

# PORTFOLIO REQUIREMENTS

## Certificate of competence examination process (Nov 2021)

### Introduction

As part of the certificate of competence examination process from the 2022/2023 financial year, candidates are required to submit a portfolio of evidence.

The portfolio, submitted as a pre-requisite with the online application on the Regulator portal, is a tool to collect evidence of competence prior to a candidate progressing to sitting exams. Evidence may include certificates, documented work tasks or records. All evidence must be from sometime in the last 3 years prior to applying.

Portfolio requirements for each level, including acceptable evidence and submission instructions, are outlined below. Applicants may submit evidence for a higher level to a lower level provided it satisfies the competency for that level.

Portfolio documents will be included in the verification processes for experience. The statutory function holder at the mine will be asked to also verify documents that relate to that mine. You should ensure the person is aware of the documents you are submitting so they can verify their authenticity.

### Portfolio requirements

#### Level 1 Statutory Functions

This covers statutory functions required to supervise workers and inspect work areas in a part of the mine within their shift. This includes:

- Underground mine supervisor
- Deputy
- Open cut examiner

# CANDIDATE PORTFOLIO CHECKLIST

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EVIDENCE REQUIRED		DESCRIPTION	COMPETENCIES AND BENCHMARKS
<input type="checkbox"/>	1. Risk assessment	<p>Provide a copy of a WHS risk assessment that you were involved in at a mine during the last three years.</p> <p>As a minimum the evidence submitted must apply to a specific part of a mine.</p> <p>Note: this does not include day to day activities such as task focused risk assessment e.g Take 5, JSA.</p>	<p><b>Competency:</b> Situational awareness and risk assessment</p> <p><b>Benchmark:</b></p> <p>Applying plans and processes to support the identification and control of hazards and potential risks</p>
<input type="checkbox"/>	2. Workplace inspection	<p>Provide a copy of a WHS workplace inspection, task observation or audit, that you carried out and documented for a mine.</p> <p>As a minimum the evidence submitted must apply to a specific part of a mine.</p>	<p><b>Competency:</b> Situational awareness and risk assessment</p> <p><b>Benchmark:</b></p> <p>Assessing the workplace to identify hazards and potential risks, including air contaminants during their shift and their assigned area of mining operations</p>
<input type="checkbox"/>	3. Review of principal hazard management plan or control plan	<p>Provide evidence, such as a report, of your involvement in reviewing a principal hazard management plan or control plan at a mine.</p> <p>As a minimum the evidence submitted must apply to a specific part of a plan or its referenced documents such as a procedure.</p>	<p><b>Competency:</b> Organised and disciplined</p> <p><b>Benchmark:</b></p> <p>Ensuring inspections and checks are completed in a timely manner as per legislation</p>
<input type="checkbox"/>	4. Shift handover report, shift work plan or compliance report	<p>Provide a copy of a WHS shift handover report, shift work plan or compliance report that you completed.</p> <p>As a minimum the evidence submitted must apply to a specific area of a mine or work group.</p>	<p><b>Competency:</b> Effective communication</p> <p><b>Benchmark:</b></p> <p>Sharing information with other outgoing and incoming shift frontline supervisors, managers and any other, using appropriate channels</p>

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EVIDENCE REQUIRED		DESCRIPTION	COMPETENCIES AND BENCHMARKS
<input type="checkbox"/>	5. Delivery of workplace training program (may include mentoring or coaching)	Provide evidence of a WHS related training program in a mining or related field that you were involved in developing and delivering for workers in full or part of it at a mine (eg. toolbox talks, shift or work group briefings).	<p><b>Competency:</b> Driven by safety and integrity</p> <p><b>Benchmark:</b> Instructing workers on how to complete their activities in accordance to safety standards.</p> <p><b>Competency:</b> Collaboration</p> <p><b>Benchmark:</b> Identifying knowledge or skills needs, and supporting training and development where appropriate</p>
<input type="checkbox"/>	6. Safe work procedure or related document for standard setting	Provide a copy of a safe work procedure or related document for standard setting (eg. work instruction, work order job detail) that you actioned at a mine.	<p><b>Competency:</b> Operational decision making and initiative</p> <p><b>Benchmark:</b> Considering available evidence and objective information when applying appropriate standards and procedures</p>

## Level 2 Statutory Functions

This covers statutory functions required to supervise mining operations at the mine for a shift or supervise mining operations at the mine. This includes:

- Undermanager
- Quarry manager

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<input type="checkbox"/>	1. Risk assessment	<p>Provide a copy of a WHS risk assessment that you were involved in at a mine.</p> <p>As a minimum the evidence submitted must apply to multiple areas of a mine.</p> <p>Note: this does not include day to day activities such as task focused risk assessment e. Take 5, JSA.</p>	<p><b>Competency:</b> Situational awareness and risk assessment</p> <p><b>Benchmark:</b> Participating in risk assessments and implement the mine’s SMS</p>
<input type="checkbox"/>	2. Workplace inspection	<p>Provide a copy of a WHS workplace inspection, task observation or audit, that you carried out and documented at a mine.</p> <p>As a minimum the evidence submitted must apply to multiple areas of a mine eg. dust.</p>	<p><b>Competency:</b> Situational awareness and risk assessment</p> <p><b>Benchmark:</b> Monitoring by obtaining data and information, undertaking audit and/or verifying compliance with standards and legislation</p>
<input type="checkbox"/>	3. Review of principal hazard management plan or control plan	<p>Provide evidence, such as a report, of your involvement in reviewing a principal hazard management plan or control plan at a mine.</p> <p>As a minimum the evidence submitted must apply to a part of the plan that applies to multiple areas of a mine, or its referenced documents</p>	<p><b>Competency:</b> Organised and disciplined</p> <p><b>Benchmark:</b> Ensuring systems and plans are maintained, updated and implemented appropriately</p>
<input type="checkbox"/>	4. Shift handover report, shift work plan or	<p>Provide a copy of a WHS shift handover report, shift work plan or</p>	<p><b>Competency:</b> Effective communication</p>

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	compliance report	compliance report that you completed. As a minimum the evidence submitted must apply to multiple areas of a mine or work groups.	<b>Benchmark:</b> Reporting to the manager of any deficiencies or significant deviations from the safety management system
<input type="checkbox"/>	5. Delivery of workplace training program (may include mentoring or coaching)	Provide evidence of a WHS related training program in a mining or related field that you were involved in developing and delivering for workers in full or part of it at a mine (eg. toolbox talks, shift or work group briefings).	<b>Competency:</b> Driven by safety and integrity <b>Benchmark:</b> Acting and supporting others across the mine to behave in a consistent manner that is accordance with legislation  <b>Competency:</b> Collaboration <b>Benchmark:</b> Providing advice and instructions to others on how to apply the standards and procedures
<input type="checkbox"/>	6. Safe work procedure or related document for standard setting	Provide a copy of a safe work procedure or related document for standard setting (eg. work instruction, work order job detail) that you actioned at a mine.	<b>Competency:</b> Operational decision making and initiative <b>Benchmark:</b> Referring to evidence and objective information when making decisions and supporting the implementation of appropriate standards and procedures Assisting and reviewing procedures for contractors and their management plans (where applicable)

## Level 3 Statutory Functions

This covers statutory functions required to develop, supervise, monitor and review standards and procedures forming part of mining operations at the mine and supervise the installation, commissioning, maintenance and repair within their area of practise, if applicable. This includes:

- Mining engineering manager
- Electrical engineering manager
- Mechanical engineering manager

This also covers statutory functions required to develop and review the standards of their specialised area of knowledge, as well as supervise the installation, commissioning, maintenance and repair within their area of practice. This includes:

- Electrical engineer
- Mechanical engineer

EVIDENCE REQUIRED		DESCRIPTION	COMPETENCIES AND BENCHMARKS
<input type="checkbox"/>	1. Risk assessment	<p>Provide a copy of a WHS risk assessment that you were involved in at a mine.</p> <p>As a minimum the evidence submitted must apply to the whole mine or plans such as Principal hazards and control plans.</p> <p>Note: this does not include day to day activities such as task focused risk assessment e. Take 5, JSA.</p>	<p><b>Competency:</b> Situational awareness and risk assessment</p> <p><b>Benchmark:</b> Assisting or participating in risk assessment processes</p>
<input type="checkbox"/>	2. Workplace inspection	<p>Provide a copy of a WHS workplace inspection, task observation or audit, that you carried out and documented at a mine.</p> <p>As a minimum the evidence submitted must apply to the whole mine or plans such as Principal hazards and control plans.</p>	<p><b>Competency:</b> Situational awareness and risk assessment</p> <p><b>Benchmark:</b> Monitoring by obtaining data, information, and evaluating audit outcomes to verify compliance with standards and legislation</p>

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<input type="checkbox"/>	3. Review of principal hazard management plan or control plan	<p>Provide evidence, such as a report, of your involvement in reviewing a principal hazard management plan or control plan at a mine.</p> <p>As a minimum the evidence submitted must apply to the whole mine, or a significant part of the mine.</p>	<p><b>Competency:</b> Organised and disciplined</p> <p><b>Benchmark:</b> Monitoring and reviewing compliance with standards in a systematic, organised and timely manner</p>
<input type="checkbox"/>	4. Shift handover report, shift work plan or compliance report	<p>Provide a copy of a WHS shift handover report, shift work plan or compliance report that you completed.</p> <p>As a minimum the evidence submitted must apply to the whole mine, or a significant part of the mine.</p>	<p><b>Competency:</b> Effective communication</p> <p><b>Benchmark:</b> Explaining the results of their analysis of data, information and/or audit outcomes</p>
<input type="checkbox"/>	5. Delivery of workplace training program (may include mentoring or coaching)	<p>Provide evidence of a WHS related training program in a mining or related field that you were involved in developing and delivering for workers in full or part of it at a mine (eg. toolbox talks, shift or work group briefings).</p>	<p><b>Competency:</b> Driven by safety and integrity</p> <p><b>Benchmark:</b> Providing instruction and guidance to others on how to comply to existing legislation, standards and procedure</p> <p><b>Competency:</b> Collaboration</p> <p><b>Benchmark:</b> Providing or supporting training and instruction</p>

EVIDENCE REQUIRED		DESCRIPTION	COMPETENCIES AND BENCHMARKS
<input type="checkbox"/>	6. Safe work procedure or related document for standard setting	Provide a copy of a safe work procedure or related document for standard setting (eg. work instruction, work order job detail) that you actioned at a mine.	<p><b>Competency:</b> Operational decision making and initiative</p> <p><b>Benchmark:</b> Referring to evidence and objective information when establishing standards and procedures</p>

## Submitting the portfolio

Portfolios must be submitted electronically (preferably as a pdf) as part of the online application for a certificate of competence via the [Regulator Portal](#).

It is the candidate’s responsibility to ensure portfolio items are submitted with the application by the due date and in accordance with submission guidance to guarantee the assessment is completed in time for candidates to progress to oral and written examinations.

Submitted work tasks will not be returned to the candidate and will remain on file with the Resources Regulator as possible evidence of competence.

**For further assistance phone the Mining Competencies and Authorisations Unit on 02 4063 6461 or [mca@planning.nsw.gov.au](mailto:mca@planning.nsw.gov.au).**

### AMENDMENT SCHEDULE

Date	Version	Amendment
8 Dec 2021	1	First published

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