

February 2025

# Portfolio requirements

## Certificate of competence examination process

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### Introduction

As part of the certificate of competence application process candidates are required to submit a portfolio of evidence.

The portfolio, submitted as one of the pre-requisites with the online application on the Regulator Portal, is a tool to collect evidence of competence that an applicant is eligible and can potentially pass the exams. Evidence may include certificates, documented work tasks, procedures, training programs or assessments. All evidence must be actioned/completed within the past 5 years.

Evidence documents are not assessed for their quality, but only for whether they are a valid sample(s) to satisfy the specified requirements.

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 may also be used by the convenor of an examination panel in deciding whether to endorse the experience claimed in a certificate of competence application as satisfying the pre-requisites. This may then determine whether the Manager of Competencies approves the application.

### 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

Table 1. Level 1 Statutory functions

Evidence required	Description	Competencies and benchmarks
<b>1. Risk assessment</b>	<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>Domain 2: Application and implementation of hazard management through technical knowledge (refer definition)</p> <p>Focus Area 2.1: Apply technical knowledge and understanding to the development and implementation of the mine safety management system</p> <p>Competency 2.1.1: Apply relevant technical knowledge and understanding of hazards and risks when supervising the implementation of mine safety management system relevant to the function.</p> <p>Domain 4: Supervising in the workplace</p> <p>Focus Area 4.4: Carry out required consultation with others across the mine's operations</p> <p>Competency 4.4.1: Consult effectively with all workers including outgoing and incoming shift supervisors, contractors, and any other applicable external parties.</p>
<b>2. Workplace inspection</b>	<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>Domain 3: Situational awareness and risk management</p> <p>Focus area 3.1: Assess, inspect and monitor the workplace to identify and manage hazards, risks, emerging issues and changing work conditions through the application of hierarchy of controls</p> <p>Competency 3.1.1: Demonstrated ability to apply the hierarchy of controls to the identification, assessment, inspection and monitoring of hazards and risks in the workplace</p>
<b>3. Review of principal hazard management plan or control plan</b>	<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>Domain 1: Statutory functions and regulatory requirements</p> <p>Focus Area 1.2: Safety management system requirements for mines in NSW, specifically:</p> <p>Principal hazard management plans</p> <p>Principal controls plans (emergency, explosive, health, mechanical and electrical)</p> <p>specific mining, electrical and mechanical engineering control measures and related risk plans</p> <p>Competency 1.2.1: Demonstrate an understanding of the safety management systems that apply to their function including implementation and compliance protocols and practices</p>
<b>4. Shift handover report, shift work plan or</b>	<p>Provide a copy of a WHS shift handover report, shift work plan or</p>	<p>Domain 3: Situational awareness and risk management</p> <p>Focus Area 3.2: Compile and review shift/engineering reports, information provided by others and other</p>

Evidence required	Description	Competencies and benchmarks
<p><b>compliance report</b></p>	<p>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>available objective evidence to inform risk assessment and mitigation</p> <p>Competency 3.2.1: Demonstrated knowledge and capacity to fulfil statutory and other reporting obligations involving the compilation, analysis and evaluation of information to inform the communication and implementation of risk controls.</p> <p>Domain 4: Supervising in the workplace</p> <p>Focus Area 4.3: Communicate actions and necessary information in a timely, clear and effective manner in response to risks</p> <p>Competency 4.3.1: Effectively communicate with workers and management in the provision of information concerned with risks and controls that arise during mining operations</p>
<p><b>5. Delivery of workplace training program (may include mentoring or coaching)</b></p>	<p>Provide evidence of a WHS related training program in a mining or related field that you were involved in the delivery (eg. completed sign on sheet of attendees with your name on it as the trainer/presenter), as evidence that you had delivered it.</p>	<p>Domain 2: Application and implementation of hazard management through technical knowledge</p> <p>Focus Area 2.4: Training and instruction of workers</p> <p>Competency 2.4.1: Provide training or ensure all team members, including contractors, have received instruction and are deemed competent in the conduct of safe and healthy mining operations in their work area.</p>
<p><b>6. Safe work procedure or related document for standard setting</b></p>	<p>Provide a copy of a safe work procedure or related document for standard setting (e.g. work instruction, work order job detail) that you actioned at a mine.</p>	<p>Domain 2: Application and implementation of hazard management through technical knowledge</p> <p>Focus Area 2.2: Apply working knowledge and technical understanding of effective controls for the management of hazards, safe operation, inspection and maintenance of systems, plant and equipment, relevant to the statutory function, such as:</p> <ul style="list-style-type: none"> <li>risks/hazards and controls</li> <li>life cycle management plans</li> <li>change management plans</li> <li>review of control measures.</li> </ul> <p>Competency 2.2.1: Apply relevant effective controls for the safe operation of systems, plant and equipment relevant to mining operations in their work area.</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

Table 2. Level 2 Statutory functions

Evidence required	Description	Competencies and benchmarks
<p><b>1. Risk assessment</b></p>	<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>Domain 2: Application and implementation of hazard management through technical knowledge (refer definition)</p> <p>Focus Area 2.1: Apply technical knowledge and understanding to the development and implementation of the mine safety management system</p> <p>Competency 2.1.2: Apply technical knowledge and understanding of hazards and risks when supervising the implementation of mine safety management system relevant to the function.</p> <p>Domain 4: Supervising in the workplace</p> <p>Focus Area 4.4: Carry out required consultation with others across the mine's operations</p> <p>Competency 4.4.2: Consult effectively with other relevant stakeholders across the mine's operations, including contractors and any other applicable external parties.</p>
<p><b>2. Workplace inspection</b></p>	<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>Domain 3: Situational awareness and risk management</p> <p>Focus area 3.1: Assess, inspect and monitor the workplace to identify and manage hazards, risks, emerging issues and changing work conditions through the application of hierarchy of controls</p> <p>Competency 3.1.2: Lead the development of or implement risk management systems utilizing the hierarchy of controls.</p>
<p><b>3. Review of principal hazard management plan or control plan</b></p>	<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 that applies to multiple areas of a</p>	<p>Domain 1: Statutory functions and regulatory requirements</p> <p>Focus Area 1.2: Safety management system requirements for mines in NSW, specifically:</p> <ul style="list-style-type: none"> <li>• Principal hazard management plans</li> <li>• Principal controls plans (emergency, explosive, health, mechanical and electrical)</li> </ul>

Evidence required	Description	Competencies and benchmarks
	mine, or its referenced documents	<ul style="list-style-type: none"> <li>Specific mining, electrical and mechanical engineering control measures and related risk plans</li> </ul> <p>Competency 1.2.2: Demonstrate the ability to supervise the implementation of and monitor compliance with the mine's safety management systems relevant to their statutory function.</p>
<p><b>4. Shift handover report, shift work plan or compliance report</b></p>	<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>Domain 3: Situational awareness and risk management</p> <p>Focus Area 3.2: Compile and review shift/engineering reports, information provided by others and other available objective evidence to inform risk assessment and mitigation</p> <p>Competency 3.2.2: Supervise the development of, compile and review statutory/operational/engineering reports, information provided by others and objective evidence to inform the development, communication, implementation, and review of risk controls.</p> <p>Domain 4: Supervising in the workplace</p> <p>Focus Area 4.3: Communicate actions and necessary information in a timely, clear and effective manner in response to risks</p> <p>Competency 4.3.2: Effectively communicate with workers, supervisors, and management to inform the control and mitigation of risk and the safety of mining operations.</p>
<p><b>5. Delivery of workplace training program (may include mentoring or coaching)</b></p>	<p>Provide evidence of a WHS related training program in a mining or related field that you were involved in the:</p> <p>development (eg. toolbox talks, shift or work group briefings) with your name on the presentation as evidence that you developed it, or your manager signing off that you developed it; and</p> <p>delivery (eg. completed sign on sheet of attendees with your name on it as the trainer/presenter).</p>	<p>Domain 2: Application and implementation of hazard management through technical knowledge</p> <p>Focus Area 2.4: Training and instruction of workers</p> <p>Competency 2.4.2: Supervise the provision of training to ensure all workers, including contractors, receive instruction in the conduct of safe and healthy mining operations.</p>

Evidence required	Description	Competencies and benchmarks
<b>6. Safe work procedure or related document for standard setting</b>	Provide a copy of a safe work procedure or related document for standard setting (e.g. work instruction, work order job detail) that you actioned at a mine.	<p>Domain 2: Application and implementation of hazard management through technical knowledge</p> <p>Focus Area 2.2: Apply working knowledge and technical understanding of effective controls for the management of hazards, safe operation, inspection and maintenance of systems, plant and equipment, relevant to the statutory function, such as:</p> <ul style="list-style-type: none"> <li>risks/hazards and controls</li> <li>life cycle management plans</li> <li>change management plans</li> <li>review of control measures.</li> </ul> <p>Competency 2.2.2: Supervise the implementation of effective controls for the safe operation and maintenance of systems, plant and equipment relevant to the mining operations.</p>

## 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

Table 3. Level 3 Statutory functions

Evidence required	Description	Competencies and benchmarks
<b>1. Risk assessment</b>	<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</p>	<p>Domain 2: Application and implementation of hazard management through technical knowledge</p> <p>Focus Area 2.1: Apply technical knowledge and understanding to the development and implementation of the mine Safety management system</p> <p>Competency 2.1.3: Apply technical knowledge including knowledge of hazards and risks to the development,</p>

	<p>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>implementation, supervision, monitoring, and review of the mine safety management system relevant to the statutory function.</p> <p>Domain 4: Supervising in the workplace</p> <p>Focus Area 4.4: Carry out required consultation with others across the mine’s operations</p> <p>Competency 4.4.3: Consult and co-ordinate with Internal and external stakeholders to ensure integrated and compatible standards and practices are implemented across technical disciplines and mining operations.</p>
<p><b>2. Workplace inspection</b></p>	<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>Domain 3: Situational awareness and risk management</p> <p>Focus Area 3.1: Assess, inspect, and monitor the workplace to identify and manage hazards, risks, emerging issues and changing work conditions through the application of a hierarchy of controls</p> <p>Competency 3.1.3: Lead the development of risk management systems through the application of the hierarchy of controls</p>
<p><b>3. Review of principal hazard management plan or control plan</b></p>	<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>Domain 1: Statutory functions &amp; regulatory requirements</p> <p>Focus Area 1.2: Safety management system requirements for mines in NSW, specifically:</p> <p>Principal hazard management plans</p> <p>Principal controls plans (emergency, explosive, health, mechanical and electrical)</p> <p>Specific mining, electrical and mechanical engineering control measures and related Risk Plans</p> <p>Competency 1.2.3: Demonstrate in-depth knowledge and technical understanding in the development, supervision, monitoring, and review of safety management systems relevant to their statutory function.</p>
<p><b>4. Shift handover report, shift work plan or compliance report</b></p>	<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>Domain 3: Situational awareness and risk management</p> <p>Focus Area 3.2: Compile and review shift/engineering reports, information provided by others and other available objective evidence to inform risk assessment and mitigation.</p> <p>Competency 3.2.3: Compile, review, analyse and evaluate statutory/operational/ engineering reports, information provided by others, and other available objective evidence to inform the development, communication, and implementation of appropriate risk controls.</p>

		<p>Domain 4: Supervising in the workplace</p> <p>Focus Area 4.3: Communicate actions and necessary information in a timely, clear, and effective manner in response to risks</p> <p>Competency 4.3.3: Develop and implement effective communication, including the provision of necessary information that informs on the control of risk.</p>
<p><b>5. Delivery of workplace training program (may include mentoring or coaching)</b></p>	<p>Provide evidence of a WHS related training program in a mining or related field that you were involved in the:</p> <ul style="list-style-type: none"> <li>• development (eg. toolbox talks, shift or work group briefings) with your name on the presentation as evidence that you developed it, or your manager signing off you developed it; and</li> <li>• delivery (eg. completed sign on sheet of attendees with your name on it as the trainer/presenter).</li> </ul>	<p>Domain 2: Application and implementation of hazard management through technical knowledge</p> <p>Focus Area 2.4: Training and instruction of workers</p> <p>Competency 2.4.3: Identify, develop, implement, monitor, and review systems for the provision of training, instruction and/or assessment of workers including contractors and supervisors to ensure that all personnel have the technical and other knowledge needed to maintain safe and healthy mining operations.</p>
<p><b>6. Safe work procedure or related document for standard setting</b></p>	<p>Provide a copy of a safe work procedure or related document for standard setting (e.g. work instruction, work order job detail) that you actioned at a mine.</p>	<p>Domain 2: Application and implementation of hazard management through technical knowledge</p> <p>Focus Area 2.2: Apply working knowledge and technical understanding of effective controls for the management of hazards, safe operation, inspection and maintenance of systems, plant, and equipment, relevant to the statutory function, such as:</p> <ul style="list-style-type: none"> <li>• risks/hazards and controls</li> <li>• life cycle management plans</li> <li>• change management plans</li> <li>• review of control measures.</li> </ul> <p>Competency 2.2.3: Apply working knowledge and technical understanding to the development and implementation of effective controls relevant to mining operations and/or the operation and maintenance of plant and equipment.</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 closing date and in accordance with submission guidance to guarantee the assessment is completed in time for candidates to progress to written and oral 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 prerequisites.

For further assistance phone the Mining Competencies Team on 1300 814 609 (option 2 > option 3) or [info@sys.resources.nsw.gov.au](mailto:info@sys.resources.nsw.gov.au).

AMENDMENT SCHEDULE		
Date	Version	Amendment
8 December 2021	1	First published
17 April 2024	2	Updated timeframe from 3 to 5 years for age of sample and change of contact details  Portfolios now a pre-requisite for the certificate of competence application. They are not part of the examination assessment.  Remapped revised competency framework to each sample.
9 August 2024	3	Updated branding
February 2025	4	Updated to cover first line supervisors are only required to show for type 5 evidence of delivery of training, and for Undermanagers and managers clarified what is acceptable evidence for this type.

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