also report where you would have liked to make more progress and how you intend to in the future — this lets you, not the news media or pressure groups, put the issue in its proper perspective
- if you don't have a website, put your EMS reports on SSA's Seafood EMS website (www.seafoodems.com.au)
- prepare a newsletter to highlight your achievements — include graphs and pictures that help to tell your story — look at other reports and newsletters for ideas
- remember that your EMS plan is a great source of information in its own right
- the Seafood EMS Communication Kit and the Community Communications Guide, have some great tips about getting your message across to your target audience.

DEVELOPING YOUR REPORTING PROGRAM

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

In this step, you will:

- Develop a program to report your progress (who, how and when)

In the process of developing your EMS, you created and gathered a wealth of positive information about your industry. Now is the opportunity to use this information in easy to understand forms that are suitable for a range of great good news stories.

You need to think about who you should report to, what your messages are, and the best way to communicate your messages to your target audience. To do this, take advantage of a ready made proven strategy developed specifically for the Seafood Industry.

The Community Communication Guide

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

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

The CCG is an excellent communication tool developed through extensive industry consultation, which meets the communication needs identified by the industry. It is an essential resource for the EMS process. Below is a general template to assist you when implementing your community communication plan. It is to be used as a guide only in conjunction with the CCG.

Key elements of the Community Communication Guide

Objectives

Describe the objectives of the plan.

Target Audience/s

Identify the audience/s you will be communicating to.

Key Message/s

Identify the key message/s you want to communicate to the target audiences.

Methods

Identify the methods by which you are going to deliver the information to the target audiences during and after the development of your EMS. These methods may include media releases, workshops, forums, newsletters, websites, face-to-face communication or publications.

Action Plan

Develop a timeline identifying the methods, who is responsible for implementing them and the completion dates.

During Project

Method	Responsibility	Completion date
eg. Reporting to steering committee every 6 months	EMS Officer	Every 2 months

After Project

Method	Responsibility	Completion date
eg. Review your EMS	Management team	within 3 months

Evaluation

Identify how you will evaluate the success of the plan. This may include surveys of target audiences, recording of media coverage.

REPORTING OBJECTIVES

Clearly define your reporting objectives. You should agree as a group on what you aim to achieve by the reporting processes that you adopt. Objectives could include:

- a better informed public
- political decisions about your industry based on sound and accurate information
- create a positive industry image
- well informed industry members.

RESOURCES

Determine an overall communication and reporting strategy and resource it appropriately. Taking a proactive approach can deliver many positive benefits, including the opportunity to provide the public with accurate information about you industry and its environmental credentials. However, such an approach will pay very limited if any dividends unless you are prepared to underpin it with the resources required to make it happen.

RESPONSIBILITY

Every time you decide on a course of action, make someone responsible for ensuring it is implemented – or it more than likely will not be!

THE MESSAGES

Keep the messages simple, clear, concise and accurate. Remember, if the information you present is proved wrong, it will take a very long time to regain your credibility.

Be consistent with your messages, or you may add to public confusion.

An example of reporting a message would be creating a fact sheet on the background / history / heritage of your fishery, and distributing it to your desired audience. This way they can learn all about you in one simple step.

TARGET AUDIENCES, THEIR NEEDS AND EXPECTATIONS

Be clear about your target audience for any particular message – there will often be many and they will have different needs and expectations. The way that you deliver your message will also vary between target audiences (Table 4).

Table 4 Target audiences, needs and delivery mechanisms

Target audience	Information need	Delivery mechanism
General public	Knowledge that fishery is sustainable	Media, festivals and events, launches (eg, EMS)
Local government	Information re: industry practices and beach access	Face to face meetings, formal briefings
Advisory Committees	Advice on issues under consideration	Formal submissions and representations
Governments	Solutions to issues	Delegations and formal submissions
Politicians	Media opportunities	Invite them to launch your EMS and outcomes achieved
Media	Any information that could lead to a story	Get to know journalists and make them aware of good news stories
Academics	Opportunities for projects	Network with relevant university departments
Environmental groups	Status of fisheries	Keep them well briefed on the facts

REPORTING FORMAT

How formal are the reports to be? Are they to be delivered verbally, or in print, at committee meetings, or mailed out? Reports can be emailed or posted to a website, or presented to meetings. Your EMS report, which consolidates a wealth of information about your industry, is a useful tool for delivering information to many different audiences. Always carry spare copies for handing out at meetings and giving to key people.

TIMING

Decide how often you need to deliver certain messages. Develop an annual reporting program that includes opportunities to tell good news stories that arise every year.

INTERNET

Consider creating a website. It is a relatively inexpensive way to give a wide range of people access to information about your industry.

PUBLIC FEEDBACK

Implement a process for responding to external inquiries. This can be a simple process as long as you can demonstrate that the organisation has a process for gathering and responding to external inquiries. In this way, you will be able to demonstrate that you do take concerns raised by members of the public seriously. In addition, members of the public who take the time to give you feedback will generally have a keen interest in your industry. They will also have a circle of friends and colleagues who they will tell good or bad news stories about your industry. Your efforts can help to ensure they are good news stories.

In the process of developing your EMS, you created and gathered positive information about your industry. Now is the opportunity to use this information in easy to understand forms that are suitable for a range of 'good news stories'.

You may consider doing things such as:

- organising workshops or events
- speaking at functions or seafood festivals
- designing and printing brochures
- promoting seafood education
- developing a website
- gaining sponsorship and funding
- lobbying.

Utilise this resource for communication activities throughout the development of your EMS.

EXERCISE 8 APPLY THE THEORY

- 1 Peruse this section of the manual.
- 2 Contact other EMS organisations and discuss the reporting processes they have adopted – contacts on the Seafood EMS inventory at www.seafoodems.com.au.
- 3 Peruse the Community Communications Guide for ideas on effective reporting processes that you can implement.
- 4 Discuss reporting options as a group.
- 5 Agree on and document a reporting process including:
 - a. Objectives
 - b. Resources
 - c. People responsible for agreed actions
 - d. Messages
 - e. Target audiences
 - f. Reporting delivery mechanisms
- 6 Record a summary of your reporting process in your communication plan developed in Step 6.
- 7 Consolidate all relevant information generated in the development of your EMS, and recorded in your worksheets, into the SEMS Plan Template, and:
 - a. Edit the template as required to create a draft environmental management plan, and other plans as required
 - b. Finalise your plan/s in consultation with members of your group
 - c. Arrange for the launch of your plan/s
- 8 Seek written agreement from members of your group to the outcomes to date.
- 9 Place master copies of working documents in your Seafood EMS Folder and complete Worksheet 19 Document Control.
- 10 Summarise the training program in this manual, its strengths and shortcomings, and how you believe it needs improvement or change. Explain your reasoning.

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

The written report should be in the style and format you have developed. It should serve as your review of the whole course and your progress through it. Answer the self-assessment questions. If you're satisfied with your progress, record your communicating and reporting process in section 8 of the Seafood EMS Plan Template.

SELF-ASSESSMENT 8

When you have completed Step 8 do this self-assessment. The more brutally honest you are with yourself, the better your result will be.

- Have you perused the relevant information about reporting?
- Have you discussed reporting as a group?
- Have you perused the Community Communications Guide for ideas on effective reporting processes that you can implement?
- Have you agreed on and documented your reporting process?
- Have you recorded a summary of your reporting process in your communication plan?
- Have you consolidated all other relevant information generated in the development of your EMS in the SEMS Plan Template and edited it to create a draft environmental management plan, and other plans as required?
- Have you finalised your plan/s in consultation with members of your group?
- Have you arranged for the launch of your plan/s?
- Have members of your group agreed to the outcomes to date in writing?
- Have you placed copies of all documents in your SEMS Folder?
- Have you prepared a summary on this program, its strengths and shortcomings, and how you believe it needs improvement or change?

Appendix 1. Linking Seafood EMS & regional natural resource management

Linking Seafood EMS and Regional NRM

The seafood industry is already involved in a number of processes and programs that could add benefit to the regional natural resource management (NRM) process. This brief outlines some of the major linkages between fisheries research and development (R&D), seafood environmental management systems (Seafood EMS) and the regional NRM process.

The NRM process

The regional NRM process aims to facilitate more effective delivery of funding for natural resource management throughout Australia. Fifty-six planning regions have been determined which will all have their own regional NRM plan developed by the local community with government and scientific guidance. Regional plans identify priorities and targets for natural resource management and are supported by a regional investment strategy which will deliver investment of the Natural Heritage Trust and National Action Plan for Salinity and Water Quality programs funded by the federal government.

Seafood EMS

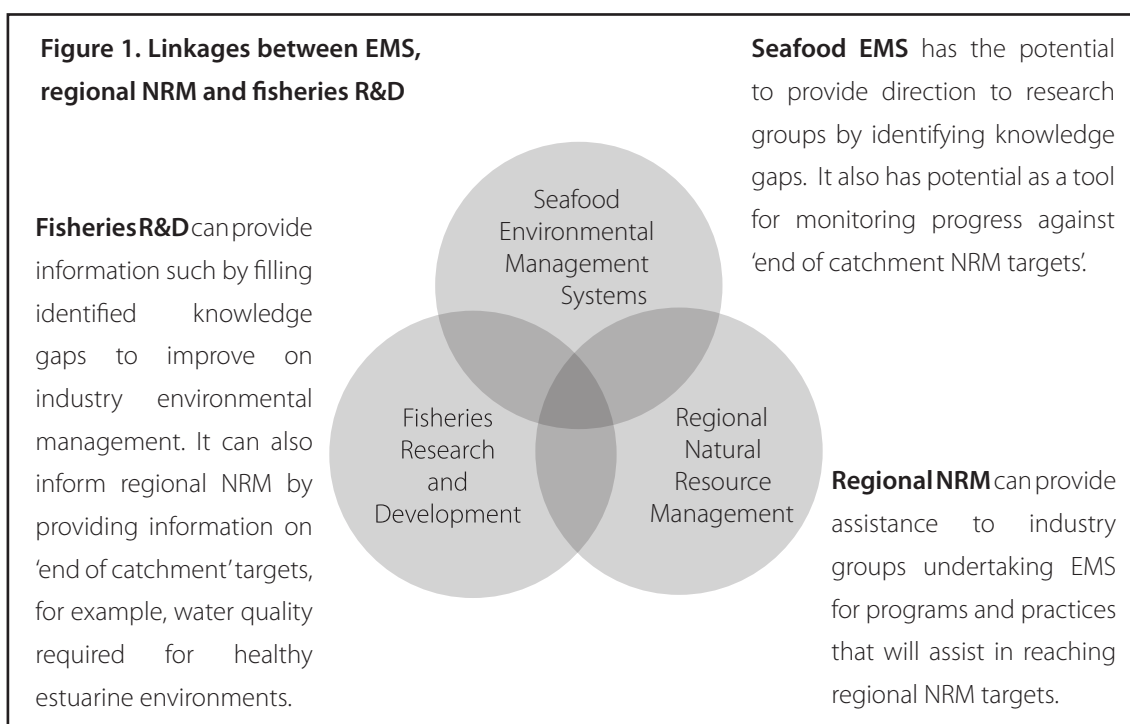
The seafood industry, along with a range of other primary production industries, has taken up the process of developing environmental management systems for regions or industry groups in recent years. As a user of a common resource fishers are under pressure to manage their work with the least possible impact on the environment. They are also highly affected by changes in their surrounding natural environments. EMS are seen by industry as an integrated management approach that puts in place a continual process of planning, implementing, reviewing and improving actions that a group undertakes to manage its risks and opportunities.

Fisheries R&D, EMS and NRM

Using existing fisheries research and development work

Habitats and processes supporting commercial fisheries production are already a focus of those involved in fisheries research and development. The regional NRM planning process can incorporate this information in the development of 'end of catchment' targets. Paying particular attention to information on land based impacts on water quality and flows that may affect the production value of fisheries. There may be opportunities for regional NRM and fisheries R&D bodies to work together to progress projects that will result in improved conditions of the marine environment.

Priority issues and sites for the seafood industry that should feed into the NRM process are likely to be available from existing sources, such as through industry organisations and management advisory committees. Some groups participating in an EMS process have already identified priorities for their own regions and/or industries particularly through the risk assessment process. Seafood industry priorities need to be made available at the regional planning level (if they have not been included already).



Opportunities for greater future collaboration

The EMS process, particularly the risk assessment component has already helped a number of groups to identify knowledge gaps that exist in their fishery. By asking the question 'What is the current risk level?' some groups have found they have to answer, "We don't know". Identifying knowledge gaps through EMS provides an opportunity to develop resource management priorities for the seafood industry. These research priorities can feed into both fisheries research and development and regional natural resource management.

EMS for implementing, monitoring and evaluating NRM plan targets

EMS provides an opportunity to develop specific NRM targets that can be applied across a whole region. This is already demonstrated through the successful development of regional/industry EMS in a number of seafood industries sectors and more widely in a variety of agricultural sectors. Often priorities and targets relating to seafood EMS and the continuation of sustainable fishing practices are likely to overlap with the natural resource

management targets. EMSs are also valuable tools in monitoring and continuing to update catchment/regional priorities and targets. The core idea behind an EMS is a developing a process of continual improvement which involves the monitoring and evaluating progress on a regular basis.

Useful Websites

Natural Resource Management <http://www.nrm.gov.au/about-nrm.html>

Natural Resource Management - What does it all mean?

<http://www.australian-aquacultureportal.com/ems/NRM%20explained.pdf>

Seafood Environmental Management Systems <http://www.seafoodems.com.au/>

Appendix 2. Resources to help you

SEAFOOD EMS RESOURCES

Seafood EMS resources will help you to choose and implement an environmental management system that you need for your business or fishery.

Time and money can't be wasted when you are in business. SSA's Seafood EMS (SEMS) Resources help to de-mystify environmental management systems (EMS) for seafood businesses and organisations and distil a huge amount of experience for you to tap into. They have been tested and refined by SSA and industry so that you can start preparing an EMS right now — one that is tailored uniquely to your situation.

THE SEAFOOD EMS CHOOSER

This booklet helps to de-mystify the myths about environmental management systems, and will help you to decide on the EMS that you need for your business or fishery.

SEAFOOD EMS CD ROM

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

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



where they can be edited and fine tuned as required:

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

SEAFOOD EMS ASSESSOR'S GUIDE

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

Please note: Although non-accredited training providers may possess the competence

required to assess your skills against the EMS units of competency, they are unable to issue you with statements of attainment that recognise your EMS skills. A list of accredited training providers can be found at www.seafoodems.com.au



SEAFOOD EMS COMMUNICATION KIT

The kit helps you gain recognition for EMS achievements and gain community support for your industry. The kit contains: a communication “compass” which describes how to communicate with key stakeholders throughout the EMS process; a quick reference media guide; over 30 tip sheets and handy resources; and a link to a dozen additional resources ranging from a contact database template to PowerPoint presentations and workshop checklists.

SEAFOOD EMS RECIPES FOR SUCCESS

The purpose of this booklet is to help you to benefit from the experiences of the Seafood EMS Pilot Groups. The publication focusses on evaluating the benefits of EMS in the seafood industry.

WALKING THE TALK - SEAFOOD EMS CASE STUDIES

This Publication supplements Seafood EMS Recipes for Success, and relates to the experiences of the pilot groups.



OTHER RESOURCES AND SMART TIPS

THE COMMUNITY COMMUNICATION GUIDE IS A GREAT RESOURCE

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

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

***The guide is available from www.seafoodbookshop.com.au
Celebrate success – if you do not tell your good news stories, who will?***

SEAFOOD EMS WEBSITE

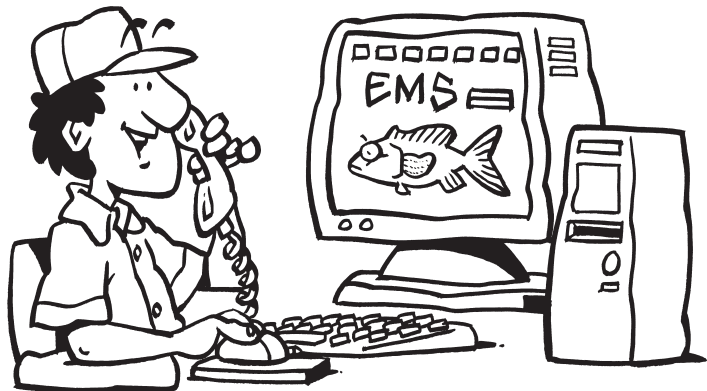
The seafood EMS website (www.seafoodems.com.au) brings you new resources and ideas about EMS as they are developed.



CONTACT SSA AND TAP INTO KNOWLEDGE AND IDEAS

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

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



Enjoy your EMS journey!

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

Contact SSA for the latest EMS information:

www.seafoodems.com.au
ssa@seafoodsolutions.com.au
phone 1300 130 321 toll-free.

www.seafoodbookshop.com

brings you the latest and best knowledge from around the world!



At SSA's online bookshop, you can get your hands on information that lets you move ahead and stay ahead — on subjects such as:

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