

# High Level Framework for Oral Examination Requirements



FOR EXTRACTIVES' CERTIFICATES OF COMPETENCE

April 2017

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**ACKNOWLEDGEMENTS**

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## WHAT IS THE PURPOSE OF PANELS OF EXAMINERS?

The Panels' purpose is to assess applicants for Certificates of Competence (CoCs) by way of oral examination and/or other examination. This examination assesses whether the applicant can use good operational practice in the subject areas covered by the requirements set for the relevant CoC for which they are applying.

Panels assess whether the applicant can apply what they have learnt from their studies and on the job, rather than just demonstrate an ability to remember 'facts'. The examination therefore checks not only whether the applicant understands the relevant legislation but also how it is applied in day-to-day operations.

Panels make recommendations to the New Zealand Mining Board of Examiners (the Board) whether applicants have the satisfactory competence to gain a CoC.

**The board decides whether an applicant is competent to hold a CoC.**

## THE BOARD EXPECTS ALL COC HOLDERS TO BE COMPETENT

CoC holders hold statutory responsibilities. Therefore every holder of a CoC must have the required knowledge and be able to apply that knowledge in practical situations.

The Board therefore has high expectations of CoC holders. It will not issue anyone with a CoC to hold statutory responsibilities unless it is satisfied that the person is able to perform their duties and maintain the health and safety in their area of responsibility.

## COMMITMENT AND PREPARATION

Holding a statutory responsibility involves:

- > a commitment to take on your health and safety responsibility as the holder of a CoC
- > being aware of the environment in which you work, as it relates to your position
- > being ready and able to act if an unplanned event, incident or emergency occurs
- > being able to lead/manage a team and being able to communicate effectively with team members
- > communicating with, and giving the correct information and instructions to visitors, contractors and anyone else in a way that they can understand.
- > the responsibility to ensure worker participation in delivery and health and safety outcomes.

## DO I HAVE TO DO AN EXAMINATION?

All applicants for a CoC must sit an oral examination.

- |                                      |                             |
|--------------------------------------|-----------------------------|
| > Site senior executive              | > B-grade tunnel manager    |
| > First-class mine manager           | > Coal mine deputy          |
| > First-class coal mine manager      | > Electrical superintendent |
| > A-grade opencast coal mine manager | > Mechanical superintendent |
| > B-grade opencast coal mine manager | > Ventilation officer       |
| > A-grade quarry manager             | > Winding engine driver     |
| > B-grade quarry manager             | > Coal mine underviewer     |
| > A-grade tunnel manager             | > Mine surveyor             |

## ORAL EXAMINATION STRUCTURE

- > Panels usually consist of three members, including a Chair. A member of the Board’s secretariat is also present to assist with note taking and administration. Sometimes observers will be present for purposes such as moderation. In such cases, the applicant will be notified by the Board.
- > The panel aims to assess an applicant’s ability to appropriately respond to workplace-based scenarios. The scenarios include follow up questions.
- > **An applicant will be asked to demonstrate the application of the skills and/or knowledge relevant for the CoC. This means that the panel will expect the applicant to talk about:**
  - **the situation they have been presented with**
  - **the action(s) they will take - using what they have learnt and putting it into practice**
  - **why they have taken the action(s).**
- > The selected scenarios will cover the competencies set out below, as relevant for the particular CoC.
- > The selected scenarios will cover a range of topics within each competency, as relevant for the particular CoC.
- > Applicants should allow 1-2 hours for the examination.

## COMPETENCY REQUIREMENTS

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

COMPETENCIES	TOPICS
<b>Legislation</b>	<p>Relevant Acts, regulations, approved codes of practice, standards, and guidelines, including:</p> <ul style="list-style-type: none"> <li>&gt; Health and Safety at Work Act, 2015 (HSWA)</li> <li>&gt; Health and Safety at Work (Mining Operations and Quarrying Operations) Regulations, 2016 and associated Regulations</li> <li>&gt; Approved codes of practice, such as the Health and Safety at Operational Mines, Alluvial Mines and Quarries Good Practice Guidelines, issued pursuant to the HSWA</li> <li>&gt; Hazardous Substances and New Organisms (HSNO) Amendment Act 2015</li> <li>&gt; HSNO Regulations 2001.</li> </ul> <p>Relevant local or territorial authority requirements or conditions.</p> <p>Any new, amended, or replacement Acts, regulations, approved codes of practice, standards, guidelines, or authority requirements or conditions to take precedence for oral examination purposes.</p>
<b>Emergency management</b>	<ul style="list-style-type: none"> <li>&gt; Emergency plans</li> <li>&gt; Preparedness and response</li> </ul>
<b>Leadership</b>	<ul style="list-style-type: none"> <li>&gt; Health and well-being</li> <li>&gt; People development and management</li> <li>&gt; Communication</li> <li>&gt; Contractor management</li> <li>&gt; Worker participation</li> <li>&gt; Planning and organising</li> <li>&gt; Problem-solving and decision-making</li> <li>&gt; Initiative</li> </ul>

**Table 1:** Competency requirements

### ASSESSMENT GUIDELINES

To get a CoC, candidates must be assessed as being competent in all four competencies:

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

Panels assess candidates based on the roles and responsibilities of the CoC being applied for.

**KEY FUNCTIONS AND RESPONSIBILITIES**

		COMPETENCY			
CoC	Function	Operating and Safety Systems	Legislation	Emergency Management	Leadership
<b>SSE</b>	Development, implementation and maintenance of the safety management system to comply with regulations, including identifying principal hazards and having a principal hazard management plan and principal control plans	<ul style="list-style-type: none"> <li>&gt; establish and maintain workplace management systems in relation to risk and health and safety</li> <li>&gt; establish and maintain principal hazard management plan and principal control plans</li> </ul>	<ul style="list-style-type: none"> <li>&gt; able to apply knowledge of legislative and regulatory requirements</li> <li>&gt; oversight of legislative compliance</li> </ul>	<ul style="list-style-type: none"> <li>&gt; develop workplace emergency management system</li> </ul>	<ul style="list-style-type: none"> <li>&gt; dynamic contexts</li> <li>&gt; manage and provide leadership in all areas of operations, including staff recruitment, performance and training</li> <li>&gt; appoint safety-critical role holders</li> <li>&gt; engage and communicate orally and in writing with clients, internal staff, local bodies and government organisations, the government regulator, external specialists, and the general public</li> </ul>
<b>First-class mine manager</b> <b>First-class coal mine manager</b> Analyse and generate solutions to familiar and unfamiliar problems	To control and manage all activities at the mine	<ul style="list-style-type: none"> <li>&gt; apply in-depth technical knowledge to plan and manage long-term operations</li> <li>&gt; establish operating systems and processes</li> <li>&gt; investigate and analyse incidents</li> <li>&gt; oversight of and compliance with workplace management systems in relation to risk and health and safety (and environmental)</li> <li>&gt; responsible for monitoring, review, operationalising and resourcing</li> </ul>	<ul style="list-style-type: none"> <li>&gt; able to apply knowledge of legislative and regulatory requirements</li> <li>&gt; oversight of legislative compliance</li> </ul>	<ul style="list-style-type: none"> <li>&gt; oversight of and compliance with workplace emergency management system</li> <li>&gt; responsible for monitoring, review, operationalising and resourcing</li> </ul>	<ul style="list-style-type: none"> <li>&gt; dynamic contexts</li> <li>&gt; manage and provide leadership in all areas of operations, including staff recruitment, performance and training</li> <li>&gt; undertake and implement all aspects of long-term operational and strategic planning</li> <li>&gt; initiate and manage projects</li> <li>&gt; engage and communicate orally and in writing with clients, internal staff, local bodies and government organisations, the government regulator, external specialists, and the general public</li> </ul>

HIGH LEVEL FRAMEWORK FOR ORAL EXAMINATION REQUIREMENTS

		COMPETENCY			
CoC	Function	Operating and Safety Systems	Legislation	Emergency Management	Leadership
<b>A-grade opencast coal mine manager</b> <b>A-grade quarry manager</b> <b>B-grade quarry manager</b> <b>A-grade tunnel manager</b> Select and apply a range of solutions to familiar and unfamiliar problems	To plan, coordinate and control activities at the site	> apply in-depth knowledge to plan and implement safe and productive operations (including scheduling, allocating resources) > develop standard operating procedures and other workplace documentation > plan and lead risk assessment procedures and workplace health and safety (and environmental) procedures > plan and lead workplace inspections and incident investigations	> able to apply knowledge of legislative and regulatory requirements	> plan and lead emergency management procedures	> supervise, lead and mentor staff and work teams > capable of working in an autonomous supervisory or management capacity > undertake and implement short- to medium-term operational planning > communicate with clients, internal staff and other stakeholders
	To plan, coordinate and control activities on his/her shift at the mine	> apply in-depth knowledge to plan and implement safe and productive operations (including scheduling, allocating resources) > plan and coordinate risk assessment procedures and workplace health and safety (and environmental) procedures > plan and coordinate workplace inspections and incident investigations	> able to apply knowledge of legislative and regulatory requirements	> plan and coordinate emergency management procedures	> supervise work teams > task responsibility and decision making > undertake and implement short- to medium-term operational planning > communicate with clients, internal staff and other stakeholders
<b>Coal mine underviewer</b> Select and apply a range of solutions to familiar and unfamiliar problems					

HIGH LEVEL FRAMEWORK FOR ORAL EXAMINATION REQUIREMENTS

		COMPETENCY			
CoC	Function	Operating and Safety Systems	Legislation	Emergency Management	Leadership
<b>B-grade opencast coal mine manager</b> <b>B-grade tunnel manager</b> <b>Coal mine deputy</b> <b>First-line supervisors</b> <b>Implementers</b> Select and apply solutions to familiar and sometimes unfamiliar problems	To coordinate and control activities on his/her shift at his/her assigned section of the site	<ul style="list-style-type: none"> <li>&gt; interpret and implement operational plans in compliance with legislation and workplace policies and procedures</li> <li>&gt; broad operational and theoretical knowledge</li> <li>&gt; coordinate and apply risk assessment procedures and workplace health and safety (and environmental) procedures</li> <li>&gt; JSA for work tasks</li> </ul>	<ul style="list-style-type: none"> <li>&gt; knowledge of health and safety legislation</li> </ul>	<ul style="list-style-type: none"> <li>&gt; implement processes and procedures</li> </ul>	<ul style="list-style-type: none"> <li>&gt; provide face-to-face leadership and guidance when organising their own and others' activities</li> <li>&gt; some responsibility for the performance and safety of their (small) team</li> <li>&gt; undertake and implement short-term operational planning for their team</li> <li>&gt; communicate orally and in writing</li> <li>&gt; complete record-keeping on a daily basis</li> </ul>
	<b>Mechanical superintendent</b> Plan and implement systems and controls for the safe management of mechanical plant and installations	<ul style="list-style-type: none"> <li>&gt; apply in depth knowledge of the safe management of mechanical plant and installations</li> <li>&gt; plan and coordinate risk assessment procedures and workplace health and safety (and environmental) procedures</li> <li>&gt; plan and coordinate workplace inspections and incident investigations</li> </ul>	<ul style="list-style-type: none"> <li>&gt; apply knowledge of relevant legislative and regulatory requirements</li> <li>&gt; particular focus on the requirements for a mechanical engineering control plan</li> </ul>	<ul style="list-style-type: none"> <li>&gt; implement processes and procedures</li> </ul>	<ul style="list-style-type: none"> <li>&gt; supervise work teams</li> <li>&gt; task responsibility and decision making</li> <li>&gt; undertake and implement short- to medium-term operational planning</li> <li>&gt; communicate with clients, internal staff and other stakeholders</li> </ul>

HIGH LEVEL FRAMEWORK FOR ORAL EXAMINATION REQUIREMENTS

		COMPETENCY				
CoC	Function	Operating and Safety Systems	Legislation	Emergency Management	Leadership	
<b>Electrical superintendent</b>	<b>Plan and implement systems and controls for the safe management of electrical plant and installations</b>	<ul style="list-style-type: none"> <li>&gt; apply in depth knowledge of the safe management of electrical plant and installations</li> <li>&gt; plan and coordinate risk assessment procedures and workplace health and safety (and environmental) procedures</li> <li>&gt; plan and coordinate workplace inspections and incident investigations</li> </ul>	<ul style="list-style-type: none"> <li>&gt; apply knowledge of relevant legislative and regulatory requirements</li> <li>&gt; particular focus on the requirements an electrical engineering control plan and any requirements of regulations made under the Electricity Act 1992 relevant to the use of electricity at a mining operation.</li> </ul>	<ul style="list-style-type: none"> <li>&gt; implement processes and procedures</li> </ul>	<ul style="list-style-type: none"> <li>&gt; supervise work teams</li> <li>&gt; task responsibility and decision making</li> <li>&gt; undertake and implement short- to medium-term operational planning</li> <li>&gt; communicate with clients, internal staff and other stakeholders</li> </ul>	
<b>Mine surveyor</b>	<b>To plan, coordinate and control surveying at the mine</b>	<ul style="list-style-type: none"> <li>&gt; apply in depth knowledge of mine surveying techniques, geology, plans and datasets</li> <li>&gt; obtain data relating to the history of workings.</li> </ul>	<ul style="list-style-type: none"> <li>&gt; able to apply knowledge of legislative and regulatory requirements</li> <li>&gt; particular focus on the requirements for plans of a mining operation</li> </ul>	<ul style="list-style-type: none"> <li>&gt; the mine surveyor's roles and responsibilities in an emergency</li> </ul>	<ul style="list-style-type: none"> <li>&gt; communicate with clients, internal staff and other stakeholders</li> </ul>	

HIGH LEVEL FRAMEWORK FOR ORAL EXAMINATION REQUIREMENTS

		COMPETENCY			
CoC	Function	Operating and Safety Systems	Legislation	Emergency Management	Leadership
<b>Ventilation officer</b>	<b>Plan and implement systems and controls for the safe management of ventilation</b>	<ul style="list-style-type: none"> <li>&gt; apply in depth knowledge of ventilation management</li> </ul>	<ul style="list-style-type: none"> <li>&gt; able to apply knowledge of legislative and regulatory requirements</li> <li>&gt; particular focus on the requirements for a ventilation control plan</li> </ul>	<ul style="list-style-type: none"> <li>&gt; the ventilation officer's responsibilities in an emergency</li> </ul>	<ul style="list-style-type: none"> <li>&gt; communicate with clients, internal staff and other stakeholders</li> </ul>
<b>Winding engine driver</b>	<b>To coordinate and control winding engine operations</b>	<ul style="list-style-type: none"> <li>&gt; winding engine operations, including related safety considerations</li> </ul>	<ul style="list-style-type: none"> <li>&gt; able to apply knowledge of legislative and regulatory requirements</li> </ul>	<ul style="list-style-type: none"> <li>&gt; the winding engine driver's roles and responsibilities in an emergency</li> </ul>	<ul style="list-style-type: none"> <li>&gt; task responsibility and decision making</li> </ul>

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