

# Continuing Professional Development guidelines for Extractives

June 2016



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## WorkSafe sets the requirements for continuing professional development. These are set out in a New Zealand Gazette notice

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Continuing professional development (CPD) is the systematic maintenance, improvement and broadening of knowledge, understanding and skills and the development of personal qualities necessary to undertake duties throughout a certificate of competence (CoC) holder's working life.

### WHAT IS THE PURPOSE OF CPD AND WHY IS IT IMPORTANT?

CPD is a way to continually improve the way we work together, using leadership and judgement for the enhancement of our people and our workplaces.

We are living in a time when change is continuous and happening faster than ever. We see this in the technology we use and in the way we work. Standing still can mean knowledge and skills will soon become out dated and how you work is less productive. It is important to keep up to date not only with operational and technical knowledge and skills but also knowledge and skills about how people work with one another and how they work with systems and machines.

Ongoing learning means thinking about what is important in your statutory role as a CoC holder and constantly improving knowledge and skills.

### HOW WILL THIS BE ACHIEVED?

Doing CPD enables every CoC holder to:

- > Advance and maintain knowledge, skills and competence.
- > Respond appropriately to changing and challenging situations.
- > Promote awareness of health and safety issues and controls.
- > Maintain a record of learning to demonstrate current competence.
- > Own and self-manage learning to improve performance.
- > Achieve and maintain safe and healthy work environments within the extractives industries.
- > Acquire and retain up to date knowledge of industry-wide systems and hazards.
- > Be a more effective and efficient worker and assist others to be the same.

On its own, CPD will not guarantee that skills and knowledge will translate into increased safety awareness and a high quality level of work. This involves more than doing CPD activities.

**The key is applying that knowledge with professional and operational judgement. This is the responsibility of each CoC holder.**

## **DO I HAVE TO DO CPD?**

The Health and Safety in Employment (Mining Operations and Quarrying Operations) Regulations 2015 require that all holders of a CoC must comply with CPD requirements. In order for your CoC to be renewed, you will need to demonstrate that you have done so.

## **I DON'T WORK IN THE EXTRACTIVES INDUSTRY BUT WANT TO KEEP MY COC CURRENT. WHAT DO I DO?**

Everyone who holds a CoC and wants to renew it must meet the CPD requirements regardless of whether or not they are working within mining, quarrying or tunnelling workplaces throughout the five-year period of a CoC.

## **SUMMARY OF CPD REQUIREMENTS**

- > Based on hours.
- > Have a five year cycle which starts with the date a CoC has been issued. This is because CoCs must be renewed every five years.
- > Additional hours earned in one year can be carried forward to be counted towards the next year's hours but not beyond that.
- > Learning must be undertaken across a relevant range of topics within the required competencies in each five year period.
- > A minimum of two-thirds of total hours each year must be formal learning. Up to a third of total hours can be informal learning. What is considered formal and informal learning is found on page 5-6.
- > CoC holders who hold more than one CoC in the same category (eg quarrying) only need to complete requirements for the most senior CoC they hold.
- > CoC holders who hold more than one CoC in the same category need to complete requirements for the CoC with the higher amount of hours; as well as any additional specific topics required for your COC.



## STRUCTURE

There are two parts to the CPD requirements:

- > **Competency requirements** to make sure that the range of knowledge and skills each CoC holder has are appropriate for the statutory functions that a CoC holder must carry out.
- > **Learning** both formal and informal which allows a CoC holder to take part in activities to make sure that skills and knowledge are not just maintained but enhanced.

## COMPETENCY REQUIREMENTS

COMPETENCIES	TOPICS
<b>Operating and safety systems</b>	Exploration/site investigation
	Slope stability
	Operational planning
	Temporary work/preparatory works
	Methods
	Processing
	Services
	Plant and equipment
	Guarding
	Maintenance
	Instrumentation and monitoring
	Ground or strata management
	Roads and vehicle operations
	Fire and explosion prevention
	Gas management
	Mechanical engineering
	Electrical engineering
	Ventilation management
	Worker health management
	Outburst management
	Inrush and inundation management
	Flammable dust management
	Explosives
	Spontaneous combustion
	Environmental management
	Emplacement stability
	Ponds and dams
	Stockpiling
	Waste dumps
	Hyperbarics
	Mine surveying
	Segment management
	Safety management
	Risk management

CONTINUING PROFESSIONAL DEVELOPMENT GUIDELINES FOR EXTRACTIVES

COMPETENCIES	TOPICS
<b>Legislation</b>	<p>Relevant Acts, regulations, approved codes of practice, instruments, standards, and guidelines, such as:</p> <ul style="list-style-type: none"> <li>a. Health and Safety in Employment Act 1992 (HSE Act)</li> <li>b. Health and Safety at Work Act 2015 (HSW Act)</li> <li>c. Health and Safety in Employment (Mining Operations and Quarrying Operations) Regulations 2013 (including Principal Hazard Management Plans, and Principal Control Plans)</li> <li>d. Approved codes of practice issued under the HSE Act or HSW Act</li> <li>e. Safe work instruments made under the HSW Act</li> <li>f. Hazardous Substances and New Organisms (HSNO) Act 1996</li> <li>g. Regulations made under the HSNO Act</li> <li>h. Resource Management Act 1991</li> <li>i. Crown Minerals Act 1991</li> <li>j. Mines Rescue Act 2013</li> </ul> <p>Acts or regulations that amend or replace any of the Acts and regulations listed above.</p> <p>Relevant local authority requirements or conditions.</p>
<b>Emergency management</b>	<p>Emergency plans Preparedness and response</p>
<b>Leadership</b>	<p>Health and well-being People development and management Communication Contractor management Worker participation Planning and organising Problem-solving and decision-making Initiative</p>

Topics set out in column 2 of this table are examples of the matters that may be covered by a competency. Learning in other topics within these competencies will be treated as CPD as long as it is directly relevant to maintaining and enhancing skills and knowledge within the extractives industry.

## TYPES OF LEARNING

### FORMAL LEARNING

TYPES OF LEARNING	CLAIMABLE HOURS
Attending industry seminars/workshops, such as those run by industry or related organisations.	Actual hours up to a maximum of 6 hours per seminar/workshop.
Delivering industry seminars/workshops.	Actual hours up to a maximum of 8 hours per seminar/workshop.
Successfully completing formal training courses by fulfilling all course requirements. These must meet the criteria set out in Appendix 1.	Actual hours.
Attending industry representative meetings, such as but not confined to advisory groups, industry or specialist boards, panels of examiners membership, technical committees.	Actual hours up to a maximum of 6 hours per year for each group.
Attending relevant industry conferences. These must be relevant to the Certificate of competence holder.	Actual hours up to a maximum of 4 hours per conference.
Study or training towards tertiary qualifications, including degrees and industry training qualifications.	Half of the required formal hours per year ie 8 hours for most certificate of competence holders; or 4 hours for holders of the following certificates of competence holders: B-grade opencast coal mine manager; B-grade quarry manager; B-grade tunnel manager; coal mine deputy; mine surveyor; 2 hours for holders of a certificate of competence as a winding engine driver.
Presenting paper at a relevant industry conference (includes content preparation).	Actual hours up to a maximum of 8 hours for each presentation. Actual hours up to a maximum of 4 hours where the same content of a paper is subsequently presented or a previously published paper is presented.
Publication of learned/peer reviewed papers.	Actual hours up to a maximum of 10 hours for papers that have not been presented.
Actual hours up to a maximum of 5 hours for content/paper that has been previously presented at a conference or similar.	
Extra hours are not claimable if the paper is published in more than one publication	
Publication of articles in relevant industry magazines or journals or similar.	Actual hours up to a maximum of 4 hours for content that has not previously been presented.
Actual hours up to a maximum of 2 hours for content/paper that has been previously presented at a conference or similar.	
Extra hours are not claimable if the paper is published in more than one publication.	

## CONTINUING PROFESSIONAL DEVELOPMENT GUIDELINES FOR EXTRACTIVES

TYPES OF LEARNING	CLAIMABLE HOURS
Written papers accompanied by a conference poster at a relevant industry conference (includes preparation).	Actual hours up to a maximum of 8 hours for papers that have not been presented.
Actual hours up to a maximum of 4 hours for papers that have been previously presented at a conference or similar.	

### INFORMAL LEARNING

TYPES OF LEARNING	CLAIMABLE HOURS
Publications. This can include but not be confined to reading learned or technical articles, technical publications, conference papers.	Actual hours up to a maximum of 2 hours per year.
Relevant field trips.	Actual hours up to a maximum of 2 hours per field trip, and a maximum of 2 field trips per year.
Delivering in-house training (that is not formal training).	Actual hours up to a maximum of 4 hours per year.
In-house training (that is not formal training).	Actual hours up to a maximum of 4 hours per year.
Equipment manufacturers' training (that is not formal training).	Actual hours up to a maximum of 4 hours per year.
Attending relevant industry expos.	Actual hours up to a maximum of 2 hours per year.
Workplace mentoring.	Actual hours up to a maximum of 2 hours per year.
Participation in high-level risk assessments. This does not include participation in day-to-day activities such as task focused risk assessment eg Take 5 or JSA.	Actual hours up to a maximum of 2 hours per year.
Review of principal hazard management plans.	Actual hours up to a maximum of 4 hours per year.
Participation in conducting reportable incident investigation(s).	Actual hours up to a maximum of 2 hours per year.

### WHAT YOU NEED TO DO TO MEET CPD REQUIREMENTS

CERTIFICATE OF COMPETENCE	HOURS REQUIRED	COMPETENCIES	LEARNING
<b>Site senior executive</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.
<b>First class mine manager</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.

CONTINUING PROFESSIONAL DEVELOPMENT GUIDELINES FOR EXTRACTIVES

CERTIFICATE OF COMPETENCE	HOURS REQUIRED	COMPETENCIES	LEARNING
<b>First class coal mine manager</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency.  Within the above, a total of 30 hours over 5 years across all of the following topics from Operating and Safety Systems: electrical engineering; ventilation management; gas management; spontaneous combustion; flammable dust management.	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.
<b>A-grade opencast coal mine manager</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.
<b>B-grade opencast coal mine manager</b>	5 year total: 60 hours  12 hours per year minimum	Minimum of 8 hours over 5 years for each competency	Formal: minimum of 8 hours per year.  Informal: up to a maximum of 4 hours per year
<b>A-grade quarry manager</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.
<b>B-grade quarry manager</b>	5 year total: 60 hours  12 hours per year minimum	Minimum of 8 hours over 5 years for each competency	Formal: minimum of 8 hours per year.  Informal: up to a maximum of 4 hours per year
<b>A-grade tunnel manager</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.
<b>B-grade tunnel manager</b>	5 year total: 60 hours  12 hours per year minimum	Minimum of 8 hours over 5 years for each competency	Formal: minimum of 8 hours per year.  Informal: up to a maximum of 4 hours per year
<b>Coal mine underviewer</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency.  Within the above, a total of 30 hours over 5 years across all of the following topics from Operating and Safety Systems: electrical engineering; ventilation management; gas management; spontaneous combustion; flammable dust management.	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.

CONTINUING PROFESSIONAL DEVELOPMENT GUIDELINES FOR EXTRACTIVES

CERTIFICATE OF COMPETENCE	HOURS REQUIRED	COMPETENCIES	LEARNING
<b>Coal mine deputy</b>	5 year total: 60 hours  12 hours per year minimum	Minimum of 8 hours over 5 years for each competency.  Within the above, a total of 15 hours over 5 years across all of the following topics from Operating and Safety Systems: electrical engineering; ventilation management; gas management; spontaneous combustion; flammable dust management.	Formal: minimum of 8 hours per year.  Informal: up to a maximum of 4 hours per year
<b>Electrical superintendent</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency.  A minimum of 25% of total hours required must be earned from topics that are directly subject-related to the area of specialisation.	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.
<b>Mechanical superintendent</b>	5 year total: 120 hours  24 hours per year minimum	Minimum of 16 hours over 5 years for each competency.  A minimum of 25% of total hours required must be earned from topics that are directly subject-related to the area of specialisation.	Formal: minimum of 16 hours per year.  Informal: up to a maximum of 8 hours per year.
<b>Mine surveyor</b>	5 year total: 60 hours  12 hours per year minimum	Operating and Safety Systems and Legislation only.  Minimum of 8 hours over 5 years for relevant topics from each competency.  A minimum of 25% of total hours required must be earned from topics that are directly subject-related to the area of specialisation	Formal: minimum of 8 hours per year.  Informal: up to a maximum of 4 hours per year.
<b>Ventilation officer</b>	5 year total: 60 hours  12 hours per year minimum	Operating and Safety Systems and Legislation only.  Minimum of 8 hours over 5 years for relevant topics from each competency.  A minimum of 25% of total hours required must be earned from topics that are directly subject-related to the area of specialisation	Formal: minimum of 8 hours per year.  Informal: up to a maximum of 4 hours per year.

CERTIFICATE OF COMPETENCE	HOURS REQUIRED	COMPETENCIES	LEARNING
<b>Winding engine driver</b>	5 year total: 40 hours  8 hours per year minimum	A minimum of 30 hours over 5 years must encompass relevant topics from Operating and Safety Systems.  Up to 10 hours may be from topics from other competencies.	Formal: minimum of 4 hours per year.  Informal: up to a maximum of 2 hours per year.

**Note:** the specified minimum hours of CPD in competencies (column 3) and of formal learning (column 4) are part of, and not additional to, the yearly and 5 year total hours of CPD required.



This is what the logbook looks like.



## CONTINUED PROFESSIONAL DEVELOPMENT DIARY (LOGBOOK)

Name:	Certificate of Competence held (Most Senior):
Telephone number:	Email:

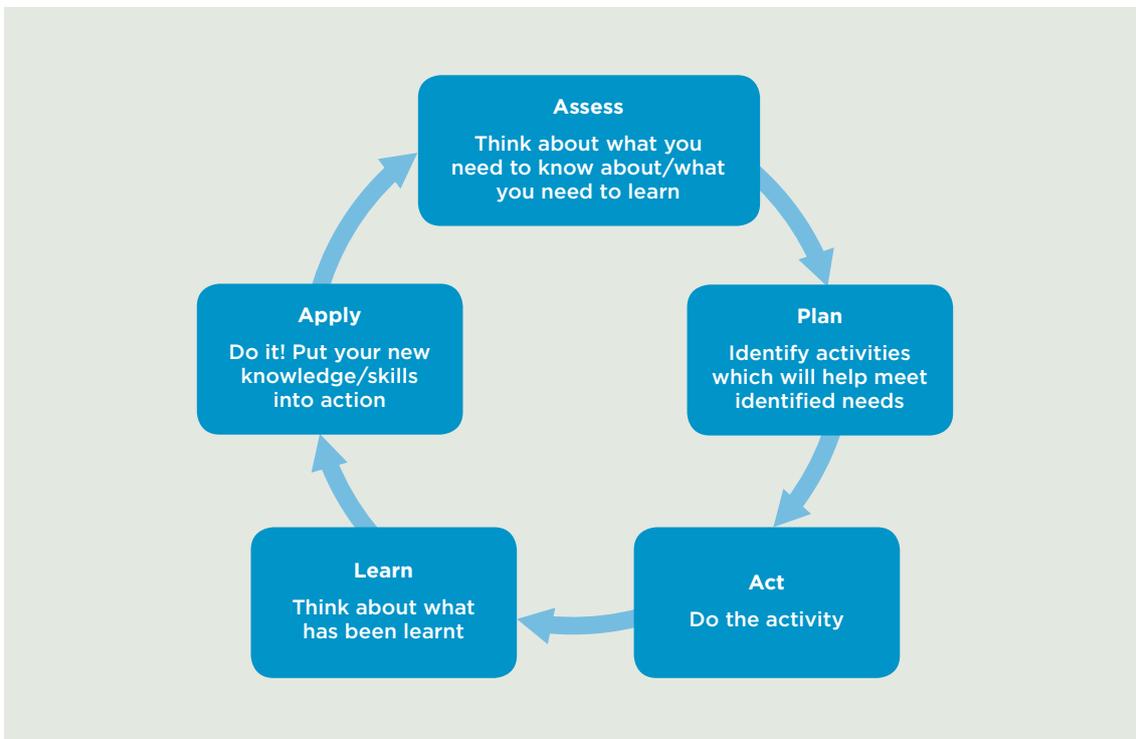
DATE	ACTIVITY (PROVIDER)	COMPETENCE	FORMAL/ INFORMAL LEARNING	HOURS	KEY LEARNINGS
Example					
15/02/16	New HSE legislation workshop, WorkSafe	Legislation	Formal	3	Understand key safety requirements in new legislation and how they relate to quarrying.
06/07/16	Site visits to X quarry and Y quarry to look at plant set up and new crusher, IOQ	Operating and safety systems	Informal	2	Seeing and discussing what other operations are doing and using this to look at how own site and operations can be improved.

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## DETERMINING YOUR LEARNING

To get the most out of your CPD it is a good idea to review what your needs are. The requirements set out the competencies within which your learning must take place, and suggested topics within those competencies. The topics listed are examples. If there is learning in other topics which you can show contribute to maintaining and developing your skills and knowledge in a competency you should do this. Within this it is up to you to work out what skills need to be developed or what area of work you need to know more about. Use this to plan your CPD activities. Often it's a good idea to discuss your plan with your manager or colleagues.

This will take extra time, but planning will mean that activities will be focussed on your needs rather than doing activities which you find out too late don't meet your needs.



## KEEPING A CPD RECORD

CPD activities must be recorded in a logbook. Activities should be recorded as you go along. Do not leave it to the last minute. Please submit logbook entries to the BoE Secretariat after *each entry* to ensure there is a file kept on WorkSafe's database.

Remember to keep all evidence of activities in case you are asked to provide evidence when you apply for renewal of your CoC(s). Examples of types of evidence would be course certificates, a seminar/conference programme showing you as a speaker, attendance record at a workshop/seminar, confirmation by your employer of participation in an in-house training course, attendance records, registration forms or confirmation of attendance at a seminar/workshop/conference.

You must use the approved logbook which can be accessed by visiting the New Zealand Mining Board of Examiner's website.

Please contact [BoE\\_Secretariat@worksafe.govt.nz](mailto:BoE_Secretariat@worksafe.govt.nz) or 04 901 4980.

## COMPLIANCE

Compliance is monitored in two ways:

- > A percentage of CoC holders' CPD logbooks, randomly selected, will be examined annually to check that CPD requirements have been met. You will be informed if your logbook has been selected.
- > When you apply for renewal of your CoC the logbook will be checked to make sure that CPD requirements have been met.

**Remember regulation 43: The holder of a certificate of competence must comply with the continuing education requirements prescribed under regulation 34 for a holder of that certificate of competence.**

## APPENDIX 1: CRITERIA FOR CPD FORMAL TRAINING COURSES

To be counted towards CPD requirements all formal training courses of more than four hours must:

- a. Have learning outcomes and assessment activities
- b. have course content that is:
  - i. consistent with current legislation, standards and codes of practice
  - ii. current and relevant to the mining, tunnelling or quarrying industry (as applicable)
  - iii. relevant to the holder, in relation to the certificate of competence held
- c. have a clearly defined structure with a statement of course goals and outcomes, including learning objectives
- d. have a learning environment which is appropriate, safe, supportive and adequately resourced
- e. provide measureable outcomes for the knowledge and/or skills covered
- f. have clear and valid processes of assessment to determine whether course attendees are deemed to have successfully completed the course
- g. have an instructor who:
  - i. has appropriate qualifications and technical and educational knowledge and experience relevant to the course he or she is delivering; and
  - ii. holds relevant qualifications or has suitable experience in adult education or training.

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## DISCLAIMER

WorkSafe New Zealand has made every effort to ensure the information contained in this publication is reliable, but makes no guarantee of its completeness. WorkSafe may change the contents of this guide at any time without notice.

This document is a guideline only. It should not be used as a substitute for legislation or legal advice. WorkSafe is not responsible for the results of any action taken on the basis of information in this document, or for any errors or omissions.

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