


A photograph of two men in work attire. The man on the left is wearing a light green t-shirt with a red and white logo, a dark cap with sunglasses on top, and has a large tattoo on his left arm. He is smiling and looking towards the man on the right. The man on the right is wearing a dark jacket with a yellow and orange safety vest over it. The background is a blurred outdoor setting.

WORKSAFE

CPD guidelines

FOR EXTRACTIVES
CERTIFICATES OF
COMPETENCE HOLDERS



WorkSafe New Zealand and the New Zealand Mining Board of Examiners is responsible for the requirements of continuing professional development for CoC holders. These are set out in a New Zealand Gazette notice. CoC holders are required to meet these requirements, keep a record of their continuing professional development and submit these records to renew their CoC after five years. These Guidelines will help CoC holders understand how to meet and record their requirements.



What is continuing professional development?

Continuing professional development (CPD) is the systematic **maintenance, improvement** and **broadening** of:

- **knowledge and understanding**
- **skills and**
- **personal qualities**

necessary to undertake duties throughout a certificate of competence (CoC) holders working life.

There are many CPD activities available to a CoC holder.

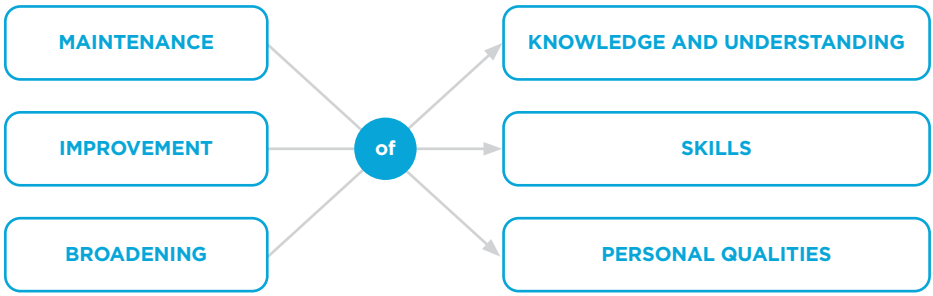
Why is CPD important?

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

In workplaces the technology, people, regulatory requirements and the expected standards for health and safety are constantly changing. CoC holders need to continue to learn to maintain, improve and broaden the required knowledge and understanding, skills and personal qualities to undertake their statutory and leadership duties.

When is an activity CPD?

A CPD activity is an activity which provides one of the following outcomes below that is relevant to the CoC:



It must be an activity that:

- can be defined in terms of a specific period of time, for example, four hours
- is different to normal day to day work and
- provides a specific learning.

Use the following matrix as a tool to help understand when an activity is CPD such as the examples below.

	MAINTENANCE	IMPROVEMENT	BROADENING
Knowledge and understanding			***
Skills	*		
Personal qualities		**	

* An eight hour first aid certificate refresher course **maintains** a CoC holder's **skills** in first aid

** An eight hour course on how to have a difficult conversation **improves** a CoC holder's **personal qualities**

*** A four hour training session provided by a mobile crushing plant supplier on the care, maintenance and safety systems associated with new crushing equipment **broadens** a CoC holder's **knowledge and understanding** of crushing plant

Summary of the CPD requirements

- A CoC holder must complete the required CPD hours specified for their CoC within the five year renewal period of their Certificate (further information on pages 18-19).
- The actual hours it took to complete the CPD activity can be claimed except for a small group of CPD activities which are restricted and have a limit on the hours that can be claimed (further information on pages 12-14).
- All CPD activities will require evidence of attendance or completion (further information on page 8).
- A CoC holder must record their CPD activities and key learnings from their CPD activities, in a WorkSafe endorsed CPD logbook (further information on pages 6-7).
- CPD activities must be on topics that fall within at least one of the four learning areas (further information on page 9):
 - operating and safety systems
 - legislation
 - emergency management
 - leadership.

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 become outdated and how a CoC holder works is less productive and of a higher risk. 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.

Key learnings

Key learnings are the outcome of a CPD activity. There are two parts to key learnings:

- what did the CoC holder learn?
- how will the CoC holder apply what they learnt?

Key learnings are individual to a CoC holder, the stage of their career and their unique situation at the time of the CPD activity. Everyone who attends or completes the same CPD activity will likely have different key learnings.

A CoC holder is required to record their key learnings. A CoC holder should record at least one or two key learnings for each CPD activity. When thinking about how to write key learnings the following questions may help:

- What did I learn from this CPD activity?
- How did this CPD activity contribute to my role as a CoC holder?
- How did this CPD activity help me maintain, improve or broaden my knowledge and understanding, skills or personal qualities?
- How am I going to apply what I learnt as a CoC holder?
- What will I do differently as a CoC holder as a result of this CPD activity?
- How am I going to think differently as a CoC holder as a result of this CPD activity?
- Is there an action that I am going to take when I get back to my operation?
- What are the key points from this CPD activity that I would share with fellow CoC holders, colleagues or workers?

Examples of effective key learning statements

First aid refresher course

I now know the current recommended method for performing CPR on both adults and children. In particular I was updated on the best ratios of breaths to compressions. I now feel confident I could apply CPR if required in an emergency.

MinEx workshop

I now understand why correct guarding is so important and I will be checking our return rollers on site for correct guarding. I also learnt about the dangers of fatigue on worker health. I will check our worker health management plan to make sure we have covered fatigue appropriately.

Incident investigation

I was in a team reviewing an incident that resulted in an injury. A Standard Operating Procedure (SOP) on use of a particular piece of machinery was not followed. We used Incident Cause Analysis Method (ICAM) to determine the root cause which I had not been involved with before. I now see the importance of writing a SOP in plain English so all workers understand what they are required to do and why. I will take this into account when drafting future SOPs.

Field trip

I visited a quarry which has just opened and I found out how it managed stakeholders such as neighbours and contractors. The quarry arranged visits for neighbours, described how complaints were dealt with and how regular meetings were held with contractor managers to make sure contractors on site were informed about owner expectations and followed the rules. I will discuss with colleagues and workers and consider how we can apply this ourselves.

Board meeting

I learned that in a high level role it is important to think strategically (big picture) and not get bogged down in details and that delegating work can help me focus on wider issues. In particular I will now set objectives and let managers come up with the plan rather than telling them how to do it.

Key learnings are neither a description of the topics nor discussion points of the CPD activity but what the CoC holder learnt and are going to apply.

Recording your CPD

A CoC holder is required to record their CPD and key learnings in the WorkSafe CPD logbook or a WorkSafe endorsed CPD logbook. Contact the Secretariat, (see the back page for details) if you wish to get a logbook endorsed by WorkSafe.

It is the CoC holders' responsibility to keep their CPD records safe and easily accessible when required. A copy of a CoC holder's logbook and evidence must be submitted when renewing a CoC.

The best time to record CPD is as soon as possible after a CPD activity when a CoC holder best remembers it. Regular recording of CPD will ensure a CoC holder is fully prepared when it comes time to renew their CoC.

Completing your logbook

This is an example of the WorkSafe CPD logbook.

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LOGBOOK

Extractives continuing professional development (CPD)

This logbook is for holders of a New Zealand Extractives Certificate of Competence (CoC).
It is important that you read the guidance at the back of this logbook before you start recording any CPD activities.
More detailed information is available in the CPD Guidelines booklet. Keep the guidelines with you when you are recording your CPD.
If you have any questions about your CPD Logbook or the requirements please refer to the CPD Guidelines for more detail or contact: Bob_Secretariat@worksafe.govt.nz

1 Name:	Mobile phone:	Email:
CoC held: (most senior)		Renewal date: -- / -- / YEAR

2 CPD entry number: Allocate a CPD entry number for this activity

3 DATE	4 ACTIVITY	RESTRICTED/UNRESTRICTED	5 AREAS OF LEARNING	6 HOURS	7 EVIDENCE
-- / -- / YEAR	Refer to the list of activities on page 4	3			Please describe what evidence you are providing and note on the evidence itself the CPD entry number

KEY LEARNINGS
Refer to the questions on page 1 to help you think about your key learning(s)

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New Zealand Government

To record a CPD activity take the following steps:

STEP

- 1 Add your personal and CoC details at the top of the page.
 - 2 Enter the CPD entry number. You must also record this on your evidence.
 - 3 Add the date of the activity.
 - 4 Add what type of CPD activity it is – check the list of unrestricted and restricted activities in this guidelines or on the logbook.
 - 5 Using the drop down box choose whether the activity is unrestricted or restricted.¹
 - 6 Using the drop down box choose which area of learning your CPD activity falls into. You can choose more than one.¹
 - 7 Record the actual hours the CPD activity took.
 - 8 Record the evidence you are providing for this activity, for example ‘certificate’. You must also write the CPD entry number on the actual evidence.
 - 9 Record one or two key learnings. Use the question in this guidelines or logbook to assist you.
-

On its own, CPD will not guarantee that knowledge and understanding, skills and personal qualities will translate into increased safety awareness and high quality of work. This involves more than doing CPD activities. The key is application of the CPD with professional and operational judgement. This is the responsibility of each CoC holder.

¹ If you are using a paper based CPD logbook you will not have drop down boxes for steps 5 and 6. You will need to record the options yourself. You can find the different options at the back of the logbook.



Evidence

A CoC holder must supply evidence to confirm that they attended or completed all recorded CPD activities.

Evidence could include but is not limited to:

- certificate
- receipt
- minutes
- email confirmation of attendance or completion from organiser
- attendance record
- NZQA record of achievement
- confirmation of field trip signed by mine, tunnel or quarry manager
- copy of published article or book cover
- copy of agenda or programme noting the CoC holder as speaker
- alternative evidence form when you have insufficient evidence
- any other verifiable evidence that demonstrates a CoC holder attended or completed the CPD activity.

Evidence must include the CoC holder's name, the date of the activity, and if possible, the number of hours of the CPD activity.



Areas of learning

All your CPD activities must be based on topics (some suggested CPD activity topics are listed on page 15) within at least one of the following four areas of learning:

- operating and safety systems
- legislation
- emergency management
- leadership.

Completing CPD in these areas will ensure CPD is relevant and appropriate. These are the broad themes that WorkSafe considers important for a CoC holder to focus on.

While there are no set hours that a CoC holder must complete for each area of learning; WorkSafe recommends CoC holders ensure they complete a set of CPD activities over the five years that is reasonably spread across the four areas of learning.



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



Unrestricted and restricted activities

All CPD activities are either unrestricted or restricted.

Unrestricted activities are CPD activities that have no limit to the number of hours that can be claimed over the five year renewal period of the CoC.

Restricted activities have a limit on the hours that can be claimed over the five year renewal period of the CoC.

Unrestricted activities

There is no limit on the number of CPD hours that can be claimed for relevant activities of the following type:

Attending industry events

- Industry seminars, workshops and training.
- Conference workshops run by industry or related organisations.
- Industry representative meetings (eg advisory groups, industry or specialist boards, technical committees).
- Membership of panel of examiners.

Field trips

- Field trips that are relevant to the CoC holder and result in significant learning.

Receiving training

Fulfilling all requirements and completing structured training courses or tertiary qualifications including degrees and industry training qualifications.

Receiving the following types of training:

- training by equipment manufacturers including simulator training
- relevant webinars
- in-house training
- first aid certificate training.

Delivering training

Delivering the following types of training (including reasonable preparation time):

- industry seminars, training or workshops
- in-house training.

Presentations and publications

- Presenting at a relevant industry conference (including reasonable preparation time)
- Publication of articles in relevant industry magazines, journals or similar (including reasonable preparation time)

Improvement of bespoke equipment or installations

- The design, construction, improvement or significant overhaul of bespoke equipment or installations.

Development or formal review of critical health and safety documents

The development or formal review of critical health and safety documents associated with health and safety management systems including:

- principal hazard management plans
- principal control plans
- health and safety policies
- standard operating procedures.

Participation in formal activities

Participation in the following types of formal activities:

- facilitated risk assessments
- incident investigations that use a recognised analysis process
- emergency exercises.

Other activities where new knowledge or skills are acquired

- Participation in any other activity within the areas of learning where the holder has gained new knowledge or skills relevant to their CoC.

Restricted activities

Attending relevant industry conferences

The maximum number of CPD hours that can be claimed for attending an industry conference is four hours per conference.

- The conference must be relevant to the holder's CoC.
- This is in addition to any Conference workshops attended at the conference.
- There is no limit to the number of conferences the CoC holder can claim.

Other restricted CPD activities

- One on one mentoring with a structured programme of meetings and written records.
- Listening to relevant podcasts.
- Participation in health and safety committee meetings where outcomes are documented in meeting minutes.
- Reading relevant publications (eg technical articles, technical publications, conference papers).

The maximum number of CPD hours that can be claimed over the five year period for any activity or combination of the four activities listed above is:

- 20 hours for holders required to complete 120 hours
- 10 hours for holders required to complete 60 hours
- 5 hours for holders required to complete 30 or 40 hours.



Topics

The following list of topics is guidance only for CoC holders and CPD providers, on content for CPD activities. It is not a definitive list and CPD activities on other topics will be treated as CPD as long it falls within one of the areas of learning. Topics must also be directly relevant to maintaining, improving or broadening knowledge and understanding, skills or personal qualities as a CoC holder extractives industry.

- Exploration/site investigation
- Slope stability
- Operational planning
- Temporary work/preparatory works
- Methods
- Processing
- Utility 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
- Winding engines
- Segment management
- Safety management
- Risk management
- Emergency plans
- Preparedness and response
- Health and well-being
- People development and management
- Communication
- Contractor management
- Worker participation
- Planning and organising
- Problem-solving and decision-making
- Relevant Acts, regulations, approved codes of practice, instruments, standards, and guidelines, such as:
 - Health and Safety at Work Act 2015 (HSWA)
 - Health and Safety in Employment (Mining Operations and Quarrying Operations) Regulations 2016 (including Principal Hazard Management Plans, and Principal Control Plans)
 - Approved codes of practice issued under the Health and Safety in Employment Act 1992 or HSWA
 - Safe work instruments made under the HSWA
 - Hazardous Substances and New Organisms Act 1996 ('HSNO Act')
 - Regulations made under the HSNO Act
 - Resource Management Act 1991
 - Crown Minerals Act 1991, and
 - Mines Rescue Act 2013.
- Acts or regulations that amend or replace any of the Acts and regulations listed above
- Relevant local authority requirements or conditions

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





CPD legislative requirements

The requirement to comply with CPD requirements and provide evidence of complying with the CPD requirements when renewing a CoC are set out in Regulation 43 and 44 of the regulations: [Health and Safety at Work \(Mining Operations and Quarrying Operations\) Regulations 2016](#)

WorkSafe sets out the requirements for continuing professional development. These are set out in the Gazette notice: [Health and Safety at Work \(Mining Operations and Quarrying Operations – Continuing Professional Development Requirements\) Notice 2019](#)

You can find these document on the WorkSafe website: worksafe.govt.nz

A lifetime CoC holder is required to comply with the CPD requirements. The five year renewal period for CPD requirements for lifetime CoC holders starts on 1 January 2018.

Table of CPD requirements

The following table sets out the five year requirements for each CoC.

CERTIFICATE OF COMPETENCE	HOURS REQUIRED	SPECIALIST REQUIREMENTS
Site senior executive	120 hours	
First class mine manager	120 hours	
First class coal mine manager	120 hours	
A grade opencast coal mine manager	120 hours	
A grade quarry manager	120 hours	
A grade tunnel manager	120 hours	
Coal mine underviewer	120 hours	

CERTIFICATE OF COMPETENCE	HOURS REQUIRED	SPECIALIST REQUIREMENTS
Electrical superintendent	120 hours	A minimum of 30 hours must be from CPD activities that are directly subject-related to the area of specialisation
Mechanical superintendent	120 hours	A minimum of 30 hours must be from CPD activities that are directly subject-related to the area of specialisation
B grade opencast coal mine manager	60 hours	
B grade quarry manager	60 hours	
B grade tunnel manager	60 hours	
Coal mine deputy	60 hours	
Mine Surveyor	60 hours	A minimum of 15 hours must be from CPD activities that are directly subject-related to the area of specialisation
Ventilation officer	60 hours	A minimum of 15 hours must be from CPD activities that are directly subject-related to the area of specialisation
Winding engine driver	40 hours	A minimum of 15 hours must be from CPD activities that are directly subject-related to the area of specialisation
Manager to manage the quarrying operation specified in the certificate	30 hours	

Where a CoC holder holds more than one CoC:

- the holder is only required to complete the CPD requirements for the CoC that requires the most hours
- specialist requirements must be met for all CoCs held
- maximum CPD hours a CoC holder with multiple CoCs would be expected to complete is 120 hours including specialist hours.



Transitional arrangements

This section on transitional arrangements only applies to CoC holders who gained their CoC before 1 January 2018.

WorkSafe and the New Zealand Mining Board of Examiners (The Board) acknowledge the difficulties for industry when CPD was introduced. Initially there was confusion and difficulty in understanding the requirements and for some, very limited opportunities to attend CPD activities.

For that reason, CoC holders are able to disregard the CPD requirements applying to the two years following their introduction on 1 January 2016 (ie 1 January 2016 to 1 January 2018) and are only required to meet the requirements on a pro rata basis for the remaining period of their CoC.

The following table will assist in working out how many pro rata hours the CoC holder will be required to do in their five year renewal period.

Transitional arrangements calculations tables²

IF YOUR COC WAS AWARDED IN	PRO RATA HOURS REQUIRED IF THE COC HOLDER IS REQUIRED TO DO 120 HOURS OVER 5 YEARS	PRO RATA HOURS REQUIRED IF THE COC HOLDER IS REQUIRED TO DO 60 HOURS OVER 5 YEARS
July 2015	62	31
August 2015	64	32
September 2015	66	33
October 2015	68	34
November 2015	70	35
December 2015	72	36

² Formula used to calculate pro rata hours.

- If you have a CoC which requires 120 hrs CPD, multiply the number of full months the CoC was held prior to January 2018 by 2 and subtract from 120.
- If you have a CoC which requires 60 hrs CPD, multiply the number of full months the CoC was held prior to January 2018 by 1 subtract from 60.

IF YOUR COC WAS AWARDED IN	PRO RATA HOURS REQUIRED IF THE COC HOLDER IS REQUIRED TO DO 120 HOURS OVER 5 YEARS	PRO RATA HOURS REQUIRED IF THE COC HOLDER IS REQUIRED TO DO 60 HOURS OVER 5 YEARS
January 2016	74	37
February 2016	76	38
March 2016	78	39
April 2016	80	40
May 2016	82	41
June 2016	84	42
July 2016	86	43
August 2016	88	44
September 2016	90	45
October 2016	92	46
November 2016	94	47
December 2016	96	48



IF YOUR COC WAS AWARDED IN	PRO RATA HOURS REQUIRED IF THE COC HOLDER IS REQUIRED TO DO 120 HOURS OVER 5 YEARS	PRO RATA HOURS REQUIRED IF THE COC HOLDER IS REQUIRED TO DO 60 HOURS OVER 5 YEARS
January 2017	98	49
February 2017	100	50
March 2017	102	51
April 2017	104	52
May 2017	106	53
June 2017	108	54
July 2017	110	55
August 2017	112	56
September 2017	114	57
October 2017	116	58
November 2017	118	59
December 2017	120	60

A **winding engine driver** who gained their CoC before 1 Jan 2018 will be required to complete 24 hours of CPD during the five year renewal period of their COC this includes meeting the specialist requirements required.



How to get help

The Board's Secretariat team can help with the CPD requirements and are very happy to hear from CoC holders and those who support them.

Contact the Secretariat team:

- Phone: +64 4 901 4980
- Email: BoE_Secretariat@worksafe.govt.nz
- Find information on the WorkSafe website:
worksafe.govt.nz/topic-and-industry/extractives

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