

GUIDE | PRACTISING CERTIFICATES

Maintenance of competence scheme for practising certificates

Work Health and Safety (Mines and Petroleum Sites) Regulation 2014

Published by NSW Department of Planning and Environment, Resources Regulator

Title: Guide to the maintenance of competence scheme for practising certificates

First published: May 2017

Document control

RM8 Reference: PUB17/174

Amendment schedule				
Date	Version #	Amendment		
May 2017	V14/2835#7			

© State of New South Wales through the NSW Department of Planning and Environment 2017

This publication is copyright. You may download, display, print and reproduce this material in an unaltered form only (retaining this notice) for your personal use or for non-commercial use within your organisation. To copy, adapt, publish, distribute or commercialise any of this publication you will need to seek permission from the NSW Department of Planning and Environment.

Disclaimer: The information contained in this publication is based on knowledge and understanding at the time of writing (May 2017). However, because of advances in knowledge, users are reminded of the need to ensure that information upon which they rely is up to date and to check currency of the information with the appropriate officer of the NSW Department of Planning and Environment or the user's independent advisor.

Table of contents

1. Introduction	2
2. Purpose and objectives	2
3. Overview	3
3.1 Key steps of scheme	3
4. Practising certificates	3
4.1 Certificates with specified mine restrictions	4
4.2 Mutual recognition practising certificates	4
4.3 Interstate practising certificates and mutual recognition	4
5. Areas of competence	5
5.1 Topic requirements	6
6. Learning hours requirements	9
6.1 Completion of hours over renewal period	11
7. Formal learning requirements	11
7.1 Definitions of learning types	11
7.2 Minimum formal learning requirements	12
7.3 Recognised learning	13
7.4 Criteria for types of learning	15
Formal training courses	15
Tertiary qualifications	15
Generally not recognised learning types and hours	16
8. Records and auditing	17
8.1 Recordkeeping over five year renewal period	17
8.2 Auditing	17
8.3 Renewal	17
8.4 Logbooks	17
9. Non-compliance and late applications	19
9.1 Non-compliance with scheme	19
9.2 Late applications and renewals	19
10. Scheme implementation	20
10.1 Reviews of the scheme	20
10.2 Overview of maintenance of competence scheme	21
Further information	22

1. Introduction

This guide outlines the maintenance of competence scheme developed by the NSW Resources Regulator, in consultation with the Mining and Petroleum Competence Board (the board). The scheme is designed to keep the knowledge and skills up-to-date of individuals who hold a practising certificate to exercise specific statutory functions.

The maintenance of competence scheme applies all practising certificates issued by the Resources Regulator. If you hold a practising certificate you will be required to complete a required total amount of recognised learning in areas of competence over the five year period of your certificate.

The specific requirements to be gazetted in the Government Gazette include:

- undertaking a specified number of hours of learning for topics in each competence area over the five years, according to the type of practising certificate
- recording learning activities and renewing their practising certificate with the Resources Regulator every five years.

The Resources Regulator will monitor and audit compliance by individuals with the scheme.

Practising certificates are being launched in stages, by type of practising certificate from September 2017 over a 12 month period.

If you currently hold a certificate of competence will need to apply for a practising certificate to exercise specific statutory functions. You will be invited to apply for your practising certificate at staged intervals over the launch period. Information on practising certificates, how to apply and an implementation timeline is available on the Resources Regulator's website.

2. Purpose and objectives

Purpose

Holders of practising certificates maintain their competence to exercise a statutory function under the WHS (Mines and Petroleum Sites) legislation.

Objectives

- understand and apply WHS laws in relation to the work they are responsible for
- have knowledge of the latest approaches to managing principal hazards and implementing critical controls in mining operations
- keep up to date on current and emerging health and safety issues in mining operations

The maintenance of competence is similar to the New Zealand Continuing Professional Development Scheme for statutory positions regulated by SafeWork New Zealand, which began from January 2016 and the general principles of other professional development schemes operated by organisations that are relevant to mining WHS.

3. Overview

The key elements of the scheme and its implementation are set out in the figure below:

3.1 Key steps of scheme

Figure 1: Key steps of scheme.

Apply for a practising certificate

•Regulator issues your practising certificate and you start your maintenance of competence

•Complete learning requirements according to your certificate

•Record completed learning hours, topics covered & types of learning undertaken in a logbook

•Regulator undertakes audits on compliance with scheme requirements

•Apply to renew your practising certificate with a declaration of competence every five years

4. Practising certificates

A practising certificate will be required by anyone who works, or wishes to work, in certain safety-critical statutory positions in the NSW mining and petroleum industries. Practising certificates are being launched in stages, by type of practising certificate from September 2017 over a 12 month period.

Practising certificates will have conditions requiring the holder to participate in the gazetted maintenance of competence scheme. Specific learning requirements must be met before your practising certificate can be renewed.

The maintenance of competence scheme applies all practising certificates issued by the Resources Regulator:

Underground coal mines

- Mining engineering manager
- Electrical engineering manager
- Mechanical engineering manager
- Undermanager
- Ventilation officer
- Deputy

Coal mines other than underground mines

- Mining engineering manager
- Open cut examiner
- · Electrical engineer
- Mechanical engineer

Underground mines other than coal mines

- Mining engineering manager
- · Underground mine supervisor
- · Electrical engineer

Mines other than underground mines or coal mines

- Quarry manager
- Electrical

Inclusion of the following statutory functions is yet to be finalised by the regulator:

- Dust explosion control measures auditor
- Ventilation auditor

Note: you will only be required to complete the maintenance of competence requirements for the statutory function listed on your practising certificate that has the highest requirements. This will be the most senior management or technical statutory function.

4.1 Certificates with specified mine restrictions

If you hold a practising certificate restricted to a specific mine you will not participate in the maintenance of competence scheme. Instead you will be required to attend a full day maintenance of competence workshop conducted by the regulator within the five year renewal period.

Note: Practising certificates issued by the regulator with a restriction to practising at specific mines replaces the previous production manager permits scheme. Individuals with permits who want to continue practising will be requested to apply for a practising certificate in a period to be advised.

4.2 Mutual recognition practising certificates

If you hold a NSW practising certificate in recognition of your interstate or New Zealand certificate of competence you must comply with the gazetted requirements for the maintenance of competence scheme as part of the conditions of your certificate and you may choose to continue complying with maintenance of competence requirements in the issuing jurisdiction and credit that against the NSW requirements.

4.3 Interstate practising certificates and mutual recognition

If you hold an interstate practising certificate and you have been practising for more than six months in NSW for the majority of your work, you will be required to comply with the NSW maintenance of competence scheme. Interstate practising certificates are those issued by a participating Australian jurisdiction allowing holders to move between jurisdictions with the one practising certificate.

To date none have been issued under clause 142 of the Work Health and Safety (Mines and Petroleum Sites) Regulation 2014, as no other jurisdictions are yet to legislate for a scheme to exist. If interstate practising certificates are issued in the future, then holders will comply with the maintenance of competence conditions in the jurisdiction they are working in predominately.

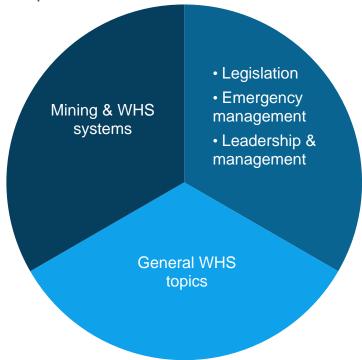
5. Areas of competence

There are five areas of competence topics that you must complete a specified number of hours of learning for each.

Areas of competence:

- 1. Mining and WHS systems
- 2. Legislation
- 3. Emergency management
- 4. Leadership and management
- 5. General WHS topics

Figure 2: Areas of competence topics.



Mining & WHS systems

- minimum one-third total learning hours
- learning in all 4 subject areas
- includes safety management system and principal hazards

Legislation Emergency management Leadership & management

- minimum one-third total learning hours
- complete some learning in all 3 areas

General WHS topics

- maximum one-third total learning hours
- mandated topic for learning from mining disasters (8 hours), and
- topics from areas 1 to 4,
- or any WHS topic related to statutory function

5.1 Topic requirements

There are rules and guidelines to ensure you complete a sufficient amount of relevant learning for each area of competence. Within each area of competence we have listed topics. It is compulsory that you:

- 1. Complete topics relevant to your statutory function e.g. electrical engineering.
- 2. Complete learning in all four subjects for the 'Mining and WHS Systems' area of competence during the five year period.
- 3. Complete a minimum of 8 hours of learning on the disasters topic for the 'General WHS' area of competence during the five year period.

You have the flexibility to undertake learning for any combination of topics as long as you meet requirements for each area of competence for your practising certificate. You can also complete other topics if you can justify that it is directly relevant to the area of competence and your practising certificate.

Table 1: Requirements and topics for areas of competence

Areas of competence - requirements and topics

Area: Mining and WHS systems (it is compulsory to complete learning in all four subjects)

Subject 1: Safety management system

Topics:

- management of mine design and development
- operational planning
- methods of mining
- processing
- risk management

Subject 2: Principal hazards (catastrophic fatal hazards)

Topics:

- slope stability
- ground or strata management
- roads and vehicle operations
- fire or explosion prevention
- mine shafts and winding systems
- gas management
- outburst management
- inrush and inundation management
- flammable dust management
- spontaneous combustion management
- air quality or dust or other airborne contaminants
- subsidence
- coal and rock bursts

Subject 3: Principal control plans

Topics:

- mechanical engineering
- electrical engineering
- worker health management
- explosives
- ventilation

Areas of competence - requirements and topics

Subject 4: Specific control measures

Topics:

- · emplacement stability
- shotfiring (from qualifications units of competence)
- conveyors
- working at heights
- confined spaces
- lightning

Area: Legislation

Topics: relevant Acts, regulations, approved codes of practice, instruments, standards, and guidelines, such as:

- NSW Work Health and Safety Act 2011 and Work Health and Safety Regulations 2011;
- NSW Work Health and Safety (Mines and Petroleum Sites) Act 2013 and Work Health and Safety (Mines and Petroleum Sites) Regulations 2014
- NSW Explosives Act 2003 and Explosives Regulation 2013
- NSW Radiation Control Act 1990 and Radiation Control Regulation 2013
- approved codes of practice under the NSW Work Health and Safety Act 2011
- International and Australian/New Zealand Standards

Area: Emergency management

Topics:

- emergency plans
- preparedness and response
- first aid
- incident management

Area: Leadership and management

Topics:

- associated non-technical skills (ANTS) including:
 - communication
 - o problem solving and decision making
 - o teamwork
 - situational awareness
 - o leadership
- worker participation
- human and organisational factors
- innovation and continuous improvement
- mentoring and coaching

Areas of competence – requirements and topics

Area: General work health and safety

Individual can select topics that relate to WHS for their statutory function. Topics may include, but are not limited to the following:

- mental health
- · bullying and harassment
- stress
- well being
- musculoskeletal disorders
- noise
- hazardous substances
- learning from relevant past disasters (mandatory 8 hours)

6. Learning hours requirements

You are required to complete a total number of hours of learning over a five-year period of your practising certificate. Total learning hours requirements vary according to the type of practising certificate. The total number of hours increases between certificates according to:

- level of supervising or managing in the mine (starting from front line supervisor to manager) and
- potential risks at the type of mine (from surface mines to underground coal mines).

You will also need to meet the amount of hours for the areas of competence for your practising certificate as outlined in the table below.

Table 2 – Total learning hours for each certificate and areas of competence.

		Areas of competence							
Practising Total hours of certificate type learning over five years		Mining & WHS systems * minimum of 33% of total hours of learning	Legislation Emergency Leadership & management		-	General WHS topics *maximum of 33% of total hours of learning (minimum 8			
			* minimum of 33% of total hours of learning			hours on disasters)			
Underground coal	mines								
Mining Engineering Manager	120	40		40		40			
Undermanager	90	30	30			30			
Deputy	60	20	20			20			
Ventilation officer	90	30	30			30			
Electrical engineering manager	120	40	40			40			
Mechanical engineering manager	120	40	40			40			

			Area	s of compe	s of competence			
Practising Total hours of learning ove five years		Mining & WHS systems * minimum of 33% of total hours of learning	Legislation	slation Emergency Leadership & management		General WHS topics *maximum of 33% of total hours of learning (minimum 8		
			* minimum of 33	% of total hours of lea	arning	hours on disasters)		
Coal mines other th	nan underground	mines						
Mining engineering manager	120	40		40		40		
Electrical engineer**	90	30		30		30		
Mechanical engineer**	90	30		30		30		
Open cut examiner	60	20		20		20		
Underground mine	s other than coal	mines						
Mining engineering manager	120*	40		40		40		
Underground mine supervisor	60	20		20		20		
Electrical engineer**	90	30		30		30		
Mines other than u								
Quarry manager	90*	30	30			30		
Electrical engineer**	90	30		30		30		

^{*} You will need to complete the indicated hours unless you have a condition restricting your function to a particular mine(s). Refer to section 4 which sets out the alternative system for maintaining competence for practising certificate with the condition restriction.

^{**} The Mining and Petroleum Competence Board has endorsed to the Department for the Electrical and Mechanical Engineer functions in Schedule 10 of the WHS (Mines and Petroleum Sites) Regulations to be amended from competence to practising certificates. The board will confirm hours required at its meeting on 23 May 2017.

6.1 Completion of hours over renewal period

Total study hours need to be completed within the five year renewal period. We encourage you to complete some study each year, but we understand that due to individual circumstances, such as career breaks, you may not be able to do this.

When you undertake your study hours you cannot:

- complete more than one third of total learning hours in any one year
- have a break from learning for three or more years out of the five year renewal period
- carry-over excess learning hours above the total number required between renewal periods.

The example given in the table below is for a quarry manager required to complete 90 hours.

Table 3 – Example for a quarry manager of maximum hours to be completed in any one year over the five year renewal period

Year 1	Year 2	Year 3	Year 4	Year 5	Total hours
1/3	1/3	0	0	1/3	1 (100%)
30 hrs	30 hrs	0	0	30 hrs	90 hrs

In this example, the scheme enables an individual to complete no learning for two years. This provides flexibility for individual circumstances.

7. Formal learning requirements

You are required to have an appropriate mix of learning that can be obtained from the workplace and external sources:

- Formal learning you must complete a minimum number of formal learning hours
- Non formal/ informal learning you can claim a maximum number of non-formal/informal learning hours.

The mix of learning requirements depends on your practising certificate (see 7.2).

7.1 Definitions of learning types¹

- **Formal learning:** organised and structured learning with specific learning objectives. For example, seminars, training courses, studying for WHS mining related courses. Note: all formal training courses must satisfy a criteria (refer to 7.4.1).
- Non-formal learning: semi organised and structured learning of a more adhoc basis, usually
 without specific learning objectives. For example, reading, field trips and emergency exercises.
- **Informal learning:** learning as a by-product of experience in participating or carrying out an activity. For example, participating in high level risk assessments (not everyday types), and participating in reviewing principal hazard management plans.

¹ Organisation for Economic Co-operation and Development (accessed 29 May 2016 - http://www.oecd.org/edu/skills-beyond-school/recognitionofnon-formalandinformallearning-home.htm)

7.2 Minimum formal learning requirements

The minimum number of formal learning hours required varies according to the level of management and technical specialist statutory functions as set out in the table below:

Table 4 - Minimum number of formal learning hours by the level of practising certificate.

High level manager	Middle managers/specialists	Supervisor
(total 120 hrs/5 yrs)	(total 90 hrs/5 yrs)	(total 60 hrs/5 yrs)
Minimum formal learning 2/3 total hrs = 80 hrs	Minimum formal learning 1/2 total hrs = 45 hrs	Minimum formal learning 1/3 total hrs = 20 hrs
	A combination of informal and non-formal learning	A combination of informal and non- formal learning (2/3 total hrs = 40 hrs)
A combination of informal and non-formal learning (1/3 total hrs = 40hrs)	(1/2 total hrs = 45 hrs)	

Key:

- Supervisors (Deputy, Open cut examiner, Underground supervisor)
- Middle management/technical specialists (Undermanager, Ventilation officer, Electrical engineer, Mechanical engineer)
- Higher level managers (Mining, Electrical and Mechanical Engineering Managers, Quarry manager)

The learning ratios are founded on the principle that different mixes of learning types are required according to the level and type of statutory function. At higher levels there is a greater external focus outside of the mine with formal learning types better able to support learning to maintain competence. For example, seminars and conferences on new technologies and standards. At lower levels there is a more internal focus within the mine and non-formal/informal learning types are more available and suitable to achieve this. For example, investigations and principal hazards.

7.3 Recognised learning

The table below outlines recognised learning by learning type and claimable hours. For each type of recognised learning there are a maximum number of hours that can be claimed.

Table 5: Formal, non-formal and informal learning types recognised.

Formal learning recognised	Claimable formal learning hours	Non-formal learning recognised	Claimable non- formal learning hours	Informal learning recognised	Claimable informal learning hours
1. Attending industry seminars/webinars/ workshops/ conferences with health and safety content, such as those run by industry or related organisations. These must be relevant to your practising certificate.	Actual hours per seminar/workshop (excluding any hours not relating to safety and health of your statutory functions). Rule: this type of learning cannot account for more than half (50%) of the total formal hours required over the five years.	 1. Reading publications such as (but not limited to): technical articles technical publications conference papers presentations 	Actual hours up to a maximum of four hours per year.	1. Participation in high level risk assessments (this does not include day to day activities such as task focused risk assessment such as Take 5).	Actual hours up to a maximum of four hours per year.
2. Successfully completing formal training courses delivered externally by an organisation*.	Actual hours.	2. Relevant field trips to maintain competence for your statutory function, e.g. visiting other mines to see alternative mining methods.	Actual hours up to a maximum of two hours per field trip. Up to a maximum of two field trips (four hours total) per year.	2. Development or review of principal mining hazard management plans, or principal control plans.	Actual hours up to a maximum of four hours per year.
3. Completing study or training towards tertiary qualifications (see 7.4.2), including degrees and industry training qualifications that are pre requisites for NSW certificates of	Rule: this type of learning cannot account for more than half (50%) of the total formal hours required over the five years.	3. Delivering or participating in workplace mentoring related to health and safety topics that is recorded in training records for the worker(s) involved or	Actual hours up to a maximum of four hours per year.	3. Participation in conducting reportable incident investigation(s).	Actual hours up to a maximum of four hours per year.

competence examinations.		reports.			
4. Attending in-house formal training courses conducted within an organisation*. Note: excludes meeting time for non-training content.	Actual hours up to a maximum of four hours per year.	4. Participation in emergency response exercises or drills.	Actual hours up to a maximum of four hours per year.	 4. Attending industry representative meetings, such as (but not limited to): advisory groups industry or specialist boards panels of examiners membership technical committees 	Actual hours (excluding administration and travel time).
5. Attending equipment manufacturer's formal training courses*.	Actual hours up to a maximum of four hours per year.	5. Organised meetings/sessions between mines/mine operators to share learnings e.g. incidents.	Actual hours up to a maximum of four hours per year for participating in or delivering.	5. Delivering industry seminars/workshops.	Actual hours per seminar/worksho p (excluding travelling time and any other non-related activity).
6. Attending Mines Rescue Brigades person formal training courses or similar*.	Actual hours up to a maximum of four hours per year.	6. Attending relevant industry expos, relevant to health and safety for the individual maintenance of competence.	Actual hours up to a maximum of four hours per year.	6. Delivering in-house formal training courses	Actual hours up to a maximum of four hours per year.
		7. Mines Rescue Brigades person exercises.	Actual hours up to a maximum of four hours per year.	7. Interactions between regulator staff and individuals for information and education programs. For example: attendance at meetings or information sessions	Actual hours up to a maximum of four hours per year.

^{*} formal training courses must satisfy a criteria (refer to 7.4.1) in order to be claimed by the individual

7.4 Criteria for types of learning

Formal training courses

In order to be eligible to claim formal learning from a formal training course, you must obtain information from the provider to have sufficient evidence that the course satisfies the criteria:

- 1. The course content and learning objectives* are current and relevant for those attending the course, with course starting and finishing times.
- 2. The person(s) delivering has appropriate technical and/or educational ability, experience and qualifications relevant to the course they are delivering.
- 3. The learning environment is appropriate, safe, and adequately resourced.
- * Learning objectives must be documented they are statements that define the expected goal of a curriculum, course, lesson or activity in terms of demonstrable skills or knowledge that will be acquired by a student as a result of instruction. Also known as: Instructional objectives, learning outcomes, learning goals. ²

You must be satisfied that the course satisfies the above criteria before claiming hours. Information on the course as evidence of satisfying the criteria must be sought from the training provider and retained by you either in your logbook or separate documentation.

Tertiary qualifications

For the purposes of the scheme, tertiary qualifications refers to any post school qualification recognised under the Australian Qualifications Framework (AQF)³, which are accredited or issued by organisations authorised under government legislation in Australia, or any equivalent qualification.

Authorised issuing organisations for AQF qualifications include:

- Registered Training Organisations (RTOs) authorised by the Australian Skills Quality Authority (ASQA) and the government accrediting authorities in Victoria and Western Australia to issue AQF qualifications in vocational education and training
- Non-self-accrediting higher education providers authorised by the Tertiary Education Quality and Standards Agency (TEQSA) to issue AQF qualifications in higher education
- Self-accrediting universities and higher education providers authorised by the Tertiary Education Quality and Standards Agency (TEQSA) to issue AQF qualifications in higher education.

If you are completing a tertiary qualification you can claim study from your course that is relevant to WHS and the statutory function for your practising certificate, such as:

- face to face, electronic or other form of direct interaction between the you and the training institution
- completing required assessments either individually or as a group that involve studying and application of learning
- required reading of information or attending field excursions for the qualification.

² Source: edutechwiki.unige.ch/en/Learning_objective,10 November 2016

³ Australian Qualifications Framework - Second Edition January 2013 (http://www.aqf.edu.au/wp-content/uploads/2013/05/AQF-2nd-Edition-January-2013.pdf)

Generally not recognised learning types and hours

Activities which are generally not accepted as relevant learning and/or hours under the maintenance of competence scheme:

- unstructured conversations with other mine workers, unless they are part of a mentoring program or equivalent
- time allocated to lunches and breaks at conferences, workshops, seminars, training courses
- general meetings with clients, lawyers, government officers, suppliers or similar
- attending and contributing to community service organisation meetings or local council meetings, unless you are gaining relevant skills, (eg. leadership and management)
- generic inductions and first aid courses (those that do not issue an AQF unit of competence or are not a refresher to retain a unit of competence).

8. Records and auditing

8.1 Recordkeeping over five year renewal period

- You are responsible for recording all learning and hours in a logbook, either electronically or in hardcopy. A logbook template is available in this guide and in other guidance provided separately. You should reference evidence documentation in the logbook so it can be retrieved in the event of being audited.
- You must retain evidence of all maintenance of competence scheme activities undertaken during the
 current five- year renewal period and the previous renewal period. Note: if you permanently stop
 practising in the function (e.g. retirement) then records are to be kept up to this point.

Evidence may include but not limited to:

- o course certificates
- o a list of results from completed courses
- o records of attendance at formal learning, including sign on sheets
- o employer reports confirming completion of learning
- o receipts of payment
- o copy of the program for the continuing professional development activity
- o copy of the article read retained electronically
- o minutes or records of participation in high level risk assessments.
- The regulator will accept records from any substantiated source, including continuing professional development providers, as long as these records can show compliance with the scheme.
- The organisation you work may also support you with record keeping, which can then be submitted.

8.2 Auditing

- The regulator conducts on going audits of logbooks and evidence. You may be randomly selected to be audited anytime during the five year period of a certificate.
- The regulator will audit a minimum of 5% of logbooks and evidence for those individuals renewing their practising certificate, with the aim to audit 10%.
- The regulator is developing formal auditing processes in consultation with the board.

8.3 Renewal

- You will not be required to submit evidence of learning as part of your practising certificate's renewal but must be able to provide it when requested or audited.
- Records for the five year period of each practising certificate will be treated separately so excess hours of learning completed cannot be carried between them as credits.
 - The regulator is to launch an online system that will allow you to renew your practising certificate and make a declaration online at the end of each five year period.

8.4 Logbooks

Use our logbook template (or equivalent) to record evidence of all learning and hours:

Maintenance of competence logbook

Name:	Practising certificate (highest level):
Phone number:	Personal email address:
Mobile number:	

			Areas of competence									
Activity date	date of provider, key learnings,	Mining/W	/HS system	ns (1/3 tota	l hrs)	Combined three	ee areas (1/3 tota	al hrs)	General Formal learning	learning	Non- formal/	Total learning
	evidence reference	SMS	PHs	PCPs	SCMs	Legislation	Emergency management	Leadership & management	WHS topics (1/3 total hrs)	(minimum)	informal (maximum)	hrs claimed

Non-compliance and late applications

9.1 Non-compliance with scheme

If you have not met the requirements of the maintenance of competence scheme, and you have notified the regulator of this or you have been identified by the regulator as non-compliant the following process applies:

Prior to renewal of the certificate

The regulator assesses non-compliance on a case by case basis. Depending on the circumstance, you may be able to make up the shortfall in types of learning or hours prior to the renewal.

At or after the renewal of the certificate

You will be asked to demonstrate why your practising certificate should not be suspended or cancelled and provide reasons why you did not meet the requirements and propose how to make up the shortfall and within what timeframe.

If you are unable to successfully demonstrate this, your practising certificate may be suspended or cancelled and you will no longer be able to practice in NSW.

The regulator will review non-compliance cases on a case-by-case basis and has the power to enforce a range of options including:

- non-renewal or suspension until you have remedied the non-compliance
- renewal and/or varying the certificate with the imposition of a condition that:
 - o the non-compliance is remedied in a period of up to 12 months, and/or
 - o restrictions on what parts of the statutory function you can exercise, or
 - o any other options as determined by the regulator appropriate to your circumstances.

9.2 Late applications and renewals

If you allow your practising certificate to expire for more than 12 months or you don't apply for your certificate with two years of it being introduced, you will be issued with a new practising certificate with a condition requiring you to complete an additional 20% of your total learning hours requirements during the first 12 months of the five year period. This 20% is in addition to the standard requirements.

10. Scheme implementation

Information about the maintenance of competence scheme will be available on the Resources Regulator website and communicated to the NSW mining industry through newsletters, including face to face workshops, guidance and templates.

The requirements for the scheme will be published in the NSW Government Gazette.

The introduction of the scheme is to be staggered over a 12 month period from commencement on 1 September 2017, starting with certificates with a smaller number of participants and higher level of responsibility (e.g. Manager) to progressively larger numbers (e.g. Deputies).

Holders for each type of certificate of competence will have up to 12 months to apply for their practising certificate from when launched under the scheme. Upon issue of their practising certificate, the maintenance of competence condition would apply to the individual and commence for the five year period.

10.1 Reviews of the scheme

Regular reviews of the scheme will be conducted by the regulator, with reports submitted to the board for consideration. The reports and any recommendations from the board on improvements to the scheme will be published with agreed actions by the regulator.

Reviews of the scheme will consider the benefits and administrative burdens for the regulator and individuals.

10.2 Overview of maintenance of competence scheme

This table outlines how an individual will participate in the scheme

Overvie	ew of maintenance of o	competence scheme t	for practising certifica	ate holders	S	
Steps	Apply for a practising certificate	Issued with practising certificate and start	Complete a mix of learning types according to	Record hours in logbook for areas of competence and	Audit compliance with scheme requirements	Apply to renew practising certificate with declaration of
		maintenance of competence	certificate: - formal - non-formal - informal	types of learning	·	compliance
Who	Certificate of competence holders to regulator	Individual and regulator	Individual with practising certificate	Individual with practising certificate	Regulator with individual	Individual to regulator
How	Online (with option for paper application)	One practising certificate for all competence certificates with conditions	Scheme rules and guidance, with option for individuals to confirm they are complying with Regulator	Individual completes electronic or paper logbook, (can incorporate other records	Compliance during the five year period of the certificate, and at or after renewal. Individuals must be able to produce evidence	Online (with option for paper application at a higher fee)
When	From year 1 of scheme with a 1 year window	Years 1 to 3	Years 1 to 5 of practicing certificate	Years 1 to 5	From year 3 and then at or after renewal	Before the practicing certificate expires elapsing

Further information

For more information or advice about the maintenance of competence scheme, please contact the mining competence team. You can find the relevant contact details below.

Contact type	Mining Competence Team		
	Mine Safety, Department of Planning and Environment		
Postal address	PO Box 344		
	Hunter Region Mail Centre NSW 2310		
Phone	02 4931 6625		
Fax	02 4931 6790		
Website	resourcesandenergy.nsw.gov.au/safety		
Email	practising.certificates@industry.nsw.gov.au		