



Seafood EMS

Worksheets

... to help you work through each EMS step



SEAFOOD SERVICES
AUSTRALIA

LEADERS IN INDUSTRY DEVELOPMENT



Seafood EMS Worksheets

The following worksheets have been prepared to assist with your creation of an EMS.

Worksheet 01 Tips for EMS facilitators

Worksheet 02 Conducting workshops

Worksheet 03 Record your vision

Worksheet 04 Contacts register

Worksheet 05 SEMS agreement form

Worksheet 06 Record your scope

Worksheet 07 Legal register

Worksheet 08 Risk assessment

Worksheet 09 Ranking risks

Worksheet 10 Risk report

Worksheet 11 Record your policy

Worksheet 12 Record your EMS management

Worksheet 13 Guide to SEMS organisations

Worksheet 14 Model rules for an Association

Worksheet 15 Action plan

Worksheet 16 Work programs

Worksheet 17 Task worksheet

Worksheet 18 Training plan

Worksheet 19 Document control

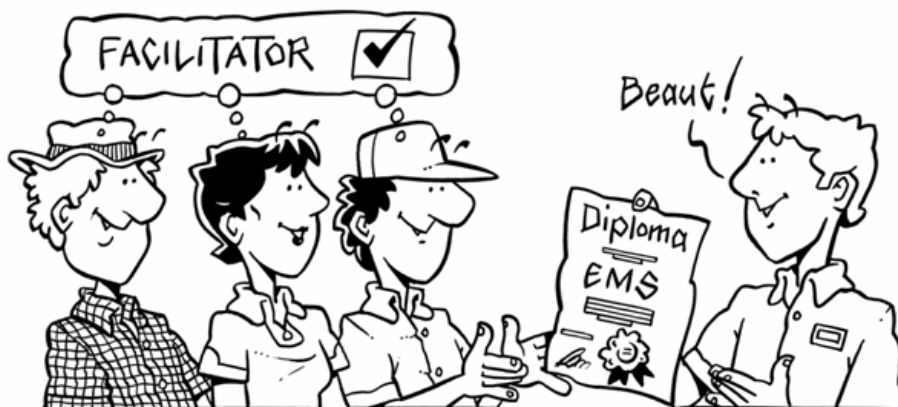
Worksheet 20 Emergency response

Worksheet 21 Audit policy and procedures

Worksheet 22 Management review

SEMS Worksheet 1 – Tips for EMS facilitators

... to help you to facilitate your EMS



Contents

Purpose of the worksheet.....	2
Overview and tips.....	2
Tips for facilitators	2
What is a facilitator?	2
Role of facilitators	2
Facilitator skills and knowledge.....	2
Setting the scene.....	3
Getting started	3
During the workshop	4
Keeping the group interested and motivated in EMS.....	4
Before you finish.....	4
Characteristics of adult learners.....	5
Adults learn better:	5

Important note: Make working copies of this worksheet as required – keep this master copy for photocopying

Purpose of the worksheet

The purpose of this worksheet is to provide the facilitator with important hints to use during the process of the EMS workshops and meetings.

Overview and tips

It is necessary to assign one person the job of facilitator in your EMS in order to keep everything and everyone organised during the process. By now you would have read the overview in the manual about facilitators, if not it would be beneficial to do so.

The facilitator can be decided upon before your first workshop, so that he / she has time to prepare the relevant documents and the role they have to play.

Tips for facilitators

What is a facilitator?

A facilitator is a person who helps to make the process of developing and implementing an EMS clearer and easier to follow, while enabling those involved to work in ways that suit them best.

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.

Role of facilitators

- advise on and coordinate activities of seafood industry groups developing an EMS
- facilitate communication and cooperation within and between the EMS group and other stakeholders, including relevant government agencies
- advise on and assist with EMS documentation
- help the EMS group to identify and access the resources needed for their EMS
- assist with applications to grant bodies for projects relevant to the EMS
- advise on industry best practice and the availability of programs such as SeaNet that may be able to assist with the adoption of best practice

Facilitator skills and knowledge

- ability to work with individuals and small groups
- communication skills – for explaining and illustrating EMS procedures and techniques
- motivation – to gain EMS ownership and commitment from participants
- extension skills – to maximise outcomes achieved by individuals and groups
- knowledge of adult learning processes
- knowledge of EMS development and implementation
- ability to encourage EMS adoption

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 group's strengths and weaknesses, and the resources available for the EMS.



Setting the scene

Hold meetings and workshops in a venue where the entire group will feel comfortable. Consider using the local seafood association's meeting rooms, boat or fishing club function rooms etc. If there are conflicting parties in the group, make sure meetings are held in a neutral venue.

Be relaxed and comfortable. Make sure you have all the resources you need before meetings. Check that the place you choose has all the equipment you need (eg. Whiteboard, butcher's paper, pen etc).

Set a friendly, relaxed and respectful atmosphere from the start. Make sure everyone knows each other. Check everyone has any background material needed

Think about getting guest presenters from within the industry who have already done an EMS to make a presentation at the meetings. This can set the scene from an industry perspective. (Remember to make sure the person has a good profile and is well-respected by the group)

Getting started

Make sure you explain any materials the groups will use. A clear explanation of what the material is, and how to use it will prevent confusion.

Find out what the participants' drivers for EMS are (i.e. what is driving them to take part?) Strong drivers make it easier to develop an EMS and keep the group interested.

Explain and display (if possible) the 8-step Seafood EMS Chooser process- a clear structure will make it easier for the group to understand what an EMS is and how to get there.

Encourage participants to talk about what they want to get out of an EMS- this encourages ownership of the process and the final product

PowerPoint presentations can give a visual impact.

During the workshop

Try to involve everyone in discussions - if this isn't happening naturally, try something like 'let's get the full range of views in the group on this issue'. If some people tend to dominate, try 'those are interesting points. Let's see what others think'.

Create a secure and comfortable environment for participants to express their views. Avoid a sense of competition and ensure everyone has opportunities to identify issues or ideas they don't understand.

Value participants and their views - if a group feels valued, they will assist you in setting a cooperative mood. Use people's names. Draw conclusions based on people's contributions.

Don't allow others to interrupt while someone else is speaking.

Encourage quiet people to have a say too.

Be an active listener. Listen carefully to what people are saying so you can help guide discussion.

Try to stay impartial when there are disagreements. Your role is to further the discussion and draw out the different viewpoints.

Conflict is OK if it's focused on the issue not the person. Everyone has to feel safe about expressing their views, even if they are unpopular.

Pauses and silences are OK. They probably mean people are thinking.

Help people connect with the issues being discussed - by encouraging participants to tell their own stories and draw on their own experiences.

Regularly intervene to summarise where you think the discussion has got to.

Ask the 'hard' questions, point out issues that people are ignoring, help the group examine its own assumptions.

Keeping the group interested and motivated in EMS

Get members of your group to present. This helps to develop pride and ownership of the process. Pick key people within the group to work with you. Industry leaders can help you facilitate meetings.

Treat EMS as a 'whole management system' approach for their business- not just the environment

Don't focus on paperwork- focus on change management in the business or organisation

Before you finish

Make sure you summarise where you have to. If any tasks have been set, make sure the people who are supposed to be doing them have a clear understanding of what they need to do (and by when).

Set the time and date for the next workshop, and get volunteers to make sure all the participants attend, for example by ringing other participants.

Characteristics of adult learners

- Adults have greater knowledge and wider experience than younger learners do. They like to be able to evaluate, challenge and question.

- Adults need to integrate new ideas with "old" ones if they are going to keep and use the new information.
- Adults can find it more difficult to relate to, remember and recall if what they are learning is totally new.
- Adults consider themselves independent.
- Adults are concerned with immediate problems.
- Adults enter learning situations with their own goals, motivations and needs.
- Adults learn better by doing.
- Adults prefer "How to" and "Hands on instruction".
- Adults prefer single concept programs that focus on applications to problems.

Adults learn better:

- if they are involved
- when materials are structured to meet their needs
- when the subject matter is connected to their daily activities
- when learning is experience-based with learning resulting from doing and exploring
- in informal but organised environments
- when materials are presented through a variety of methods with practical examples
- when subjects are explained and supported visually
- when activities and tasks are structured and clearly related to specific subjects
- through problem-solving instructional methods
- with real or model or case study experiences
- when given opportunities to apply and practice what they have learnt
- in a co-operative learning situations and in groups
- when they are not pressured or tested
- if given time for reflection and short breaks between instructional periods.

Source: <http://www.australianbusiness.com.au>

SEMS Worksheet 2 - Conducting workshops

... to help you to plan and conduct workshops for developing your EMS



Contents

Purpose of the worksheet:.....	2
Overview and tips:.....	2
EMS Workshop checklist.....	2
Workshop 1	2
Workshop 2	3
Workshop 3	3
Workshop 4	4
Continual improvement	4

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose of the worksheet:

To help you plan and conduct EMS workshops.

Overview and tips:

Workshops are an ideal way to enable people relevant to your EMS to participate in its development and review, and in so doing, to gain ownership over your EMS and actions arising from it. This worksheet consists of a checklist that provides general guidance on how to plan and conduct your EMS workshops. To achieve the maximum benefit from this worksheet:

- Allocate one person with responsibility for tracking progress with the checklist.
- Discuss the checklist at each workshop – so everyone knows what happens next and what is expected of them.
- Use the checklist as a guide – determine the number, frequency and content of your EMS workshops to suit your particular circumstances.
- Hold your EMS workshops in conjunction with other regular industry meetings, or even as a component of those meetings.

EMS Workshop checklist

Workshop 1	
<i>Preparing for Workshop</i>	[.....]
Visit www.seafoodservices.com.au/ems to gather EMS information and ideas	
Agree with core group of colleagues to investigate benefits of EMS	[.....]
Core group of industry participants agree to develop a Seafood EMS	[.....]
Network and discussion amongst industry re: EMS	[.....]
Contact SSA to discuss opportunity and dates for introductory workshop	[.....]
Agree with core group on a facilitator	[.....]
Decide date, venue and attendance list for introductory workshop	[.....]
Send workshop invitations (industry, SSA, peak bodies, trainers, other stakeholders)	[.....]
Acquire Seafood EMS Resources for workshop participants (Vision, worksheet #3; scope, worksheet #6; and risk assessment worksheet #8)	[.....]
<i>At the Workshop</i>	
During workshop record a summary of outcomes	[.....]
Record details of those who are included in the workshops	[.....]
Complete the first draft of your vision & scope in worksheets #3 and #6.	[.....]
If there is time begin the Risk Assessment	[.....]
Agree on date, time and venue for next workshop	[.....]
<i>After the Workshop</i>	

Distribute recorded summary of outcomes and draft of vision, scope and risk assessment to all stakeholders	[.....]
Workshop 2	
<i>Preparing for Workshop</i>	
Confirm date, venue and attendance list for workshop	[.....]
Invitations sent to workshop participants	[.....]
Contact SSA to acquire Seafood EMS Resources for workshop participants including risk assessment worksheet #8	[.....]
<i>At the Workshop</i>	
Distribute copies of risk assessment work sheet to core group members (if not already done in workshop #1)	[.....]
During workshop record summary of outcomes	[.....]
Complete Risk Assessment	[.....]
Revise vision and scope if needed	[.....]
Agree on date, time and venue for next workshop	[.....]
<i>After the Workshop</i>	
Distribute recorded summary of outcomes, and revised draft of vision and scope to all stakeholders or all members participating in the EMS.	[.....]
It is your choice if you want to distribute the risk assessment for comment, however, keep in mind it is beneficial to have a range of views on the subject.	[.....]
Workshop 3	
<i>Preparing for Workshop</i>	
Obtain comments from key stakeholders on circulated revised draft of vision, scope and risk assessment	[.....]
Confirm date, venue and attendance list for workshop	[.....]
Invitations sent to workshop participants	[.....]
EMS management team progresses drafting and incorporates legitimate comments	[.....]
Networking and discussion amongst industry re: next EMS stage	[.....]
<i>At the Workshop</i>	
Confirm draft vision and scope and revise risk assessment	[.....]
During workshop record summary of outcomes	[.....]
Develop draft policy and action plan, and discuss implementation	[.....]
Discuss organisation and association options	[.....]
<i>After the Workshop</i>	
Facilitator / key managers follow up on legal process of organisation / association	[.....]
EMS management incorporate progress into EMS Plan Template	[.....]

Distribute recorded summary of outcomes and Draft EMS plan to all stakeholders for comment	[.....]
Provide SSA with information for link to EMS inventory on Seafood EMS website	[.....]
Workshop 4	
<i>Preparing for Workshop</i>	
Obtain comments from key stakeholders on circulated Draft EMS plan	[.....]
Confirm date, venue and attendance list for workshop	[.....]
Invitations sent to workshop participants	[.....]
Obtain a copy of the Community Communications Guide from SSA if you do not already have one	[.....]
Networking and discussion amongst industry re: draft EMS Plan	[.....]
<i>At the Workshop</i>	
Update vision, scope, review risk assessment, and other relevant documents	[.....]
Draft EMS Plan confirmed	[.....]
Agree on implementation strategy for high priority actions	[.....]
Discuss a communication plan in order to promote your EMS to the public	[.....]
Agree on time, venue and process for public launch of draft EMS Plan	[.....]
<i>After the Workshop</i>	
Implement communication plan	[.....]
Distribute confirmed EMS plan	[.....]
Continual improvement	
EMS Plan included on agenda of industry meetings for continual improvement	[.....]
Hold bi-annual or annual EMS workshop to:	
review progress against agreed actions	[.....]
review the EMS Plan	[.....]
agree on actions and targets for forthcoming 12 months	[.....]
agree on plan to promote progress to the public, government & stakeholders	[.....]

SEMS Worksheet 3 – Record your vision

... to record your draft EMS vision



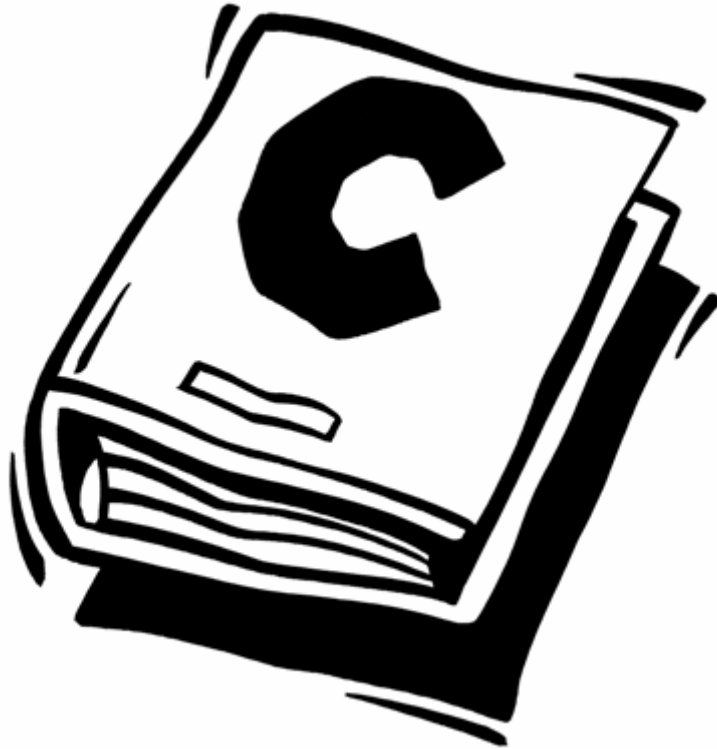
Contents

Purpose	2
Overview and tips	2
Our vision	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

SEMS Worksheet 4 – Contacts register

... to help you keep your contacts database up-to-date



Contents

Purpose:	2
Overview and tips:	2
Contacts register	2

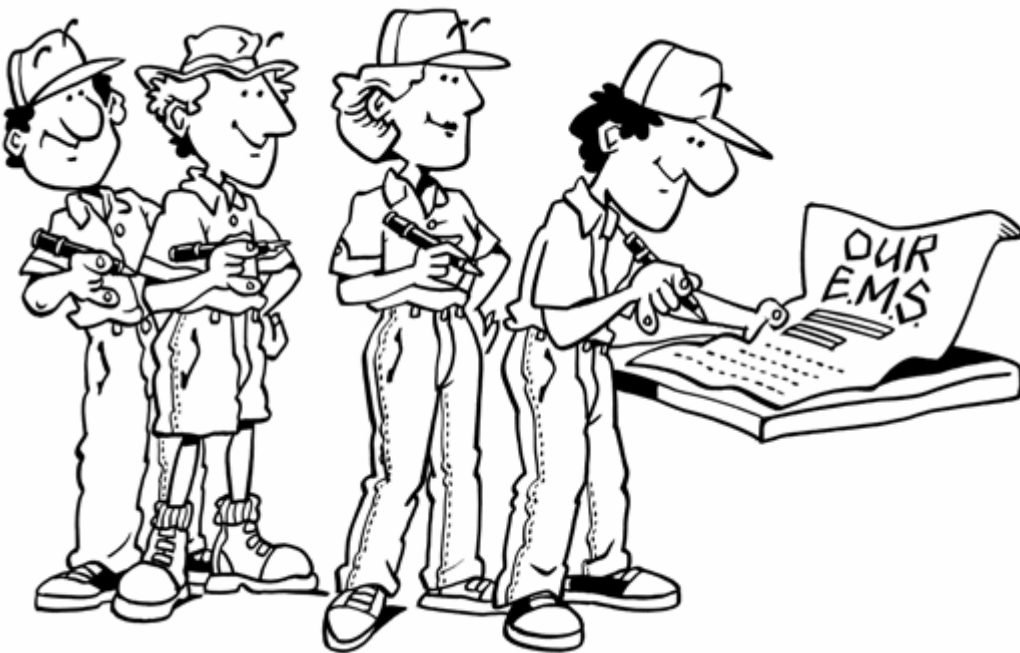
Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

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NAME	ADDRESS	PHONE & FAX	EMAIL
<i>Stakeholder contacts</i>			

SEMS Worksheet 5 – SEMS agreement form

... to record your members agreement to progress made in each step of your EMS development



Contents

Purpose:	2
Overview and tips:.....	2
The agreement form.....	3

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to record all members agreement and signature for the EMS process.

Overview and tips:

Having an agreement form is essential to the EMS process because it gives the group members a feeling of ownership and responsibility towards the EMS.

1. After completing each step, ask your members to sign their agreement to the outcomes
2. Keep the master copy of the signed agreement in your files

SEMS Worksheet 6 – Record your scope

... to record your draft EMS scope



Contents

Purpose:	2
Overview and tips:	2
Our EMS scope	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to provide a template to record your scope.

Overview and tips:

Your scope determines what areas of your business your EMS will cover. It is important to do this now at the beginning of your EMS so that nothing is missed, and so that you do not cover areas, which need not be covered.

Use the worksheet below to record drafts of your scope, and record the final draft of your scope in section 2 of the SEMS plan template.

Our EMS scope

Organisation Name: Date:
<u>Jurisdiction:</u>
<u>Sector:</u>
<u>Area of operation:</u>
<u>Methods:</u>
<u>Species:</u>

SEMS Worksheet 7 - Legal register

... to help you to keep track of the laws and policies relevant to your operations



Contents

Purpose:	2
Overview and tips:	2
Legal Register Example	2
Legal Register	3

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of the legal register is to keep track of the legal documents you need to use and refer to during your EMS.

Overview and tips:

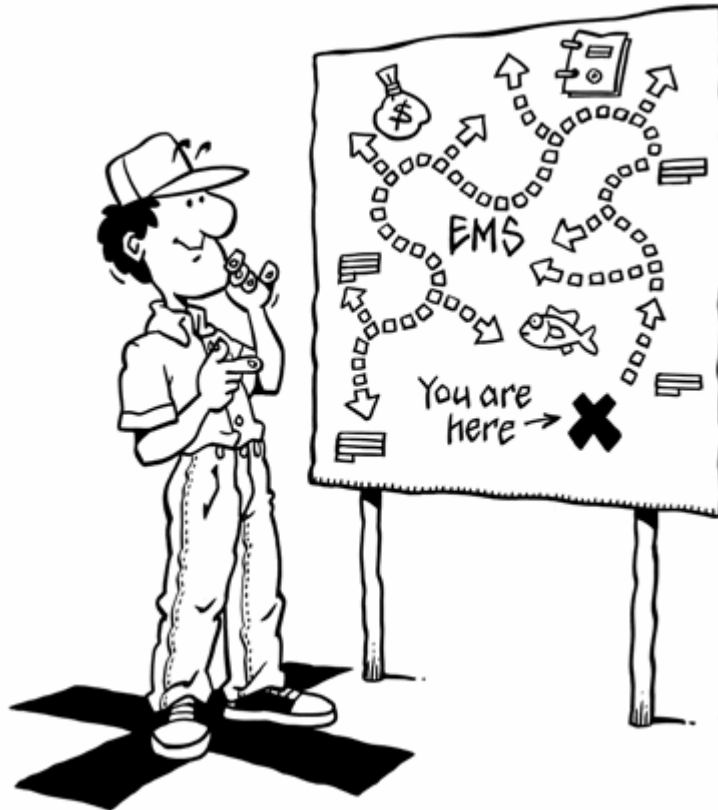
It can be potentially detrimental to your business if you do not understand or abide by laws or regulations pertaining to you. For that reason it is important to keep all legal documents handy, and updated if need be.

Legal Register Example

LEGISLATION	RELEVANCE
Example: Fisheries Act	Defines fisheries management framework, penalties and some specific rules
Example: Fisheries Management Plan	Defines specific rules for our fishery

SEMS Worksheet 8 – Risk assessment

... to help you assess and rank your internal and external risks



Contents

Purpose	2
Overview and tips:	2
How to use this worksheet	2
Risk codes	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose

The purpose of this worksheet is to assess the internal and external risks associated with your business.

Overview and tips:

This worksheet is about identifying the risks you have in every area of your business, as well as possible risks from outside your business. Risk assessment can help you to achieve more effective business planning, better cost control, higher efficiency, enhanced public perception of your industry, adoption of improved practices, more efficient utilisation of resources, and a stronger culture of continual improvement.

- Risk assessment can help you to identify many “good news” stories that can be used later to promote your EMS plan
- Don't get bogged down now by trying to decide what action you will take to mitigate risks — this happens later!

How to use this worksheet

1. Select the activities relevant to your organisation or business
2. Beside each activity, record the associated hazards
3. Beside each hazard, briefly describe its potential risk
4. Beside each risk, briefly describe current controls that aim to reduce or eliminate that risk
5. Beside each risk, allocate a risk type from the table below
6. Use *Worksheet 09 Ranking risks & Corrective action*, to help you rank each risk, and to help you to decide which risks require corrective action, (Yes or No), taking into account the current controls.
7. Follow the same process to assess and rank your external risks, and to decide whether corrective action is required.
8. Record all identified risks (including those that do not require corrective actions) in the *Worksheet 10 Risk report*
9. Attach your risk report to your SEMS Plan when required.

Risk codes

CODE	TYPE OF RISK	EXAMPLES
ENV	Environmental risk	A risk of environmental damage
FSQ	Food safety or quality risk	A risk to food safety and or quality
OHS	Occupational health and safety risk	A risk to occupational health and safety
P	Profitability risk	A risk to profitability
PR	Public relations risk	A risk to public relations

Worksheet 8 - RISK ASSESSMENT - EXAMPLES							
<u>Operation</u>	<u>Activity</u>	<u>Hazard</u>	<u>Risk</u>	<u>Current Controls</u>	<u>Risk Type</u>	<u>Risk Rank</u>	<u>Corrective Action</u>
<u>Licenses / Approvals</u>							(Yes / No)
EXAMPLE	License renewal	Refused renewal	Lost jobs and income	Keeping up to date on current requirements	P	Low risk	
<u>Provisions & Supplies</u>							
EXAMPLE	Load fuel	Fuel spill	Pollution	Crew member supervises and monitors fuelling at all times	ENV		
<u>Vessel Operations</u>							
EXAMPLE	Discharge bilge water	Oil in bilge water	Pollution	Oil from oil changes pumped into drums and disposed on land	ENV	Low Risk	Yes
<u>Fishing Operation</u>							
EXAMPLE	Trawling	Turtle capture	Turtle mortality	Turtle excluder devices mandated	ENV		
<u>Aquaculture (Planning)</u>							
EXAMPLE							
<u>Aquaculture (Husbandry)</u>							
EXAMPLE							
<u>Aquaculture (Support)</u>							

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<u>Aquaculture (Harvesting)</u>							
EXAMPLE	Harvesting Baskets (Oysters)	Release of sediment and fouling	Impact on water quality	Nil	ENV	Medium risk	Yes
<u>Processing</u>							
EXAMPLE	Storage of product	Inadequate temperature control	Product spoilage	Record temp every 3 hours	FSQ	Low risk	No
<u>Marketing</u>							
EXAMPLE	Product quality and specifications	Product doesn't meet customer requirements	Lost sales and reduced process	On the job training by skipper or experienced crew	P	High risk	Yes
<u>Food service</u>							
EXAMPLE							
<u>ESD (Economics)</u>							
EXAMPLE							
<u>ESD (Social)</u>							
EXAMPLE							
<u>ESD (Governance)</u>							
EXAMPLE	Research & Development	Not focused on industry priorities	Wasted dollars	Input into FRABS	P		No
<u>ESD (External)</u>							
EXAMPLE							

Worksheet 8 - RISK ASSESSMENT							
<u>Operation</u>	<u>Activity</u>	<u>Hazard</u>	<u>Risk</u>	<u>Current Controls</u>	<u>Risk Type</u>	<u>Risk Rank</u>	<u>Corrective Action</u>
Licenses / Approvals							

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Provisions & Supplies							

<u>Vessel Operations</u>							

<u>Fishing Operation</u>							

Aquaculture (Planning)							
Aquaculture (Husbandry)							

Aquaculture (Support)							
Aquaculture (Harvesting)							

Processing							

Marketing							

Food service							

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ESD (Economics)							

ESD (Social)							

ESD (Governance)							

ESD (External)							

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Others							

SEMS Worksheet 9-Ranking risks & Corrective action

... to help you to rank the risks to your organisation or business



Contents

Purpose:.....	2
Overview:	2
Risk Assessment steps overview.....	2
Risk Ranking Tool:.....	2
How to use this risk ranking tool	2
Table 1: LIKELIHOOD of a risk happening	2
Table 2: CONSEQUENCE if the risk does occur.....	3
Table 3: RISK RANKING = likelihood x consequence.....	3
Table 4: Risk ranking category.....	3
If the potential risk occurred:.....	4

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying

Purpose:

To help you to rank and prioritise your risks and opportunities, and decide what corrective actions are required.

Overview:

Using the risk ranking tool below will help determine the 'Likelihood' and 'Consequence' levels of environmental risks related to your fishing activities. By using this, you can ensure that you are focusing your attention on risks posing the greatest threat or opportunity to your business. This worksheet provides you with an easy to use ranking tool created from a wide range of input across the fishing industry.

Risk Assessment steps overview

- 1 Use *Worksheet 08 Risk assessment* to record a rough copy of all your risks
- 2 Use this worksheet; *Worksheet 09 Ranking risks & Corrective action*, to help rank your **internal** risks, and to help you to decide which risks require corrective action, (Yes or No), taking into account the current controls. Record this information in *Worksheet 08*.
3. Follow the same process to assess and rank your **external** risks, and to decide whether corrective action is required.
4. Record all identified risks (including those that do not require corrective actions) in the *Worksheet 10 Risk report*. Use this as a good copy of your risks.
5. Attach your risk report to your SEMS Plan when required.

Risk Ranking Tool:

How to use this risk ranking tool

1. From Table 1 select a likelihood level to be assigned to the impact
2. From Table 2 select a consequence level to be assigned to the impact
3. Use Table 3 to calculate the numerical ranking for that risk
4. Use Table 4 to determine the risk ranking category for that risk
5. Use the checklist in Table 5 to determine whether corrective action is required

Table 1: LIKELIHOOD of a risk happening

<u>Likelihood</u>	<u>Score</u>	<u>Definition</u>
Remote	1	Never heard of, but not impossible
Rare	2	May occur in exceptional circumstances
Unlikely	3	Uncommon, but has been known to occur
Possible	4	Some evidence to suggest this may possibly occur
Occasional	5	May occur
Likely	6	It is expected to occur

Table 2: CONSEQUENCE if the risk does occur

<u>Consequence</u>	<u>Score</u>	<u>Definition</u>
Negligible	0	Very insignificant impacts. Unlikely to be measurable
Minor	1	Possibly detectable but minimal impact on structure/function
Moderate	2	Maximum acceptable level of impact - recovery measured in months or years
Severe	3	Will result in wider and longer term impacts - recovery measured in years
Major	4	Very serious impacts with relatively long time frame likely to be needed to restore to an acceptable level – recovery measured in years to decades
Catastrophic	5	Widespread and permanent/irreversible damage or loss will occur – unlikely to ever be fixed

Table 3: RISK RANKING = likelihood x consequence

	<u>Consequence =></u>					
<u>Likelihood</u>	<u>Negligible</u>	<u>Minor</u>	<u>Moderate</u>	<u>Severe</u>	<u>Major</u>	<u>Catastrophic</u>
<u>Remote</u>	0	1	2	3	4	5
<u>Rare</u>	0	2	4	6	8	10
<u>Unlikely</u>	0	3	6	9	12	15
<u>Possible</u>	0	4	8	12	16	20
<u>Occasional</u>	0	5	10	15	20	25
<u>Likely</u>	0	6	12	18	24	30

Table 4: Risk ranking category

<u>SCORE</u>	<u>CATEGORY</u>
0 =	Negligible risk
1 – 6 =	Low risk
8 – 12 =	Moderate risk
15-18 =	High risk
20 – 30 =	Extreme risk

If the potential risk occurred:

	Y	N
(a) Can my business cope with the potential financial impact caused by the risk?	[...]	[...]
(b) Am I prepared to underwrite that potential financial impact?	[...]	[...]
(c) Would my insurance policy cover my losses and am I adequately covered?	[...]	[...]
(d) Am I prepared to accept and live with the non-financial impacts?	[...]	[...]
(e) Would others be likely to accept the non-financial impacts?	[...]	[...]
(f) Would damage to the image of your industry be acceptable?	[...]	[...]
(g) Would governments be likely to accept the impacts without moving to place additional restrictions on your industry?	[...]	[...]

If you answered **no** to any of the above questions, then you should decide that some type of corrective action is required to mitigate that risk. You will decide what corrective action is needed later in step 5. If you feel that corrective action is **not** required because you answered **yes** to all of the above questions, you will not deal with that risk any further except to record it in your EMS Plan to demonstrate that you have considered the risk and determined that it does not warrant further attention.

SEMS Worksheet 10 – Risk report

... to record the outcomes of your risk assessment



Contents

Purpose:	2
Overview and tips:	2
Risk Report Template.....	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to record all of your risks in a more concentrated table.

Overview and tips:

1. All risks ranked and assessed should be placed in the risk report, whether they are internal or external.
2. Follow the same process as used for the definitions in *Worksheet 09 Ranking Risks and Corrective Action*
3. Use the dot point in the manual to decide whether or not you need to take corrective action
4. Be sure to record all risks, including those which do not need corrective action

Risk Report Template

(Attached)

<u>Worksheet 10 - RISK REPORT</u>							
<u>Operation</u>	<u>Activity</u>	<u>Hazard</u>	<u>Risk</u>	<u>Current Controls</u>	<u>Risk Type</u>	<u>Risk Rank</u>	<u>Corrective Action</u>
<u>Environmental Risks</u>		-	-	-	-	-	-

Worksheet 10 - RISK REPORT							
<u>Operation</u>	<u>Activity</u>	<u>Hazard</u>	<u>Risk</u>	<u>Current Controls</u>	<u>Risk Type</u>	<u>Risk Rank</u>	<u>Corrective Action</u>
Food safety or quality risk		-	-	-	-	-	-

Worksheet 10 - RISK REPORT							
<u>Operation</u>	<u>Activity</u>	<u>Hazard</u>	<u>Risk</u>	<u>Current Controls</u>	<u>Risk Type</u>	<u>Risk Rank</u>	<u>Corrective Action</u>
<u>Occupational health and safety risk</u>			-	-	-	-	-

Worksheet 10 - RISK REPORT							
<u>Operation</u>	<u>Activity</u>	<u>Hazard</u>	<u>Risk</u>	<u>Current Controls</u>	<u>Risk Type</u>	<u>Risk Rank</u>	<u>Corrective Action</u>
Profitability risk		-	-	-	-	-	-

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Worksheet 10 - RISK REPORT							
<u>Operation</u>	<u>Activity</u>	<u>Hazard</u>	<u>Risk</u>	<u>Current Controls</u>	<u>Risk Type</u>	<u>Risk Rank</u>	<u>Corrective Action</u>
Public relations risk		-	-	-	-	-	-

SEMS Worksheet 11 – Record your policy

... to record your draft EMS policy



Contents

Purpose	2
Overview and tips	2
Our EMS policy	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose

The purpose of this worksheet is to record your draft policy.

Overview and tips

Recording a policy is important because it gives everyone involved in the EMS a template to follow and goals to aspire to, ensuring that everyone shares a common understanding.

Record the final draft of your scope in section 4 of the SEMS plan template.

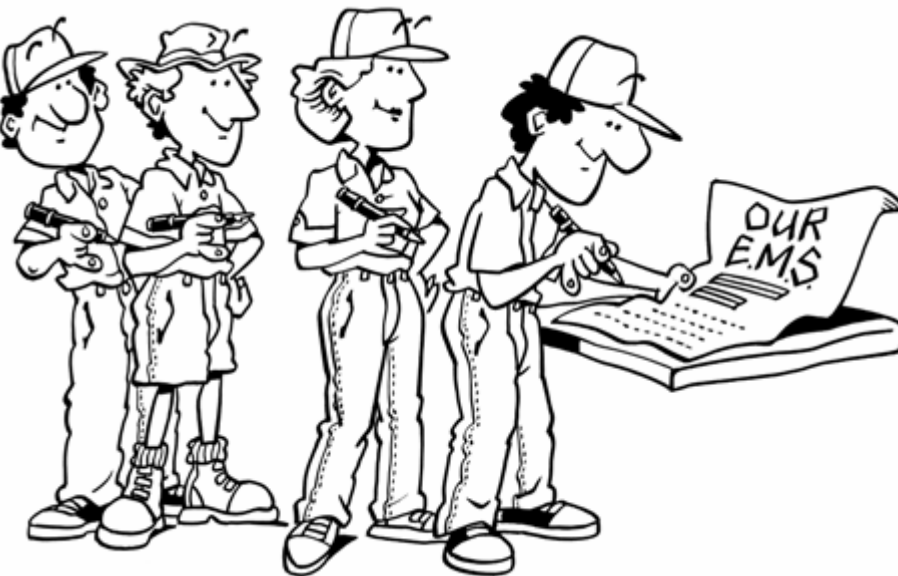
Our EMS policy

Organisation Name:	Date:
<u>POLICY GOALS:</u>	
<u>COMMITMENT TO ACHIEVING GOALS:</u>	

SEMS Worksheet 12 –

Record your EMS management structure

... to record a structure for the management of your EMS



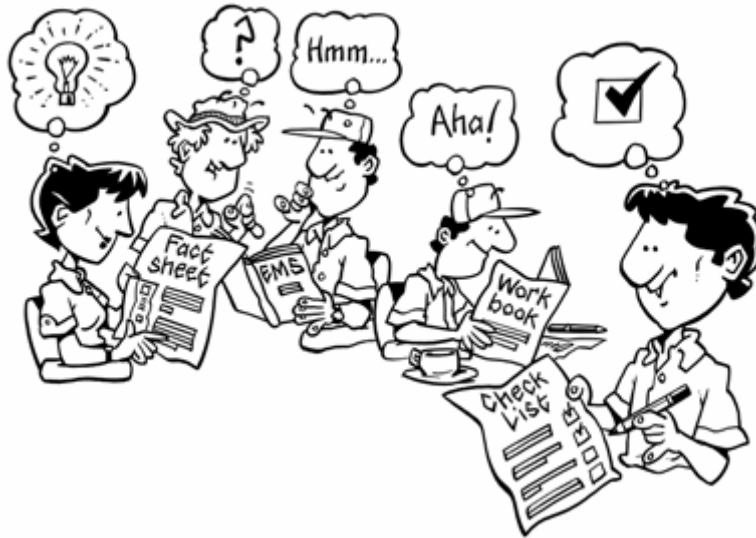
Contents

Purpose:.....	2
Overview and tips:.....	2
Our EMS management structure	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

SEMS Worksheet 13 – Guide to EMS organisations

... to help you to decide on the organisation for your EMS



Contents

Purpose	2
Introduction.....	2
The Options.....	2
Unincorporated association	3
Incorporated association	3
Company	3
Checklist.....	4

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose

The purpose of this worksheet is to guide you on implementing your EMS organisation.

Introduction

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

- Provide a single umbrella for everyone directly involved in your EMS
- Provide a vehicle to carry the overall responsibility of developing, implementing and promoting your EMS
- Provide a framework to secure industry members' commitments to your EMS
- Protect the credibility of your members from the actions of those who 'don't give a damn'
- Secure project funding — only legal entities can receive funding from government programs
- Limit the liability on individual members.

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

If you do decide to establish a new organisation, you need to keep clear communication lines open with other 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 Options

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 each option before you make a decision.

Unincorporated association

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

Incorporated association

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

To establish an incorporated association:

- Print a copy of the SEMS Organisation Model Rules
- Contact your legal adviser or accountant to discuss tax exemption
- Contact your consumer affairs department for an application form and a copy of procedures to be followed
- Refine the model rules to include your requirements, including provisions required to be eligible for tax exemption
- Incorporate your association.

Company

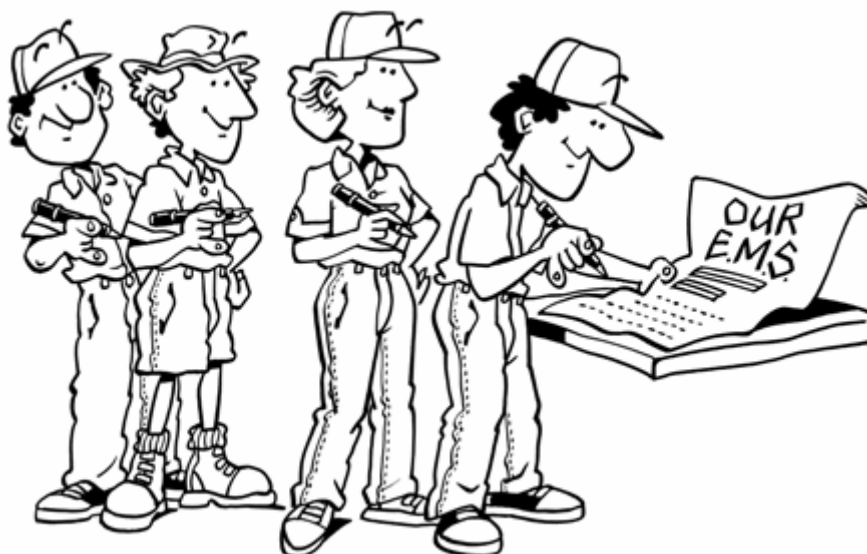
A company structure may be appropriate if you want your organisation to conduct business for profits that can be distributed to members or shareholders. Although it is possible to establish a not-for-profit company that may also be eligible for tax exemptions, the corporate governance and reporting requirements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

Checklist

	Question:	YES	NO
(1)	Is there an existing organisation that: <ul style="list-style-type: none"> • All of the people directly involved in your EMS can join? • Has appropriate goals and objectives? • Has the capacity and desire to establish a structure to let you drive your EMS? 	Discuss options with existing organisations	Go to next question
(2)	Do you want your organisation's activities to be restricted to those that are of common interest to its members and be potentially eligible for tax exemptions?	Consider a not-for-profit incorporated association	Go to next question
(3)	Do you want your organisation to be able to also conduct business activities for the purpose of distributing profits to members?	Call your accountant or legal adviser to discuss company options.	

Worksheet 14 - Model rules for an Association

... to help you to establish an SEMS organisation



A full copy of these model rules is available from Seafood Services Australia upon request

Contents

Purpose: 2

Overview and tips: 2

Model rules for an Association: Contents 3

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to provide models rules and a layout for your EMS association.

Overview and tips:

1. The model rules for your organisation are customised to incorporate provisions that enhance the benefit that your members could achieve from their EMS.
2. Print a copy of the SEMS Organisation Model Rules
3. Contact your legal adviser or accountant to discuss tax exemption
4. Contact your consumer affairs department for an application form and a copy of procedures to be followed
5. Refine the model rules to include your requirements (including provisions required to be eligible for tax exemption) and the requirements of the relevant government department
6. Incorporate your association.

Model rules for an Association: Contents

Constitution for <insert name> Association	3
1. Name	3
2. Definitions	3
3 Objects	3
4. Powers.....	3
5. Classes of members.....	3
6. Membership.....	3
7. Membership fees.....	3
8. Admission & rejection of members.....	3
9. When membership ends	3
10. Appeal against rejection or termination of membership.....	3
11. Register of members	3
12. Secretary	3
13. Membership of board	3
14. Electing the board	3
14.4 Method of election of board members:.....	3
14.5 Returning officer for board elections	3
14. 6 Nominations for positions as board members:.....	3
14.7 Ballot papers.....	3
14.8 Voting	3
14.9 Informal votes	3
14.10 Scrutineers	3
14.11 Opening and checking of ballot papers.....	3
14.12 Declaration of informal votes.....	3
14.13 Declaration of elected candidates	3
14.14 Counting of votes	3
Example.....	3
14.15 Votes to be kept secret.....	3
14.16 Deputies for Board Members:	3

SSA: Leaders in Industry Development

15. Resignation or removal from office of Board member.....	3
16. Vacancies on Board	3
17. Functions of Board	3
18. Other obligations of Board members	3
19. Meetings of the Board	3
20. Delegation of Board powers	3
21. Board committees	3
22. Acts not affected by defects or disqualifications	3
23. Resolutions of the Board without meeting.....	3
24. General meetings	3
25. Annual General Meetings.....	3
26. Business to be conducted at Annual General Meetings	3
27. Special General Meetings	3
28. Notice of General Meetings.....	3
29. Quorum for and adjournment of General Meeting	3
30. Procedure at General Meetings	3
31. Minutes of meetings	3
32. By-laws	3
33. Alteration of rules	3
34. Common seal	3
35. Funds and accounts	3
36. Documents	3
37. Financial year	3
38. Distribution of surplus assets to another entity	3
39. Inaugural membership of the Association	3
40. Non-financial members	3
Appendix 1	3

Constitution for <insert name> Association

(This constitution is designed to help industry groups create or modify their association to gain maximum ownership and benefits from their EMS)

1. Name

- 1.1 The name of the incorporated association is the <insert name> (“the Association”).

2. Definitions

- 2.1 In these Rules, a word or expression that is not defined, but is defined in the Associations Incorporation Act 1981 (“the Act”) has, if the context permits, the meaning given by the Act.

- 2.2 In these Rules, unless the context otherwise requires:

“**Association**” means the incorporated association referred to in Rule 1;

“**Association in general meeting**” means a meeting of those members of the Association who are present at and eligible to vote at an annual general meeting or special general meeting of the Association;

“**Board**” means the management committee of the Association as required by the Associations Incorporation Act, 1981;

“**Board member**” means a member of the board appointed pursuant to Rule 13 (2) or subsequently appointed in accordance with this Constitution;

“**Chair**” means the Chair of the Association appointed pursuant to Rule 13 (2) or subsequently appointed in accordance with this Constitution;

“**General meeting**” means any annual general meeting, general meeting or special general meeting of the Association;

“**Member of the Association**” means a person or other legal entity who is a current member of the Association;

“**Present**” at a meeting means the person or where proxies are provided for, his or her proxy is present in person, or is at another location and participating in the meeting in a way agreed to by the meeting (eg. telephone hook-up);

“**Secretary**” means the Secretary appointed pursuant to Rule 12;

“**Vice Chair**” means a Vice Chair of the Association appointed pursuant to Rule 13 (3) or subsequently elected in accordance with this Constitution;

“**Voting member**” means a member of the Association who, at that particular time, is eligible to vote at an annual general meeting, general meeting or special general meeting of the Association;

“**Year**” means a period of 12 consecutive months ending on 30 June; and

“**Seafood industry**” means:

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commercial fishing and all activities associated with catching, harvesting, culturing, farming, collecting, processing, storing, transporting, marketing or selling seafood and/or fisheries products for commercial purposes; and

aquatic/marine product, both animal or plant caught or farmed for commercial reasons including for reasons other than for food; but

does not include recreational fishing or related activities.

2.3 In these Rules, if the context permits –

- (a) the singular includes the plural and vice versa;
- (b) a reference to a person includes a reference to an incorporated body or other legal entity; and
- (c) a reference to a statute includes a reference to any statute that amends or replaces that statute.

3 Objects

3.1 The objects of the Association are—

- (a) to pursue a favourable policy and economic environment for the seafood industry in the Region; and
- (b) to promote ecologically sustainable development of the seafood industry in the Region; and
- (c) to pursue members' security of access to fisheries resources; and
- (d) to raise the profile of the seafood industry in the Region; and
- (e) to promote industry best practice and develop standards and codes of practice which provide for continuous improvement in the performance and operations of the seafood industry in the Region; and
- (f) to promote regimes which deliver the maximum possible benefits available from the sustainable utilisation of seafood resources; and
- (g) to provide quality information and advice to members, governments and relevant agencies on matters relevant to the seafood industry in the Region including, but not restricted to:
 - protection of the marine environment;
 - fisheries management;
 - research and development;
 - industry policy;
 - native title; and
 - food safety and quality.
- (h) to protect and advance Association members' rights relevant to the seafood industry.

4. Powers

- 4.1 The Association has the powers of an individual.
- 4.2 The Association may, for example—
 - (a) enter into contracts; and
 - (b) acquire, hold, deal with and dispose of property; and
 - (c) make charges for services and facilities it supplies; and
 - (d) do other things necessary or convenient to be done or provided for in legislation in carrying out its affairs.
- 4.3 The Association may issue secured and unsecured notes, debentures and debenture stock for the Association.
- 4.4 The Association may affiliate with or become members of relevant bodies which may assist in achieving the objects of the Association.
- 4.5 The Association may perform such roles or deliver such services in conjunction with or on behalf of an affiliated body that the Association and the affiliated body may agree to from time to time.
- 4.6 The Association may do all such things and take all such steps, as it may from time to time consider necessary to achieve the Objects of the Association.

5. Classes of members

- 5.1 The membership of the Association consists of the following classes of members—
 - (a) Ordinary members;
 - (b) Associate members;
 - (c) Ex-officio members;
 - (d) Such other class or classes of members and with such rights and obligations as may be determined by the Association in general meeting.
- 5.2 The number of members is unlimited.

6. Membership

- 6.1 An "Ordinary" member is a person who is the holder of any licence, permit or other authorisation relevant to commercial fishing or a person involved in a business directly related to the Seafood Industry.
- 6.2 An "associate" member is a person who applies for membership of the Association and whose application is accepted under Rule 8. Notwithstanding any other provisions in these Rules an "associate" member:
 - (a) May attend and be heard at any meeting held under these Rules which other classes of members may attend;

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- (b) shall not be entitled to be appointed or elected to any office under these Rules that requires a person to be a member to be eligible for appointment, or to vote at any meeting, election or poll conducted under these Rules.
- 6.3 An “ex-officio” member is the person for the time being holding the position of Secretary and any other person determined by the Board to be an ex officio member of the Association. Notwithstanding any other provisions in these Rules an “ex-officio” class member:
- (a) shall not be entitled to be appointed to any other office under these Rules, and
 - (b) shall not be entitled to vote at any meeting, election or poll conducted under these Rules.
- 6.4 To remove any doubt:
- (a) a member may be a person, incorporated body or another legal entity;
 - (b) one membership only may be granted for each relevant licence, permit or other authority or fishing right.

7. Membership fees

- 7.1 The membership fee, which must be paid by each class of membership, is—
- (a) the amount decided from time to time by the Association in general meeting;
 - (b) payable when, and in the way, the Board decides.
- 7.2 Until the Association in general meeting decides otherwise, the membership fee:
- (a) for each Ordinary Class member is: \$[]
 - (b) for each associate class member is: \$[]
 - (c) for an ex-officio member, no membership fee is payable.
- 7.3 The membership fees in Rule 7.2 are calculated without regard to Goods and Services Tax (GST). The Board may increase the fee by the amount not exceeding the amount calculated by applying the GST rate to the fee.
- 7.4 The Association in general meeting may determine that members shall be required to pay once off special membership fees, as determined by the general meeting, for the purpose of dealing with any specific issue or issues of interest to members of the Association (e.g., for a promotion or fighting fund).
- 7.5 A member shall be liable to pay the membership fee to the Association on the date of application for membership and on the date of each renewal of membership.

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- 7.6 The Board may allow a member to pay as his or her membership fee an amount (“the discounted amount”) which is less than the membership fee otherwise payable under these Rules if, and only if, the member pays the discounted amount in full before the due date for the membership fee payable by that member. The discounted amount shall be the amount of the membership fee otherwise payable reduced by such an amount as may be decided by the Board from time to time.
- 7.7 Unless otherwise determined by the Association in general meeting, no entry fees are payable upon a person becoming a member. To allay any doubt, nothing in this Sub-rule removes a member’s obligation to pay membership fees.
- 7.8 Special Membership Levies:
- (a) The Association in general meeting may determine that a special membership levy shall be payable by any or all classes of members for any special purpose consistent with the objectives of the Association.
 - (b) Unless otherwise determined by the Association in general meeting, a special membership levy imposed under this Sub-Rule is not applicable to the non-financial membership provisions under Rule 40.

8. Admission & rejection of members

- 8.1 Any other person who wishes to become a member shall apply for membership.
- 8.2 An application for membership must be:
- (a) in writing;
 - (b) signed by the applicant;
 - (c) in the form decided by the Board;
 - (d) accompanied by the relevant membership fee.
- 8.3 The Board must consider an application for membership at the next meeting of the Board held after it receives the application.
- 8.4 The Board must decide at the meeting whether to accept or reject the application. However, the Board may refer an application, which relates to a type of licence, permit or other fishing right for which a membership has not previously been granted to the next general meeting of the Association for determination.
- 8.5 If a majority of the Board members present at the meeting vote to accept the applicant as a member, the applicant must be accepted as a member to the class of membership for which the applicant applied.
- 8.6 The Secretary must, as soon as practicable after the Board decides to accept or reject an application, give the applicant a written notice of the decision and if the application was rejected the reasons why.

9. When membership ends

- 9.1 Members may resign from the Association by written notice to the Secretary.
- 9.2 The resignation takes effect on—

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- (a) the day and at the time the notice is received by the Secretary; or
 - (b) if a later day is stated in the notice—the later day.
- 9.3 The Board may terminate a member's membership, if the member—
- (a) does not comply with any of the provisions of these Rules; or
 - (b) does not comply with standards such as a code of conduct, that a General Meeting of the Association has determined should be complied with by members; or
 - (c) has membership fees in arrears for at least 1 month; or
 - (d) conducts himself or herself in a way considered to be injurious or prejudicial to the character or interests of the Association or its members.
- 9.4 Before the Board terminates a member's membership, the Board must give the member a full and fair opportunity to show why the membership should not be terminated. This sub-rule does not apply to members whose membership is being terminated in accordance with sub-rule (3)(d).
- 9.5 If, after considering all representations made by the member, the Board decides to terminate the membership, the Secretary must give the member a written notice of the decision and the reasons for it.

10. Appeal against rejection or termination of membership

- 10.1 A person whose application for membership has been rejected, or whose membership has been terminated, may give the Secretary written notice of the person's intention to appeal against the decision.
- 10.2 A notice of intention to appeal must be given to the Secretary within 1 month after the person receives written notice of the decision.
- 10.3 If the Secretary receives notice of intention to appeal, the Secretary must refer the matter to the next general meeting of the Association to decide the appeal.
- 10.4 At the meeting, the applicant must be given a full and fair opportunity to show why the application should not be rejected or the membership should not be terminated.
- 10.5 Also the Board and the Board members who rejected the application or who terminated the membership must be given an opportunity to show why the application should be rejected or the membership should be terminated.
- 10.6 An appeal must be decided by a vote of the Association in general meeting.
- 10.7 If a person whose application has been rejected does not appeal against the decision within 1 month after receiving written notice of the decision, or the person appeals but the appeal is unsuccessful, the Secretary must, as soon as practicable, refund the application fee paid by the person.

11. Register of members

- 11.1 The Board must keep a register of members.

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- 11.2 The register of members must include the following particulars for each member -
- (a) the full name and address of the member;
 - (b) the date of admission as a member;
 - (c) class of membership;
 - (d) the date of cessation of membership;
 - (e) details about the termination or reinstatement of membership;
 - (f) any other particulars the Board or the Association in general meeting decides.
- 11.3 The register must be open for inspection at all reasonable times.
- 11.4 However, before a member may inspect the register, the member must apply to the Secretary to inspect it and may only inspect those parts of the register, which relate to the member.
- 11.5 The address of a member shall be the address provided in writing by the member to the Secretary.
- 11.6 A member must notify the Secretary promptly of any change in his or her address.

12. Secretary

- 12.1 If the Association has not elected an interim officer as Secretary for the Association before its incorporation, the members of the Board must ensure that the Secretary is appointed or elected for the Association within 1 month after incorporation.
- 12.2 If a vacancy happens in the office of the Secretary, the members of the Board must ensure a Secretary is appointed or elected for the Association within 1 month after the vacancy occurs.
- 12.3 The Secretary must be an individual who is -
- (a) a member of the Association appointed as Secretary; or
 - (b) any of the following persons appointed by the Board -
 - (i) a member of the Association's Board;
 - (ii) a member of the Association;
 - (iii) another person.
- 12.4 The Board may appoint a person to and remove a person from the position of Secretary at any time.

13. Membership of board

- 13.1 The Board consists of:
- (a) the Chair of the Association; and

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- (b) the Vice-Chair of the Association; and;
 - (c) the Treasurer of the Association; and
 - (d) such other members of the association as determined by the Association in general meeting.
- 13.2 To allay any doubt a person may hold more than one position on the Board at the same time provided that the same person does not hold the position of Chair and Treasurer of the Association at the same time.
- 13.3 To allay any doubt, a position on the Board determined under sub-clauses (1)(v) and (1)(vi) may only be appointed in accordance with Rule 15 of this Constitution .
- 13.4 The first office holders of the Association shall be the persons whose names appear in the Appendix to this Constitution. Each of those persons shall hold office until the first annual general meeting of the Association.

14. Electing the board

- 14.1 At each annual general meeting of the Association, the members of the Board other than the Chair must retire from office, but are eligible, on nomination, for re-election.
- 14.2 The Chair must retire from office at the second annual general meeting held after he or she was elected but is eligible, on nomination, for re-election.
- 14.3 A member of the Board (including Chair, Vice Chair, Treasurer or any other Board member may only be appointed in accordance with these Rules

14.4 Method of election of board members:

- 14.4.1 Elections for Board members shall be by nomination and postal ballot conducted in accordance with these rules.
- 14.4.1 However if no nominations are received for a position on the Board, by the closing date for nominations, that position shall be filled as follows:
- (a) nominations shall be taken from the floor of the annual general meeting; and
 - (b) if more than one nomination is received then the meeting shall conduct an exhaustive, secret ballot in accordance with the Standing Orders

14.5 Returning officer for board elections

- 14.5.1 Unless otherwise determined by the Board, the Returning Officer for elections of Board members shall be the Secretary.

14.6 Nominations for positions as board members:

- 14.6.1 At least 28 days before each annual general meeting the Returning Officer shall post nomination forms to all voting members of the Association for each Board position to be appointed at that meeting, along with advice:
- (a) of the address to which nominations may be posted; and

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- (b) that nomination forms must be received by the Secretary, not later than 14 days before the date of the meeting.

14.6.2 Any 2 voting members of the Association may nominate another voting member of the Association (the “candidate”) to serve in a Board position. Nominations must be—

- (a) in writing; and
- (b) signed by the candidate or by a person authorised by the candidate to sign on his or her behalf; and
- (c) signed by at least two voting members of the Association who nominated him or her; and
- (d) given to the Secretary at least 14 days before the date of the annual general meeting at which the election is to be held.

14.6.3 Each nomination that meets the requirements under (8) shall be a valid nomination.

14.7 Ballot papers

14.7.1 At least 10 days before an annual general meeting, the Returning Officer shall post to each voting member

- (a) ballot papers for each Board position to be appointed at the meeting and for which more than one valid nomination has been received; and
- (b) advice of the address to which ballot papers may be posted or returned; and
- (c) advice that the ballot papers must be received before the commencement of the annual general meeting (including time and date); and
- (d) advice of any positions for which only one or less valid nominations have been received; and
- (e) a reply paid, self addressed envelope in which ballot papers may be posted to the Returning Officer.

14.7.2 Ballot papers prepared by the Returning Officer must show the names (in alphabetical order) of each of the Candidates for that position, and include a space for the person voting to mark a number against the name of each Candidate.

14.8 Voting

14.8.1 A person votes by marking the ballot paper, in respect of each Candidate, with the number 1 to show his or her first preference, the number 2 to show his or her second preference and so on in numerical order, until the ballot paper indicates a preference in respect of all Candidates.

14.8.2 A person may submit their ballot paper to the Returning Officer either by mail or in person, provided that it is submitted in a sealed envelope before the commencement of the annual general meeting.

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- 14.8.3 The ballot paper should be folded and inserted in the envelope so that the section of the paper containing the person's membership details may be checked by the Returning Officer without revealing the way in which the person voted.

14.9 Informal votes

- 14.9.1 A vote is informal only if:
- (a) the person who marked the ballot paper is not a voting member of the Association at the time of the annual general meeting, or
 - (b) the person has submitted more than one ballot paper in respect to the Board position, or
 - (c) the person's relevant membership details, as required on the ballot paper are not completed on the tear off section of the ballot paper; or
 - (d) the same number is written twice on the ballot paper; or
 - (e) a preference is not marked in respect of every Candidate on the ballot paper; or
 - (f) the ballot paper is not received by the Returning Officer before the commencement of the annual general meeting; or
 - (g) the ballot paper is not given to the Returning Officer in a sealed envelope; or
 - (h) the envelope containing the ballot paper does not remain continually sealed from the time it is received by the Returning Officer until after the commencement of the annual general meeting.

14.10 Scrutineers

- 14.10.1 Each candidate is entitled to appoint a scrutineer to observe the opening and checking of ballot papers, determination of which (if any) ballot papers are informal and counting of votes.

14.11 Opening and checking of ballot papers

- 14.11.1 After the commencement of the annual general meeting, the Returning Officer must open each ballot paper as follows:
- (a) open the envelope containing the ballot paper, and
 - (b) check that the person's relevant membership details required on the ballot paper are completed; and
 - (c) check that the person is a voting member against the membership listing provided by the Secretary; and
 - (d) if the requirements under (ii) and (iii) are complied with, declare the ballot paper valid and, subject to it complying with all provisions under Clause 12 (informal votes), it is eligible to be counted in the election; and

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- (e) tear off and discard the section of the ballot paper containing the membership details and place the ballot paper in a pile for 'valid' ballot papers; and
- (f) if the requirements under (ii) and (iii) are not complied with, declare the ballot paper informal and ineligible to be counted in the election and place it in pile for informal votes.

14.12 Declaration of informal votes

- 14.12.1 The Returning Officer must, before proceeding to the count, determine which (if any) of the 'valid' ballot papers are informal.
- 14.12.2 A scrutineer may challenge the returning Officer's decision on whether a ballot paper is informal in which case the Chair of the meeting shall make a ruling on the matter.
- 14.12.3 The Chair's decision on the question of whether a vote is informal is final and binds all members.

14.13 Declaration of elected candidates

- 14.13.1 If a valid nomination was received for only one person in relation to a Board position then the Returning Officer must declare that person elected to the position.
- 14.13.2 The successful candidate for Board positions for which more than one valid nomination was received shall be determined by counting the votes on all valid ballot papers in accordance with these Rules.

14.14 Counting of votes

- 14.14.1 The count of votes is to be conducted separately for each Board position for which the election is being held, and is to be conducted as follows.
 - (a) the Returning Officer is to count the number of first preference votes cast (excluding informal votes) for each Candidate.
 - (b) if more than 50% of the first preference votes are cast for a particular Candidate, the Returning Officer must declare that Candidate elected to that position.
 - (c) If not more than 50% of the first preference votes are cast for a particular Candidate, work out the weighted votes for each Candidate by adding the votes cast for each Candidate, counting a first preference vote as 1, a second preference vote as 2 and so on and, the Returning Officer must declare the Candidate with the lowest weighted vote elected to that position. The following Table shows an example of working out weighted votes.

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- (d) If 2 or more Candidates have the same number of lowest weighted votes, the Returning Officer must determine which is to be declared elected by some random method (such as putting Candidates' names in a hat and drawing one out at random).

Example

- 14.14.2 The Secretary must ensure that the ballot papers are retained in a secure manner at the office of the Association for at least 60 days after the date of the ballot and, unless the Board otherwise resolves, are then be destroyed by the auditor of the Company.

14.15 Votes to be kept secret

- 14.15.1 Any person involved in the opening, checking and counting of ballot papers must:
- (a) take all reasonable measures during this processes to minimise the chance of them becoming aware of the manner in which any votes has been cast; and
 - (b) ensure that the manner in which any vote has been cast is kept secret.

14.16 Deputies for Board Members:

14.16.1

- (a) the Vice Chair shall be the deputy for the Chair;
- (b) the Annual General Meeting of the Association may appoint a deputy for each other Board member;

	Candidate A	Candidate B	Candidate C	Candidate D
Ballot paper 1	1	2	3	4
Ballot paper 2	2	3	1	4
Ballot paper 3	3	4	1	2
Weighted vote	<u>6</u>	<u>9</u>	<u>5</u>	<u>10</u>

- (c) if deputies Board members are appointed in accordance with (2) then:
- (i) nominations shall be taken from the floor of the annual general meeting; and
 - (ii) nominees should have similar relevant interests as the Board member to would be a deputy for; and
 - (iii) if more than one nomination is received then the meeting shall conduct an exhaustive, secret ballot in accordance with the Standing Orders.

15. Resignation or removal from office of Board member

- 15.1 A Board member may resign from the Board by giving written notice of resignation to the Secretary.
- 15.2 The resignation takes effect on -
- (a) the day and at the time the notice is received by the Secretary; or
 - (b) if a later day is stated in the notice - the later day.
- 15.3 A Board member may be removed from office by the Association in general meeting if:
- (a) a majority of members present and eligible to vote, vote in favour of removing the member; and
 - (b) the matter of such removal was included on the agenda for the general meeting.
- 15.4 Before a vote of members is taken about removing a Board member from office, the member must be given a full and fair opportunity to show cause why he or she should not be removed from office.
- 15.5 A Board member has no right of appeal against the member's removal from office under this Rule.

16. Vacancies on Board

- 16.1 If a casual vacancy happens on the Board, the deputy for that Board member shall fill the vacancy until the next annual general meeting.
- 16.2 In the absence of a deputy, the continuing members of the Board may appoint another eligible member of the Association to fill that particular vacancy until the next annual general meeting.
- 16.3 The continuing members of the Board may act despite a casual vacancy on the Board.
- 16.4 However, if the number of Board members is less than the number fixed under these Rules as a quorum, the continuing members may act only to -
- (a) increase the number of Board members to the number required for a quorum; or
 - (b) call a general meeting of the Association.

17. Functions of Board

- 17.1 Subject to these Rules or a contrary resolution of the Association in general meeting, the Board has -
- (a) the general control and management of the administration of the affairs, property and funds of the Association; and
 - (b) authority to interpret the meaning of these Rules and any matter relating to the Association on which the Rules are silent.

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- 17.2 For the purpose of Rule 17.1, the Board may exercise the following powers of the Association -
- (a) to borrow, raise or secure the payment of monies; and
 - (b) to secure the amounts mentioned in paragraph (a) or the payment or performance of any debt, liability, contract, guarantee or other engagement incurred or to be entered into by the Association in any way, including by the issue of debentures (perpetual or otherwise) charged upon the whole or part of the Association's property, both present and future; and
 - (c) to purchase, redeem or pay off any securities issued; and
 - (d) to borrow amounts from members and pay interest on the amounts borrowed; and
 - (e) to mortgage or charge the whole or part of its property; and
 - (f) to issue debentures and other securities, whether outright or as security for any debt, liability or obligation of the Association; and
 - (g) to provide and pay off any securities issued; and
 - (h) to invest monies.
- 17.3 For Rule 17.2 (d), the rate of interest must not be more than the current rate being charged for overdrawn accounts on money lent (regardless of the term of the loan) by:
- (a) the financial institution for the Association; or
 - (b) if there is more than 1 financial institution for the Association—the financial institution nominated by the Board.

18. Other obligations of Board members

- 18.1 Subject to these Rules or a contrary resolution of the Association in general meeting, Board member shall ensure regular and adequate consultation with Association members on issues that may effect or interest them.

19. Meetings of the Board

- 19.1 The Board may meet and conduct its proceedings as it considers appropriate.
- 19.2 The Board must meet at least 3 times every year to exercise its functions.
- 19.3 The Board must decide how a meeting is to be called.
- 19.4 Notice of a meeting is to be given in the way decided by the Board.
- 19.5 The Secretary must call a meeting of the Board if:
- (a) being directed by the Chair or the Board to call a meeting, or

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- (b) being given a request for a special meeting signed by at least 50% of the Board members.
- 19.6 A request for a special meeting must state—
 - (a) why the special meeting is called; and
 - (b) the business to be conducted at the meeting.
- 19.7 At a Board meeting, a quorum is more than 50% of the number of Board members elected at the Association's most recent annual general meeting.
- 19.8 A question arising at a Board meeting is to be decided by a majority vote of Board members present.
- 19.9 At a Board meeting:
 - (a) each Board member is entitled to one vote only;
 - (b) however if the votes are tied the Chair of the meeting also has a casting vote; and
 - (c) if a member abstains that member is taken to have voted in the negative.
- 19.10 A Board member must not vote on a question about a contract or proposed contract with the Association if the member has an interest in the contract or proposed contract, and if the member does vote the member's vote must not be counted.
- 19.11 The Secretary must give each Board member at least 7 days' notice of a Board meeting except a special meeting of the Board where 1 day's notice must be provided.
- 19.12 A notice of a meeting must state -
 - (a) the day, time and venue of the meeting; and
 - (b) the business to be conducted at the meeting.
- 19.13 The Chair or, if there is no Chair or if the Chair is not present within 30 minutes after the time fixed for a Board meeting, the Vice-Chair is to preside as Chair at the meeting.
- 19.14 If the Chair and the Vice-Chair are absent from a Board meeting, the members may choose 1 of their number to preside as Chair at the meeting.
- 19.15 Any person acting as Chair of a meeting shall have and may exercise all the powers, authorities, duties and functions of the Chair.
- 19.16 If any Board member is unable to be present at any Board meeting, the deputy for that person appointed in accordance with Rule 13 may be present at that meeting and, if present, shall, for that meeting, assume all of the responsibilities and may exercise all the rights, powers, authorities and functions of the Board member.
- 19.17 If a quorum is not present within 30 minutes after the time fixed for a Board meeting called at the request of Board members, Board members present may adjourn the meeting to a later time on the same day.

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- 19.18 If a quorum is not present within 30 minutes after the time fixed for a Board meeting called other than on the request of Board members, the meeting is to be adjourned to -
- (a) the same day, time and venue in the next week; or
 - (b) a day, time and venue decided by the Board members present.
- 19.19 If, at an adjourned meeting mentioned in Rule 19.15 or 19.16, a quorum is not present within 30 minutes after the time fixed for the meeting, the meeting lapses.

20. Delegation of Board powers

- 20.1 The Board may delegate the whole or part of its powers or functions under this Constitution to:
- (a) a committee consisting of members and such number of members of the Association and such other persons, if any, as the Board decides;
 - (b) a subcommittee of the Board;
 - (c) the Secretary;
 - (d) another person or persons;
- 20.2 Delegated powers may only be exercised in the way and subject to any conditions the Board decides.

21. Board committees

- 21.1 The Board may establish such committees, sub-committees, task forces or working groups as the Board considers necessary from time to time.
- 21.2 When establishing a committee, sub-committee, task force or working group, the Board must determine the committee's:
- (a) terms of reference
 - (b) membership or process by members will be appointed
 - (c) method of operation (eg, budget, reporting process including whether the committee may report to anyone other than the Board); and
 - (d) powers that the Board may delegate to the committee in accordance with Rule 20; and
 - (e) the date on which the committee expires unless the Board otherwise extends the committee's term
- 21.3 The Board shall, if determined by a resolution of the Association in general meeting, establish committees for specific purposes provided that the committee's term shall expire at the next annual general meeting unless otherwise determined by the Association.

22. Acts not affected by defects or disqualifications

- 22.1 An act performed by the Board, a committee, a subcommittee, a branch or a person acting as a member of the Board is taken to have been validly performed.
- 22.2 Rule 20.1 applies even if the act was performed when -
- (a) there was a defect in the appointment of a member of the Board, committee, subcommittee or person acting as a member of the Board; or
 - (b) a Board member, committee member, subcommittee member, branch member or person acting as a member of the Board was disqualified from being a member.

23. Resolutions of the Board without meeting

- 23.1 A written resolution signed by each member of the Board for the time being entitled to receive notice of a Board meeting is as valid and effectual as if it had been passed at a Board meeting that was properly called and held.
- 23.2 A resolution mentioned in Rule 21.1 may consist of several documents in like form, each signed by 1 or more members of the Board. A document may consist of an e-mail from the e-mail address of the member of the Board. A document may also consist of a facsimile signed by the member of the Board.

24. General meetings

- 24.1 General meetings of the Association shall be either annual general meetings or special general meetings. No other meetings of the Association may be held.
- 24.2 Only commercial fisher and ordinary members are entitled to vote at general meetings, whether annual general meetings or special general meetings.
- 24.3 Any other financial member of the Association is entitled to attend any general meeting of the Association as an observer.

25. Annual General Meetings

- 25.1 The first annual general meeting must be held within six months of the day of incorporation.
- 25.2 The Board must decide where the meeting is to be held.
- 25.3 The business to be conducted at the first annual general meeting must include the appointment of an auditor.
- 25.4 Each subsequent annual general meeting must be held—
- (a) at least once each year; and
 - (b) within 6 months after the end of the Association's previous financial year.

26. Business to be conducted at Annual General Meetings

- 26.1 The following business must be conducted at each annual general meeting -
- (a) receiving the statement of income and expenditure, assets, liabilities and mortgages, charges and securities affecting the property of the Association for the last financial year;
 - (b) receiving the auditor's report on the financial affairs of the Association for the last financial year;
 - (c) presenting the audited statement to the meeting for adoption;
 - (d) electing members of the Board; and
 - (e) appointing an auditor.

27. Special General Meetings

- 27.1 The Secretary must call a special general meeting if:
- (a) being directed to call the meeting by the Board or the Chair, or
 - (b) being given a written request for a special general meeting signed by
 - (i) at least 50% of the members of the Board; or
 - (ii) at least 25% of members of the Association eligible to vote at general meetings of the Association.
- 27.2 A request mentioned in Rule 26 1(b) must state –
- (a) why the special general meeting is being called; and
 - (b) the business to be conducted at the meeting.
- 27.3 The Secretary must give written notice of a special general meeting to all members of the Association at least 7 days before the date on which the meeting is to be held.

28. Notice of General Meetings

- 28.1 The Secretary must call a general meeting if being directed to call the meeting by the Board or the Chair.
- 28.2 The Secretary must give written notice of a general meeting to all members of the Association at least 14 days before the date on which the meeting is to be held, except for special general meetings where the notice required under Rule 26 (c) is required.
- 28.3 The Board may decide where the meeting is to be held.
- 28.4 A notice of a general meeting must state the business to be conducted at the meeting.

29. Quorum for and adjournment of General Meeting

- 29.1 At a general meeting, a quorum is ?? voting members of the Association.

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- 29.2 No business may be conducted at a general meeting unless a quorum of members eligible to vote is present.
- 29.3 If a quorum is not present within 30 minutes after the time fixed for a general meeting called in accordance with Rule 26 (1)(b), the members present at the meeting and eligible to vote may adjourn the meeting to a later time on the same day.
- 29.4 If a quorum is not present within 30 minutes after the time fixed for a general meeting called in accordance with Rule 26 (1)(a), the meeting is to be adjourned to -
- (a) the same day, time and venue in the next week; or
 - (b) a day, time and venue decided by the members present and eligible to vote.
- 29.5 If, at an adjourned meeting mentioned in Rule 28 (3) or (4), a quorum is not present within 30 minutes after the time fixed for the meeting, the meeting lapses.
- 29.6 The Chair may, with the consent of any meeting at which a quorum is present, and must, if directed by the meeting, adjourn the meeting from time to time and from venue to venue.
- 29.7 If a meeting is adjourned under Rule 28 (6), only the business left unfinished at the meeting from which the adjournment took place may be conducted at the adjourned meeting.
- 29.8 The Secretary is not required to give the members notice of an adjournment or of the business to be conducted at an adjourned meeting unless a meeting is adjourned for at least 30 days.
- 29.9 If a meeting is adjourned for at least 30 days, notice of the adjourned meeting must be given in the same way notice is given for an original meeting.

30. Procedure at General Meetings

- 30.1 Subject to these Rules at each general meeting -
- (a) the Chair or, if there is no Chair or if the Chair is not present within 30 minutes after the time fixed for the meeting or is unwilling to act, the Vice-Chair is to preside as Chair; and
 - (b) if the Vice-Chair is absent or unwilling to act as Chair, the members present must elect 1 of their number to be Chair of the meeting; and
 - (c) any person chairing a general meeting shall have a casting vote only; and
 - (d) any person who presides as Chair of a meeting shall have and may exercise all the powers, authorities, duties and functions of the Chair; and
 - (e) the Chair must conduct the meeting in a proper and orderly way; and
 - (f) each question, matter or resolution must be decided by a majority of votes of the members present and eligible to vote; and

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- (g) each member present and eligible to vote is entitled to 1 vote only; and
- (h) voting may be by a show of hands or a division of members present and eligible to vote unless any member present and eligible to vote demands a secret ballot in which case the meeting shall decide if a secret ballot is to be held; and
- (i) if a secret ballot is held, the Chair must appoint 2 members to conduct an exhaustive secret ballot unless the meeting determines otherwise; and
- (j) the result of a secret ballot as declared by the Chair is taken to be a resolution of the meeting at which the ballot was held; and
- (k) on a show of hands, each person present who is a member eligible to vote or a representative of a member eligible to vote has 1 vote; and
- (l) in a secret ballot, each member eligible to vote who is present in person or other properly authorised representative has 1 vote; and
- (m) in the absence of written voting instructions by a representative to the Secretary, a deputy for that representative attending the meeting may vote as he or she sees fit.

31. Minutes of meetings

- 31.1 The Secretary must ensure full and accurate minutes of all resolutions of each Board meeting and general meeting are entered in a minute book.
- 31.2 The Secretary must ensure the minute book for each general meeting is open for inspection at all reasonable times by any financial member who previously applies to the Secretary for the inspection.
- 31.3 To ensure the accuracy of the minutes recorded under Rule 30 (1) -
 - (a) the minutes of each Board meeting must be signed by the Chair of the meeting, or the Chair of the next Board meeting, verifying their accuracy; and
 - (b) the minutes of general meetings must be signed by the Chair of the general meeting, or the Chair of the next general meeting, verifying their accuracy.

32. By-laws

- 32.1 The Board may make, amend or repeal By-laws, not inconsistent with these Rules:
 - (a) for the internal management of the Association; and
 - (b) for other matters subject to those matters being discussed at the next general meeting of the Association.
- 32.2 A By-law may be set aside by the Association in general meeting.
- 32.3 The following By-laws shall apply to the Association immediately upon incorporation of the Association under the Act –

By-law 1 'Standing Orders';

33. Alteration of rules

- 33.1 Subject to the Associations Incorporation Act 1981, these Rules may be amended, repealed or added to by a special resolution carried by the Association in general meeting.
- 33.2 However an amendment, repeal or addition is valid only if it is registered by the chief executive.

34. Common seal

- 34.1 The Board must decide that the Association has a common seal.
- 34.2 The common seal must be -
- (a) kept securely by the Board; and
 - (b) used only under the authority of the Board.
- 34.3 Each instrument to which the seal is attached must be signed by a member of the Board and countersigned by –
- (a) the Secretary; or
 - (b) another member of the Board; or
 - (c) someone appointed by the Board.

35. Funds and accounts

- 35.1 The funds of the Association must be kept in an account or accounts in the name of the Association with such financial institution or financial institutions as may be decided by the Board.
- 35.2 Records and accounts must be kept in the English language showing full and accurate particulars of the financial affairs of the Association.
- 35.3 All amounts must be deposited in the financial institution account as soon as practicable after receipt.
- 35.4 If an amount of \$200 or more is paid by cheque, the cheque must be signed by any 2 of the following—
- the Chair;
 - the Vice-Chair;
 - the Secretary;
 - the Treasurer;
 - another member authorised by the Board for the purpose.
- 35.5 Cheques, other than cheques for wages, allowances or petty cash recoupment, must be crossed 'not negotiable'.

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- 35.6 A petty cash account must be kept on the imprest system, and the Board must decide the amount of petty cash to be kept in the account.
- 35.7 All expenditure must be approved or ratified at a Board meeting.
- 35.8 The Treasurer must, as soon as practicable after the end of each financial year, ensure a statement containing the following particulars is prepared -
- (a) the income and expenditure for the financial year just ended;
 - (b) the Association's assets and liabilities at the close of the year;
 - (c) the mortgages, charges and securities affecting the property of the Association at the close of the year.
- 35.9 The auditor must examine the statement prepared under Rule 34.8 and present a report about it to the Secretary before the next annual general meeting following the financial year for which the audit was made.
- 35.10 The income and property of the Association must be used solely in promoting the Association's objects and exercising the Association's powers.

36. Documents

- 36.1 The Board must ensure the safe custody of books, documents, instruments of title and securities of the Association.

37. Financial year

- 37.1 The financial year of the Association closes on 30 June in each year.

38. Distribution of surplus assets to another entity

- 38.1 Any operating surplus of the Association may not be distributed to members and must be retained by the Association for the achievement of the Objects of the Association.
- 38.2 The following provisions of this Rule applies if the Association -
- (a) is wound-up under part 10 or 11 of the Act; and
 - (b) it has surplus assets.
- 38.3 The surplus assets must not be distributed among the Association members.
- 38.4 The surplus assets must be given to another entity -
- (a) having objects similar to the Association's objects; and
 - (b) the rules of which prohibit the distribution of the entity's income and assets to its members.
- 38.5 In this Rule "surplus assets" has the meaning given by section 92 (3) of the Act.

39. Inaugural membership of the Association

- 39.1 The inaugural members of the Association at the date of incorporation shall be those persons listed in Appendix (1).

40. Non-financial members

- 40.1 Notwithstanding any other provision in these Rules, a member whose membership fees required under Rule 7 of this Constitution are in arrears by 14 days or more shall not be entitled to
- (a) remain in any appointed or elected office under these Rules; or
 - (b) be appointed or elected to any office under these Rules; or
 - (c) vote at any meeting, election or poll conducted under these Rules; or
 - (d) exercise any right able to be exercised by a member at a meeting or a meeting without a quorum held under these Rules; or
 - (e) be counted to meet the requirements for a quorum at meeting held under these Rules; or
 - (f) receive services provided, for members, by the Association.

Appendix 1

The first office holders of the Association following incorporation will be:

Chair: [name and address]

Vice Chair: [name and address]

Treasurer: [name and address]

Other Board Members: [name and address]

SEMS Worksheet 15 – Action plan

... to help you develop your EMS action plan



Contents

Purpose:	2
How to Use This Worksheet.....	2
Action Plan Template	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to provide a template for recording your Action plan.

How to Use This Worksheet

- Fill out the first 5 columns as you did in the Risk Assessment and Risk Ranking
- Be sure to set realistic dates, and keep an eye on progress by proper monitoring.

Action Plan Template

(Attached)

Worksheet 15 - ACTION PLAN											
<u>Activities</u>	<u>Hazard</u>	<u>Potential Risk</u>	<u>Current Management Measures</u>	<u>Risk Ranking</u>	<u>Target</u>	<u>Actions</u>	<u>By Whom</u>	<u>By When</u>	<u>Monitoring & Corrective Action</u>	<u>Audit Process</u>	<u>Reporting</u>
Environmental Risks											
EXAMPLE:											
Load fuel	Fuel spill	Contaminate product	No fuelling while product being unloaded	9	Nil contamination	Train crew in fuelling procedures	Skipper	dd/m m/yyyy	Crew verify delivery of training by signing training register	Self assessment (internal audit)	

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Food safety or quality risk											

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<u>Occupational health and safety risk</u>											

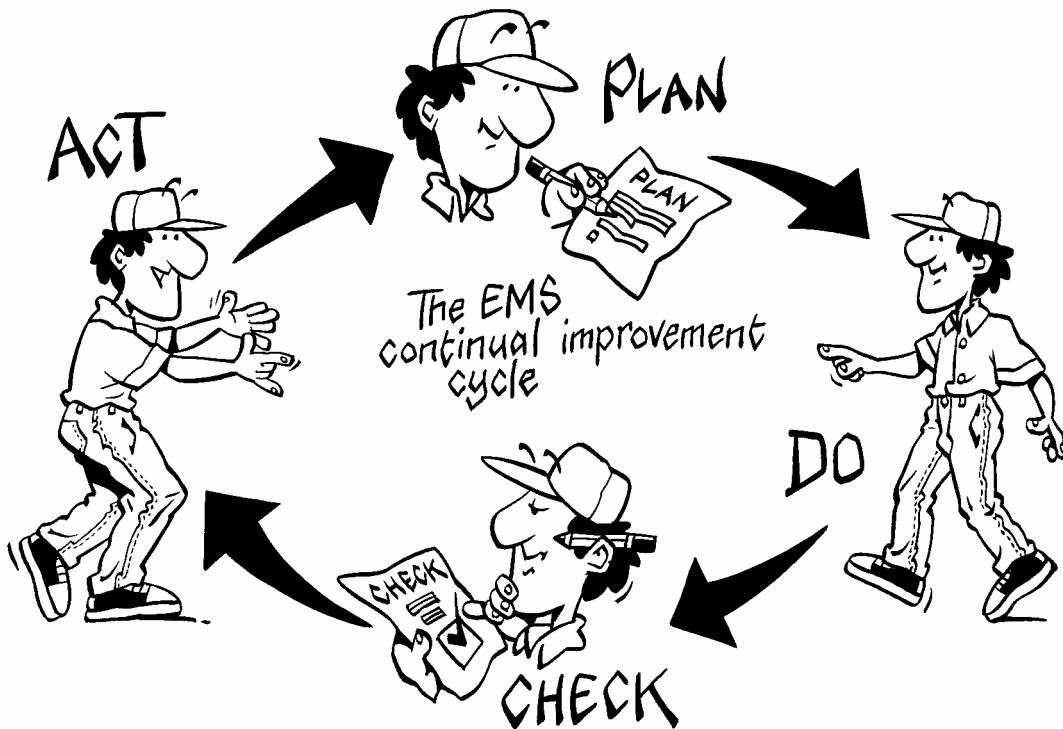
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Profitability risk											

Public relations risk											

SEMS Worksheet 16 - Work programs

...to ensure everyone is clear on the EMS actions they are responsible for



Contents

Purpose:	2
Overview and tips:	2
How to use this worksheet	2
Work Program Template	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to assist you in completing a work program for the members of your EMS.

Overview and tips:

Work programs are important in an EMS because they keep everyone organised and gives them a deadline to work on. This ensures that everyone gets their actions done on time and in line with other people in the group.

How to use this worksheet

- At the top of each page in the attached forms, insert the name of one person or organisation who was made responsible for an action under step 5 (the 'action person')
- List all of the actions that each action person is responsible for in the page under their name (eg, so all of the actions to be undertaken by a person are in the one list)
- Provide each action person with the list of actions they are responsible for
- Monitor progress of each action person in implementing the actions they are responsible for.
- As each action is completed, update relevant records
- Keep a copy of each list of actions in the relevant EMS files or binder.

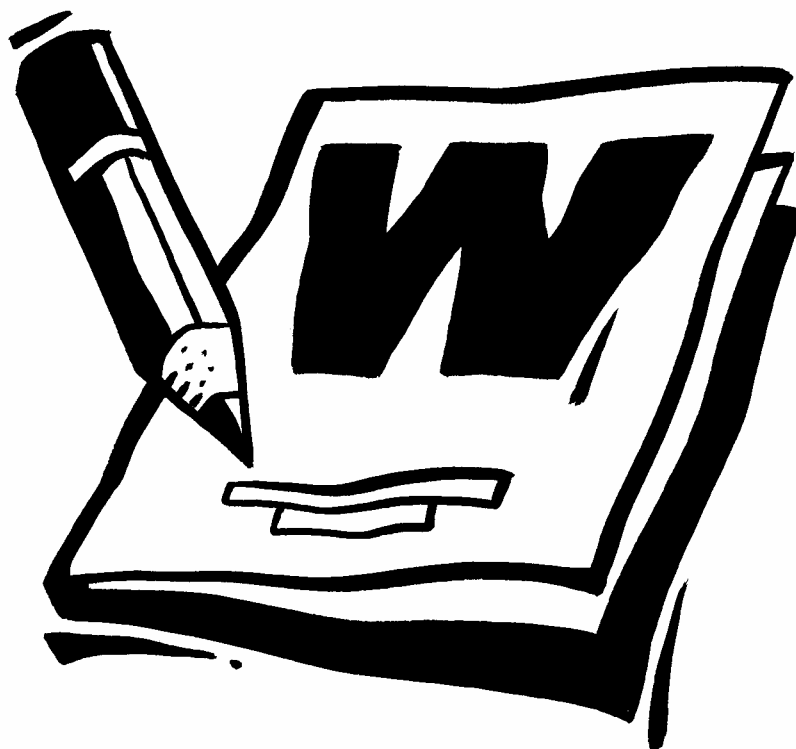
Work Program Template

(Attached)

Worksheet 16 - WORK PROGRAMS										
Activities	Hazard	Potential Risk	Current Management Measures	Risk Ranking	Target	Actions	By When	Monitoring & Corrective Action	Audit Process	Reporting
Actions to be undertaken by: Skipper										
Load fuel	Fuel spill	Contaminate product	No fuelling while product being unloaded	9	Nil contamination	Train crew in fuelling procedures	dd/mm/yyyy	Crew verify delivery of training by signing training register	Self assessment (internal audit)	

SEMS Worksheet 17 – Task worksheet

... to help you plan and execute tasks to complete an agreed action



Contents

Purpose:	2
Overview and tips:	2
Task Worksheet Templates.....	2

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

To create a task worksheet for each task needing to be undertaken.

Overview and tips:

By completing a task worksheet for each task, you ensure that none are missed and that they are all given individual consideration. This helps to guarantee that all aspects of the tasks are looked at and are not incomplete.

1. For each action determined under step 5, record the action and associated details in a copy of this worksheet – one task per worksheet
2. List the tasks to be undertaken to complete the action and by whom
3. Determine and record the resources required to complete each task
4. Record and regularly update the status of each task
5. Record relevant comments as required
6. Give updated copies of the worksheet to people involved in implementing the action
7. When the action is completed, sign and date the worksheet and provide a copy to the facilitator or coordinator for your group
8. The facilitator keeps a copy of this document in the relevant EMS files or binder.

Task Worksheet Templates

(Attached)

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Worksheet 17 - TASK WORKSHEETS										
<u>Activities</u>	<u>Hazard</u>	<u>Potential Risk</u>	<u>Current Management Measures</u>	<u>Risk Ranking</u>	<u>Target</u>	<u>Actions</u>	<u>By When</u>	<u>Monitoring & Corrective Action</u>	<u>Audit Process</u>	<u>Reporting</u>
Tasks required to complete this action:				By Whom:		Resources Needed:			Status:	
1.										
2.										
3.										
4.										
5.										
6.										
7.										
8.										
Comments:										

SEMS Worksheet 18 - Training plan

... to help you to develop a training plan for your organisation



Contents

Purpose.....	2
How to Use This Worksheet	2
Preparing for a workplace training system	2
Step 1 tasks	2
Step 2 tasks	4
Step 3 tasks	5
Training incentives and subsidies	6

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose

The purpose of this worksheet is to assist you to make training part of the way your enterprise functions, regardless of its size and number of employees. It is through training that your environmental management, occupational health and safety and quality assurance procedures become part of the way your employees carry out their work. This promotes a culture of learning which in turn fosters initiative, new ideas giving your enterprise the flexibility and skills to adapt to changing market and regulatory pressures.

How to Use This Worksheet

This worksheet guides you through the steps to establishing your enterprise's workplace training system. It is recommended that you seek the guidance of a registered training organisation (RTO) early on as it can make the task relatively easy. RTOs have access to the national training system¹ and can direct you to the most relevant competencies for your operations and provide you with supporting resources. Be clear and firm about how you want the training system to work for your enterprise.

Preparing for a workplace training system

Preparing for a workplace training system is much the same as planning for any other system development. Thinking of the development as three distinct steps simplifies and organises the work to be done..

Step 1: The objective here is to set up the *management framework* for the training system

Step 2: The objective is to put in place the *procedures and resources* to make the system work

Step 3: The objective here is to *implement the system* and over time, maintain and improve on it.

If your enterprise is small and employs on a casual basis, then its workplace training system will be quite simple. If your enterprise has a number of regular employees and clear levels of responsibility then its workplace training system will need more structure, planning and delegated responsibility. Regardless of employment methods and size, ALL workplaces are required to train in areas covered by regulations – occupational health and safety, food safety and environmental protection. To not do so is to leave a business at risk to prosecution if any of the following is proved; that the workforce is at risk from unsafe work practices, consumers at risk from unsafe seafood and community assets and resources at risk from environmental impacts.

Step 1 tasks

Step 1 tasks are aimed at the owner or manager. These are framework tasks. Attending to them will give

1 The National Training System comprises Training Packages for over ninety industries (including Seafood), and supported by a comprehensive national- state system that assures quality standards in training and assessment are being achieved. A Training Package comprises assessment guidelines and nationally recognised qualifications and competency standards. A competency standard describes a work outcome, for example SFIAQUA312A Oversee the control of pests, predators and diseases, and this is then used as the benchmark for recognising an individual's competency.

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your system the best chance of running smoothly and being sustainable.

Key tasks	Suggestions
Introduce change	<ul style="list-style-type: none"> ▪ Introduce the benefits of a training system at meetings (safer workplace, quality assurance, career pathways, staff retention, multi-skilled employees). ▪ Obtain “Industry Champion” case studies from the Agri-food Industry Skills Council (AFISC) - storytelling is a very effective way of influencing people. (www.agrifoodskills.net.au) ▪ Develop a workplace training policy – in it say who you will train why you will train and in a general way when will it happen. Describe the benefit to the business, community and your employees. Involve employees in its development.
Decide on an approach to workplace training	<ul style="list-style-type: none"> ▪ An approach that involves both on-job and off-job training, and is supported by a registered training organisation (RTO) is recommended. On-job training can be “just in time” and focus on your enterprise procedures and operation. Off-job training can provide additional knowledge and skills in OHS, communication and food safety.) <p>Using an RTO means that employees can have their skills and knowledge recognised through an assessment process against national competency standards. This can help with future career and employment options.</p> <p>The training system and records can be used in 3rd party audits to demonstrate compliance with regulatory requirements and other standards.</p> <ul style="list-style-type: none"> ▪ Seafood Services Australia and AFISC also have a Seafood User Guide which has model training plans. ▪ At the very least, establish a system around training to your workplace procedures and policies.
Authorise budget and use of resources	<ul style="list-style-type: none"> ▪ Make training an expense item in your financial system. Include it as a budget line. ▪ Authorise use of, or acquisition of resources for example computer, desk, book case, folder, white board, training room. ▪ Delegate responsibilities for training and coordination if appropriate for your organisation.
Set up reporting and evaluation process	<ul style="list-style-type: none"> ▪ Decide how you will evaluate training – it might be around safety incidents and reports, improved productivity, supervisor feedback, staff retention or competency completions ▪ Set up an expectation that training outcomes will be reported to management. Be clear on the information you expect and when reporting will occur. Communicate this to relevant people.

Step 2 tasks

Step 2 tasks are focused on setting up the internal procedures and deciding how the system will best operate to meet the needs of the business.

Key tasks	Suggestions
Establish a relationship with a Registered Training Organisation (RTO)	<ul style="list-style-type: none"> ▪ RTOs can save you time and effort in setting up your enterprise training system. Make use of their expertise and resources. ▪ You can locate RTOs for the seafood industry on the internet at www. www.training.com.au and www. www.seafoodservices.com.au ▪ When working with the RTO ensure they access the Seafood EMS Assessor's Guide that accompanies the SEMS Chooser program.
Identify the skills relevant to the business	<ul style="list-style-type: none"> ▪ Make this task an easy one by using the industry competencies for your seafood sector (fishing operations, aquaculture, or processing). Any RTO offering seafood-related training can assist or you can locate the information from www. www.ntis.gov.au. ▪ From the list of competencies, identify the ones relevant to your enterprise and the roles undertaken by employees. ▪ Competencies to do with fishing, aquaculture and seafood processing have references to environmental sustainability. If each of your employees is trained and their skills recognised against the relevant competencies then your enterprise will easily be able to satisfy EMS and other market and audit standards. ▪ Check back against your EMS and ensure that the competencies you identify for the workplace will address any specific requirements. The RTO can assist you with this. Ensure that they have access to the Seafood EMS Assessor's Guide which accompanies the SEMS Chooser Program.
Check enterprise work procedures are current and accurate	<ul style="list-style-type: none"> ▪ Training and assessment will be around the enterprise's policies and work procedures. Ensure these are current and accurate, and easily accessible for employee use.
Delegate training responsibilities	<ul style="list-style-type: none"> ▪ Use leading hands and supervisors' as trainers and assistant assessors. When choosing potential trainers and assessors look for good communication skills, knowledge and experience in the area in which they will train and assess.
Train the workplace trainer	<ul style="list-style-type: none"> ▪ Ensure your enterprise provides effective training by using a qualified trainer. Consider the day or two spent in training as an important investment in your enterprise. ▪ There are two units of competency developed specifically for workplace trainers and assistant assessors: TAADEL301A Provide instruction through instruction and demonstration of skills, and

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	<p>TAAASS301A Contribute to assessment.</p> <p>Contact an RTO to arrange this training.</p>
Schedule training	<ul style="list-style-type: none"> ▪ Macro-schedule on-job training to coincide with operational requirements. If an RTO is providing off-job training, negotiate for sessions to be at times convenient to your operations. ▪ Work from the macro-schedule to timetable training at regular intervals and times, for example every Wednesday morning between 9 and 10. Aim to make training part of the way you work. Plan to use quiet and down-time. ▪ Place the training schedule in a highly visible place. Remind people of training events a few days ahead. Track progress on a wall chart so that you can see at a glance when individuals are ready for assessment.
Keep training records	<ul style="list-style-type: none"> ▪ Use a spreadsheet or table to record training sessions. Ensure it shows: <ul style="list-style-type: none"> The competency or procedure the training was about Who attended – have them initial that they attended When and where it took place Who the trainer (and if applicable the assessor) was Assessment outcome for each individual <p>Your RTO may have electronic templates that you can use for this purpose.</p>

Step 3 tasks

Step 3 tasks are focused on keeping the training system going

Key tasks	Suggestions
Implementing training	<ul style="list-style-type: none"> ▪ Make training part of the way you work. Train before a skill or procedure is needed. It might be a new skill, one that has not been undertaken for a while, or one that has a degree of risk associated with it. ▪ Begin training new employees, at the time you do their induction. ▪ Allow time for an employee to master a skill or procedure, whilst working under guidance. ▪ Use a log book to track training, skill development and readiness for assessment. ▪ For consistency use checklists for training and assessment of competency. ▪ Plan to use quiet and down times for training.
Monitoring the effectiveness of	<ul style="list-style-type: none"> ▪ Follow the evaluation and reporting requirements set up in

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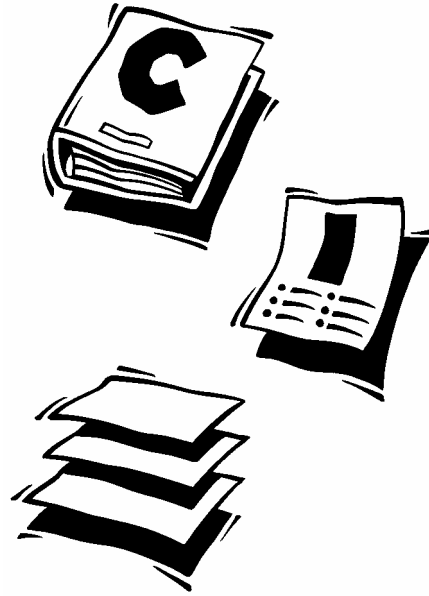
training system	<p>Step 1.</p> <ul style="list-style-type: none"> ▪ If a work procedure changes, or a new piece of technology is introduced remember to update the training and assessment checklists as well as the procedure. ▪ Make training a regular item at workplace meetings. Check that any training events since the last meeting went well and that monitored skill development and timely assessments are taking place. ▪ If there is an OHS or other work-related problem look at how the training and assessment system can be used to eliminate it, or at least minimise the risk of it occurring. ▪ If you are working with an RTO, they will help you monitor the system. From time to time they may invite your trainer and assistant assessors to participate in validation sessions. These are a type of benchmarking, where you are checking the standard of your assessments against those of other assessors. This is an important part of quality assuring the national training system, and your enterprise workplace training system. ▪ Meet the reporting requirements established in Step 1. It is only through regular reporting that the benefits of the training system become well known within the organisation and commitment to the maintaining the system continues.
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Training incentives and subsidies

One of the benefits of working with a registered training organisation to develop the enterprise workplace training system is that it can give your business access to training contracts. Contracts are made available through the national-state government training system. Eligible employees may attract employer incentives and also funding that pays the RTO for the training they receive. An RTO can explain these opportunities to you, and also refer you to the National Apprenticeship Centre (NAC) which is the organisation that manages the training contracts.

SEMS Worksheet 19 - Document control

... to help you to control critical SEMS documents



Contents

Purpose:	2
Overview and tips:	2
How to use this worksheet	2
Example (Master Control List).....	2
Helpful Hints:	3
SEMS Individual Document Control Form	3
Master List Document Control Form	4

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to provide you with information on the process of document control.

Overview and tips:

An efficient document control is essential to keep track of critical EMS and other documentation and records. It will help to reduce your workload, eliminate duplication and make sure everyone is working from the same, latest key EMS documents.

Developing a working document in Excel or otherwise on the computer will save a lot of time when you do updates to the list 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 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.

How to use this worksheet

Use the SEMS Individual Document Control Form for controlled documents that you need to keep track of. Make copies for each document that you are keeping track of, and place the sheet at the beginning of each document.

Use the Master List Document Control Form to keep track of each document you have and where they are kept, whether they are for you SEMS, or other operations.

As a process, be sure to follow the same procedures for each document to avoid confusion. A document should first be assigned a code and where it will be kept and added to the master list, and then an individual sheet created and placed at the beginning. Be sure that the list is updated frequently so that important documents aren't lost or forgotten about.

Example (Master Control List)

Category	Document Code	Document Name	Location	Controlled / Not controlled	Revision # & Date
Eg. SEMS Documents	SEM001	SEMS Self Assessment and Training Manual	Joe Fisher's Home (Main Library)	Not Controlled	Rev. 01 mm/yy
Eg. Employment	EMP001	Training Plan (from SEMS training manual)	Joe Fisher's Home (Main Library)	Controlled	Rev. 04 mm/yy
Eg. Finance	FIN003	Profit / Loss Statements	Accountant	Controlled	Rev. 07 mm/yy
Eg. Legal	LEG011	Environmental Protection Act 1994	Joe Fisher's Home (Main Library)	Not Controlled	Rev. 00 mm/yy

It is important that everyone knows what documents are available, and where they are kept, so be sure to distribute the master list of documents to those involved in the SEMS as soon as the list is completed, and whenever it is updated.

Helpful Hints:

Use minimal tracking documents (master lists) controlled forms; controlled lists

SEMS Individual Document Control Form

Document code:

Document name:

Document category:

Revision sheet

Release No.	Date	Revision Description
Rev. 0		
Rev. 1		
Rev. 2		
Rev. 3		
Rev. 4		
Rev. 5		
Rev. 6		

Master List Document Control Form

Category	Document Code	Document Name	Location	Controlled / Not controlled	Revision # & Date
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
SEMS Documents					
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Employment					
Employment					
Employment					
Finance					
Finance					
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Finance					
Finance					

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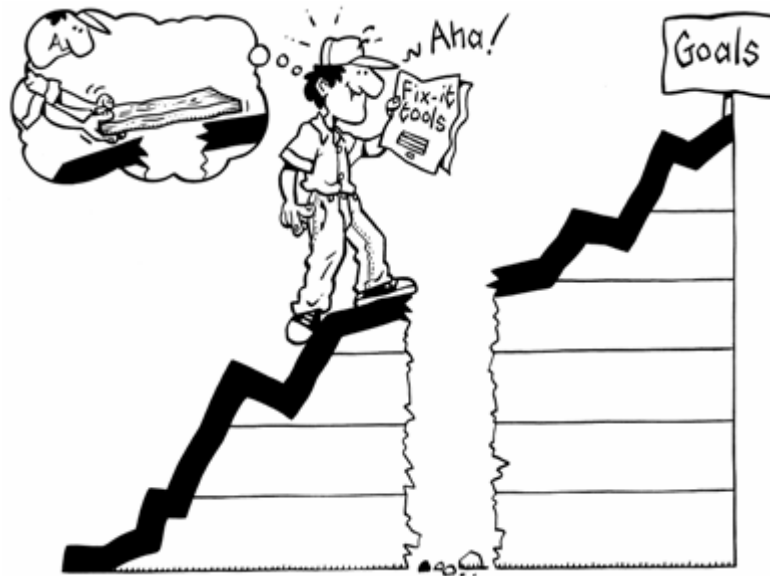
Category	Document Code	Document Name	Location	Controlled / Not controlled	Revision # & Date
Finance					
Finance					
Finance					
Finance					
Finance					
Finance					
Fishing Operations					
Fishing Operations					
Fishing Operations					
Fishing Operations					
Fishing Operations					
Fishing Operations					
Fishing Operations					
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Fishing Operations					
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Fishing Operations					
Fishing Operations					
Fishing Operations					
Legal					
Legal					
Legal					
Legal					

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Category	Document Code	Document Name	Location	Controlled / Not controlled	Revision # & Date
Legal					
Legal					
Legal					
Legal					
Legal					
Legal					
Legal					
Legal					
Legal					
Supplies					
Supplies					
Supplies					
Supplies					
Supplies					
Supplies					
Supplies					
Supplies					
Supplies					
Administration					
Administration					
Administration					
Administration					
Administration					
Administration					
Administration					
Other:					

Worksheet 20 – Emergency preparedness and response

... to help you to identify potential emergencies and develop an emergency response plan



Contents

Purpose:	2
Overview and tips:	2
Helpful Hints	2
Flow Chart for Emergency Preparedness and Response Plan	3
Possible Emergency Preparedness and Response Plan Layout:	4
Check list for Plan.....	4

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to help you think through and identify measures by implementing an emergency response plan so that you can best manage emergencies should they arise.

Overview and tips:

Despite all your planning, emergencies will arise – often then not from things out of your control. For example; food and safety impacts on your fishery if a health scare breaks out, or the impacts of pollution in the ocean from other fisheries or industries. For this reason you must be as prepared as possible, with a set of actions to take if one such emergency does occur.

Helpful Hints

To assess some potential Emergency situations, and the risks they include, go over the risk assessment you completed in Worksheet 09

It may be helpful to draw a physical map of the area that you work in, whether it is a fishing boat, docking bay, fish markets, aquaculture pond, or restaurant. This will help you visualize all the potential emergency areas such as hazardous materials.

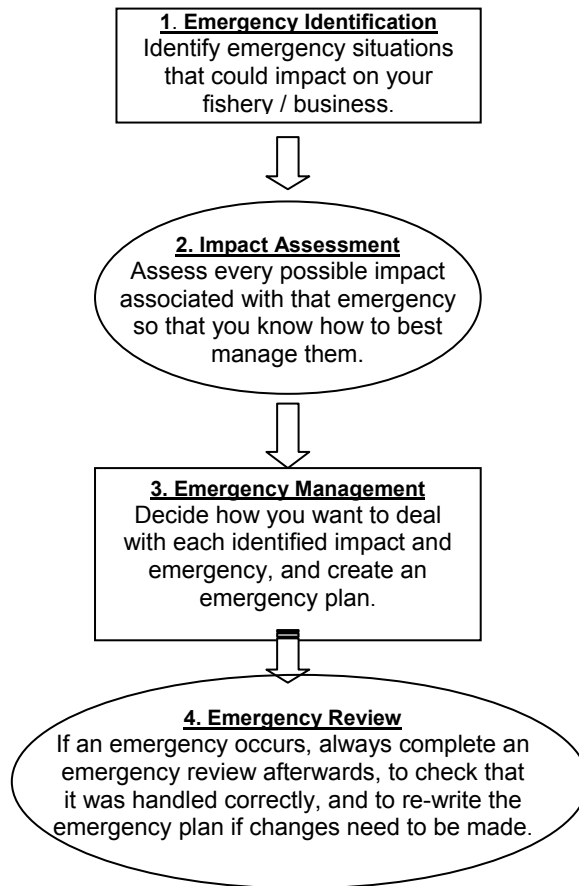
When recording the emergency procedures, make extra copies of the contact list and put them up in the areas where emergencies may occur. This will ensure that everyone has access to these numbers without having to run and look through a document first.

Create a training roster, so you can be sure that everyone involved in your fishery knows what procedures to follow. A simple checklist for each staff member is sufficient.

Flow Chart for Emergency Preparedness and Response Plan

Identify potential emergencies and develop procedures for preventing and responding to them. Despite an organisations best effort, the possibility of accidents and other emergency situations still exists. Effective planning can reduce injuries, protect employees and others, reduce asset losses and minimise production downtime.

To implement an Emergency Response plan, follow the flow chart below and complete the necessary steps.



Possible Emergency Preparedness and Response Plan Layout:

1. Introduction
2. Legislation / Documents Used
3. Scope – what your plan covers, areas, materials and procedures
4. Potential Emergency Situations
5. Who is Responsible
6. Emergency Procedures to Follow:
 - a What to do
 - b Who to contact
 - c Which equipment to use and location
7. Training Roster

Check list for Plan

When developing your emergency preparedness and response plan use the checklist below for what to include.

Checklist for Emergency Preparedness and Response Plan	TICK OR CROSS
<i>Does your plan describe the following:</i>	
<ul style="list-style-type: none"> • potential emergency situations (such as fires, explosions, spills or releases of hazardous materials, and natural disasters)? 	[]
<ul style="list-style-type: none"> • hazardous materials used on-site (and their locations)? 	[]
<ul style="list-style-type: none"> • key organizational responsibilities (including emergency coordinator)? 	[]
<ul style="list-style-type: none"> • arrangements with local emergency support providers? 	[]
<ul style="list-style-type: none"> • emergency response procedures, including emergency communication procedures? 	[]
<ul style="list-style-type: none"> • locations and types of emergency response equipment? 	[]
<ul style="list-style-type: none"> • maintenance of emergency response equipment? 	[]
<ul style="list-style-type: none"> • training / testing of personnel, including the on-site emergency response team (if applicable)? 	[]

SEMS Worksheet 21 - EMS audit checklist

... to help you decide on an audit process



Contents

Purpose:	2
Overview and tips:	2
EMS Audit Checklist	2
Example Audit Report	3

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to identify key points about your EMS before you decide on an audit process and during the audit process.

Overview and tips:

The formula is very simple. More transparency = more confidence. Therefore, the level of audit that you choose will directly relate to the level of confidence that you have in your EMS.

EMS Audit Checklist

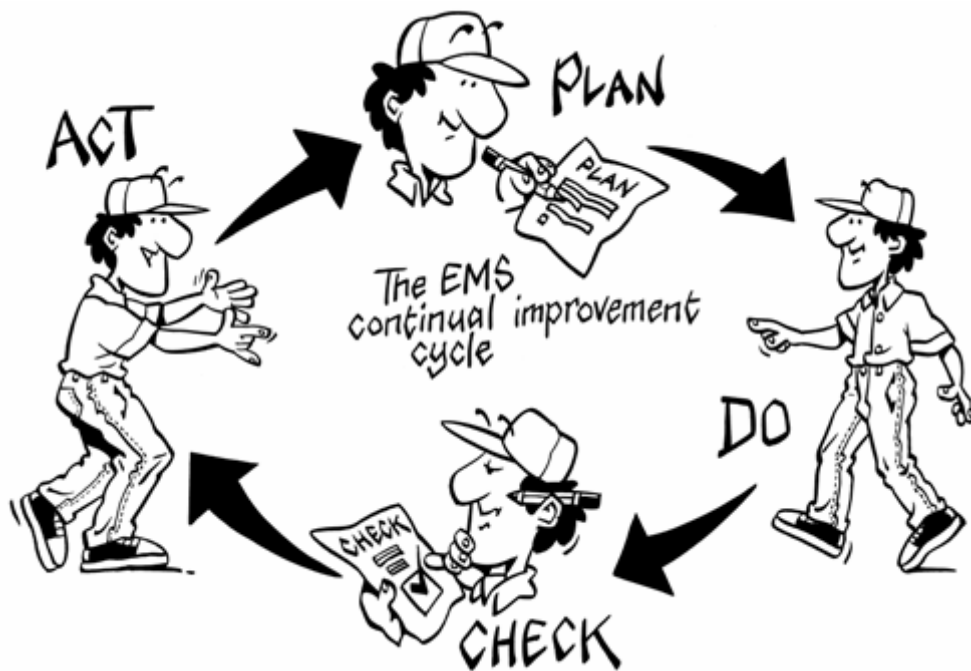
Have we developed an EMS audit program? If not, how will this be accomplished?	
Who needs to be involved in the audit process?	
Is there another audit program with which our EMS audits could be linked (for example, our quality or health & safety management system audits)?	
Have we determined an appropriate audit frequency? What is the basis for the existing frequency?	
Should the frequency of audits be modified?	
Have we selected EMS auditors?	
What are the qualifications of our auditors?	
What training has been conducted or is planned for our EMS auditors?	
Have we conducted EMS audits as described in the audit program? Where are the results of such audits described?	
How are the results of EMS audits communicated to top management?	
How are the records of these audits maintained?	
Notes and comments:	

Example Audit Report

Organisation Audited: _____			
Lead Auditor:		Date:	
ELEMENT NUMBER AND DESCRIPTION		AUDIT RESULTS	
		No. of Majors / No. of Minors	A, N, X*
4.2	Environmental Policy		
4.3	Planning		
4.3.1	Environmental Aspects		
4.3.2	Legal and Other Requirements		
4.3.3	Objectives and Targets		
4.3.4	Environmental Management Program(s)		
4.4	Implementation and Operation		
4.4.1	Structure and Responsibility		
4.4.2	Training, Awareness, and Competence		
4.4.3	Communication		
4.4.4	EMS Documentation		
4.4.5	Document Control		
4.4.6	Operational Control		
4.4.7	Emergency Preparedness and Response		
4.5	Checking and Corrective Action		
4.5.1	Monitoring and Measurement		
4.5.2	Corrective and Preventive Action		
4.5.3	Records		
4.5.4	EMS Audit		
4.6	Management Review		
TOTAL			
Legend:			
<p>A = Acceptable: Interviews and other objective evidence indicate that the EMS meets all the requirements of that section of the standard.</p> <p>N = Not Acceptable: The auditor has made the judgment that, based on the number and type of non-conformances, the requirements of that the section of the standard are not being met.</p> <p>X = Not Audited</p>			

SEMS Worksheet 22 – Management review

... to help you carry out a management review of your EMS



Contents

Purpose:	2
Overview and tips:	2
Why Management Review?	2
Some points to include in your Management Review:	3

Important Note: Make working copies of this worksheet as required – keep this master copy for photocopying.

Purpose:

The purpose of this worksheet is to provide you with a process for management review.

Overview and tips:

Management review is about formally reviewing your EMS process. Don't get it confused with continual improvement, which needs to happen all the time. Of course, your management review will cover issues such as continual improvement, and will use the outcomes from your audit process.

- Work through the checklist and answer each question
- Discuss the issues raised in the checklist as a group – so everyone can brainstorm and agree on your future.

Why Management Review?

An Environmental Management System is meant to be a cyclical process, hence the “Plan – Do – Check – Act” template. This ensures that your EMS is meeting your determined goals; that it is being continuously improved; policies are being updated; and new staff are aware of improvements that need to be made. In order to do all this, at least a once yearly management review should be conducted, if not two or three times a year.

After all, what is the point in implementing an EMS if you aren't going to continue using it properly?

Be sure to consider each of the key questions in the manual during your management review, and pull information from various resources such as your audit reviews, personal experiences from workers, and statistics on cost effectiveness etc.

Once you have a process for your management review outlined, go through the checklist below and make updates where needed.

	Checklist	Yes	No
(1)	Do you have an up to date process for conducting management reviews?	[]	[]
(2)	Have you determined who will be involved in this process within your organization?	[]	[]
(3)	Have you organised a time to implement the process taking into consideration existing organisational processes, such as your budget, annual planning or audit cycles?	[]	[]
(4)	Have you determined how frequently your management reviews take place?	[]	[]
(5)	Have you determined who is responsible for gathering the information needed to conduct management reviews and, who is responsible for presenting this information (this may be more than one person)?	[]	[]

	Checklist	Yes	No
(6)	Have you ensured that changing circumstances (both internal and external to the organization) are considered in this process?	[]	[]
(7)	Have you arranged a way of ensuring that recommendations from your audit reviews are discussed at management review meetings?	[]	[]
(8)	Have you put in place steps to ensure that the recommendations of management reviews are tracked and acted upon?	[]	[]

Some points to include in your Management Review:

These points don't have to be followed precisely; they're just to give you an idea of some of the items that should be included when you're conducting a management review.

- Purpose / Scope of the Management Review
- Areas Affected
- Forms Used (for example, an attendee form)
- Procedure (what you are going to cover in the review) Can be any of the following and more:
 - Environmental Policies
 - Updates to vision / goals / targets
 - Updates to work tasks / programs
 - Economic outcomes
 - Legal and other requirements
 - Emergency Plan updates / review
 - Audits
- Record of revisions (make sure you record all changes made!)

Seafood EMS Worksheets

The following worksheets have been prepared to assist with your creation of an EMS.

Worksheet 01 Tips for EMS facilitators

Worksheet 02 Conducting workshops

Worksheet 03 Record your vision

Worksheet 04 Contacts register

Worksheet 05 SEMS agreement form

Worksheet 06 Record your scope

Worksheet 07 Legal register

Worksheet 08 Risk assessment

Worksheet 09 Ranking risks

Worksheet 10 Risk report

Worksheet 11 Record your policy

Worksheet 12 Record your EMS management

Worksheet 13 Guide to SEMS organisations

Worksheet 14 Model rules for an Association

Worksheet 15 Action plan

Worksheet 16 Work programs

Worksheet 17 Task worksheet

Worksheet 18 Training plan

Worksheet 19 Document control

Worksheet 20 Emergency response

Worksheet 21 Audit policy and procedures

Worksheet 22 Management review

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