



# Coal Services

## Guidelines for:

- 1. The Training and Competence Management Scheme component of a Coal Operation's OHSMS.**
- 2. Meeting the requirements of Coal Services Order 34 "Coal Services Approval of Training Schemes for NSW Coal Mine Operator Health and Safety Management Systems".**

### *Disclaimer*

*This Guideline is designed to assist you in continuing to prepare and improve the Mine Training & Competence Plan. It is not an absolute measure of legislation compliance. The principles stated in this document are intended as general guidance only. Operators and managers of coal mines should rely upon their own advice, skills and experience in preparing Training & Competence Plans for their mine. CSPL and its officers or agents including individual authors or editors will not be held liable for any loss or damage whatsoever (including liability for negligence or consequential losses) suffered by any person acting in reliance or purported reliance upon this Guideline.*

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## Background

This guideline has been published to assist coal operations to implement the Coal Industry Act 2001, Order 34 “Coal Services Approval of Training Schemes for NSW Coal Mine Operator Health and Safety Management Systems”. It achieves this by referring to all reference documents applicable to this scheme and attempting to offer guidance notes for clarity and simplicity.

The Order 34 and this guideline can be found at the Coal Services Website

[www.coalservices.com.au](http://www.coalservices.com.au)

We thank the Coal Industry Stakeholders for their assistance in the development of this Guideline

## Introduction

The Coal Mines Health and Safety Act 2002, No 129 section 20, requires the operator of a Coal Operation to prepare a Health and Safety Management System.

Section 23 of the Coal Mines Health and Safety Act 2002 states in part (3):

*“A health and safety management system must include:*

- a) System elements (which must include, but are not limited to, health and safety policy, risk management, training and competence, information control and system evaluation), ....”*

The Coal Industry Act 2001, No. 107 Section 10 (1) (i) requires the operator of each coal operation in NSW submit to Coal Services, and apply to Coal Services for approval of, a training scheme for the health and safety management system for that coal operation.

The Coal Operation must have a systematic Training and Competence Management Scheme that demonstrates the principles of policy, planning, implementation, measurement and evaluation and management review (aligned to the principles of AS/NZS 4804:2001).

The Training and Competence Management Scheme should be integrated with other Management Plans. Where elements of training appear in related Management or Safety Management Plans it is sufficient to refer to that plan’s requirement for training rather than repeat the process in the Training and Competence Management Scheme.

# 1. Resources

## 1.1. *Relevant Legislation, Standards*

**AS/NZS 4804:2001 OH&SMS – General guidelines on principles, systems and supporting techniques.**

Section 4.4.1.1

**AS ISO 10015:2006 Quality Management – Guidelines for training**

Sections 4.1.2, 4.2 and 4.3

## 1.2. *Guidelines*

1.2.1 The coal operation should allocate adequate resources commensurate with its size and nature.

1.2.2 The Coal Operation should have appropriate training resources and aids.

Examples may include:

- a) Training room(s);
- b) Handbooks or training manuals;
- c) Audio visual aids;
- d) Printing and photocopying facilities; and
- e) Appropriate assessment tools.

1.2.3 The coal operation should make effective arrangements for the provision of specialist qualified training and / or assessment advice and services where these services cannot be provided in house.

## **2. Responsibility and Accountability**

### **2.1. *Relevant Legislation, Standards***

**AS/NZS 4801:2001 OH&SMS – Specification with guidance for use**  
Section 4.4.1.2

**AS/NZS 4804:2001**  
Section 4.3.2.3

**AS ISO 10015:2006**  
Section 4.1.2

### **2.2. *Guidelines***

- 2.2.1 Roles and responsibilities of persons involved in the Training and Competence Management Scheme (TCMS) should be clearly defined in the TCMS.
- 2.2.2 A person needs to be appointed and accountable for managing training.
- 2.2.3 Demonstration of the application of the roles and responsibilities should be identifiable by reference to the documents used in the scheme application. (e.g. titles, signatures or names)
- 2.2.4 A person or persons should have responsibility for ensuring the competencies of contractors. (This could be by reference to the Contractor Management Plan)
- 2.2.5 A person or persons should be appointed for reporting on the performance, reviewing and improving the TCMS. (application of these responsibilities being applied should be identifiable or documented)

## 3. Training and Competence

### 3.1. *Relevant Legislation, Standards*

**Occupational Health and Safety Act 2000**

Sections 8 and 19

**Occupational Health and Safety Regulation 2001**

Clauses 3, 13, 31, 77, and 174ZV

**Coal Mines Health and Safety Act 2002**

Sections 23(3), 37, 47(2) (d), 51, 165, and 193

**Coal Mines Health and Safety Regulation 2006**

Clauses 4, 13, 14, 32, 45, 134, 144, 145, 146, 147, 153, 197 and 198.

**Coal Industry Act 2001**

Section 44 and Order 34

**AS/NZS 4801:2001**

Section 4.4.2

**AS/NZS 4804:2001**

Section 4.3.2.5

**AS ISO 10015:2006**

Section 4.2

### 3.2. *Guidelines*

- 3.2.1 The Training and Competence Management Scheme should describe a process to determine the competencies required to safely undertake all processes and activities performed at the coal operation. (This is the Training Needs Analysis, TNA)
- 3.2.2 This process should be ongoing and regularly reviewed.
- 3.2.3 The TNA should identify the number of persons necessary to hold a specific competence.
- 3.2.4 All competencies used on site should be identified in your TNA.
- 3.2.5 National Coal Competency Standards should be used for skills training and assessment where applicable.
- 3.2.6 Specific OH&S training should be identified and addressed in the training scheme.
- 3.2.7 The procedure for an inexperienced and / or experienced person to be trained / assessed in a new skill should be identified in the scheme.
- 3.2.8 The process for assessment of competence in a skill should be identified in the scheme. (Or in an identified separate procedure)

- 3.2.9 The authorisation / approval procedure following assessment where this is applicable should be addressed by the scheme.
- 3.2.10 The procedures for recognition of current competencies should be identified in the scheme.
- 3.2.11 The process for a person indicated as “not yet competent” given the opportunity to become competent should be identified.
- 3.2.12 Assessments may be aligned to appropriate standards other than National Coal Competencies where applicable. (e.g. Workcover for certain tasks such as Forklift operator)
- 3.2.13 The maintenance of competence needs to be addressed in the scheme. Unless a coal operation has identified that there is a need for prior knowledge skill to be regained or enhanced there should not be a need for “retraining”. However, to ensure the knowledge or skill is current, there is a need for re-assessment to ensure ongoing safe performance of the task or skill.
- 3.2.14 The process to be used to determine the interval between successive re-assessments should be identified within the scheme submitted for approval. Generally it would be based on a “risk ranking” of the task to relate the re-assessment period to the risk involved in performing the task described.
- 3.2.15 The process and tools used for re-assessment may vary to those of initial assessment.
- 3.2.16 The trainee and assessor should sign all completed assessments.
- 3.2.17 Importantly, numeracy and literacy should be taken into account in the assessment process.
- 3.2.18 Describe, in the Training and Competence Management Scheme, the induction training process (or refer to the induction training procedure in place as a separate procedure). This should include:
  - a) Visitors, new employees and contractors;
  - b) On transfer of employees / contractors to new jobs;
  - c) On movement into managerial or supervisory positions; and
  - d) The ongoing refresher induction procedure.
- 3.2.19 Describe how training is delivered and assessed where appropriate when new work processes, machinery, technology, materials and substances, work procedures are revised or being introduced, or when near misses or incidents / accidents occur. (These issues may be covered in a Change Management Plan)
- 3.2.20 Describe how the OH&S training issues are addressed. Such as how:
  - a) Health and safety are organized in the workplace;
  - b) Hazard identification;
  - c) Hazard / risk assessment and control of hazards / risks;
  - d) Specific hazards; and
  - e) Health effects of exposure and control method.

- 3.2.21 Relate how the training and assessment process for specific training requirements is addressed. This could be in specific plans. These should address issues such as :
- a) Emergency procedures;
  - b) Strata failure management plan training;
  - c) Spontaneous combustion training;
  - d) Training of fire teams;
  - e) General workforce training for treatment of electric shock;
  - f) General workforce training for fluid injection treatment; and
  - g) First aid training.
- 3.2.22 Describe the qualifications and experience of trainers and assessors used in the training and assessment scheme.

Certificate IV in Training and Assessment is required for trainers and assessors engaged in developing the training and assessment materials.

Elements of the Certificate IV course such as :- Facilitate work-based learning , Facilitate individual learning , Plan and organize assessment , Assess competence as well as Provide training through instruction and demonstration of work skills are recommended as the minimum for persons who perform training and assessments on the job ( act as mentors or co assessors ).

- 3.2.23 The Mentor selection process should be described in the scheme where they are used in the training process.
- 3.2.24 The Co-assessor selection process should be described in the scheme where they are used in the assessment process.
- 3.2.25 The training process for persons under the age of 16 years should be addressed in the scheme where applicable. If none are employed this can be stated.
- 3.2.26 The training of Site Check Inspector should be addressed in the scheme.
- 3.2.27 The scheme should describe the training and assessment process to ensure competence of Supervisors (to supervise).

## **4. Consultation and Communication**

### **4.1. *Relevant Legislation, Standards***

**Occupational Health and Safety Act 2000**

Division 2

**Occupational Health and Safety Regulation 2001**

Chapter 3

**Coal Mines Health and Safety Act 2002**

Section 24

**Coal Mines Health and Safety Regulation 2006**

Clauses 13 and 16

**Coal Industry Act 2001**

Section 10 (1) (i)

**AS/NZS 4804:2001**

Sections 4.3.2.4 and 4.3.3.1

**AS ISO 10015:2006**

Section 4.1.3

### **4.2. *Guidelines***

- 4.2.1 There shall be a process in place for Consultation and Communication on training and assessment issues at the coal operation. This may include:
- a) Consultation process through an OH&S and / or Training Committee;
  - b) Mechanism(s) for the workforce to raise training issues; and
  - c) Methods for communicating training information.

## **5. Documentation**

### **5.1. *Relevant Legislation, Standards***

#### **AS/NZS 4804:2001**

Sections 4.3.3.3 and 4.3.3.4

#### **AS ISO 10015:2006**

Sections 4.2.3 and 5.1 and 5.2

### **5.2. *Guidelines***

5.2.1 The Training and Competence Management Scheme shall:

- a) Be detailed in a separate document, which shall define the procedures and processes for the key training and assessment activities at the operation;
- b) Provide direction to related documentation, including relevant Management Plans (related documentation may include Induction process, Reassessment Ranking and Timeframes, Document control procedure, as well as other procedures); and
- c) Provide a process for adequately controlling training and assessment documentation, including:
  - i) Distribution;
  - ii) Review and revision;
  - iii) Authority for creation, approval and modification;
  - iv) Removal of obsolete documents; and
  - v) Preventing the use of obsolete documents.

## **6. Measurement and Evaluation**

### **6.1. *Relevant Legislation, Standards***

**AS/NZS 4804:2001**

Section 4.4

**AS ISO 10015:2006**

Section 4.5

### **6.2. *Guidelines***

6.2.1 The Training and Competence Management Scheme shall define how the operation measures the effectiveness of training and assessment activities. This may include:

- a) Monitoring of performance of training;
- b) Analysis of key OHS data, such as incident/accident statistics; and
- c) Achievement of planned training schedules.

## **7. Records and Records Management**

### **7.1. *Relevant Legislation, Standards***

#### **Occupational Health and Safety Act 2000**

Section 34(h)

#### **Occupational Health and Safety Regulation 2001**

Clauses 78, 174ZV, 175ZC, 175ZD, and 223

#### **Coal Mines Health and Safety Act 2002**

Sections 55, and 193

#### **Coal Mines Health and Safety Regulation 2006**

Clauses 146, and 207

#### **AS/NZS 4804:2001**

Section 4.3.3.5

#### **AS ISO 10015:2006**

Sections 4.2, 4.3.5, 4.5 and 5.2

### **7.2. *Guidelines***

7.2.1 The operation shall describe in its Training and Competence Management Scheme the system for the maintenance and storage of training and assessment records, and shall include:

- a) Either a paper or electronic (or both) record of each individual's learning process, assessment events, re-assessment events, and the currency and maintenance of their required position competencies;
- b) Defining of the period that records are preserved;
- c) Procedures for disposing of training and assessment records; and
- d) How training and assessment records are:
  - i) Stored;
  - ii) Maintained;
  - iii) Retrieved; and
  - iv) Accessed by authorized personnel.

## **8. Audit**

### **8.1. *Relevant Legislation, Standards***

**Coal Mines Health and Safety Act 2002**  
Section 152

**AS/NZS 4804:2001**  
Section 4.4.3

### **8.2. *Guidelines***

- 8.2.1 The Training and Competence Management Scheme shall be internally audited at regular intervals not exceeding two (2) years. The audit intervals shall be outlined in the Training and Competence Scheme or by reference to the operation's separate relevant Management Plan.
- 8.2.2 Representatives of the Coal Services Board will periodically audit the operation's Training and Competence Management Scheme, and as part of those audits will review internal audit reports, with a particular focus on how:
- a) The Audit schedule is followed;
  - b) Actions from audits have been implemented; and
  - c) Information on the results of audits has been communicated to management and employees.

## **9. Management Review**

### **9.1. *Relevant Legislation, Standards***

**AS/NZS 4804:2001**

Section 4.5

**AS ISO 10015:2006**

Section 5

### **9.2. *Guidelines***

- 9.2.1 The Training and Competence Management Scheme shall be reviewed to ensure its continuing suitability, adequacy and effectiveness. The process for review shall be outlined in the Training and Competence Management Scheme, or by reference to the operation's separate relevant Management Plan. Reviews may be initiated at either:
- a) The expiry of a specified period (for example, 3 years); or
  - b) The occurrence of "trigger events" (for example, significant incidents, changes in legislation, audit results).
- 9.2.2 Review of the Training and Competence Management Scheme should be carried out in compliance with the operation's Document Control system, and identified changes from reviews subject to modification approval processes.
- 9.2.3 The scheme will need to be sent for approval by Coal Services if the review requires a change to be made.

## 10. Definitions

Within the context of these guidelines or the content of an approved scheme, the terms used may be interpreted as shown below:

### **Trainer**

A person who employs a training method to assist another person to learn. They will have a qualification in workplace training.

### **Mentor**

A person who may not have a qualification in workplace training but who may have a role in the learning process. They are competent in the task being learned. They can assist the trainer in the learning process as in a one to one relationship with the learner in the learning process.

### **Assessor**

A person who is competent in the process of assessing the performance of a task by another. Generally an assessor has been assessed and found competent in the skills of assessing (possesses a qualification in workplace assessment) and will have expert knowledge of tasks, which are to be assessed. Assessment teams may be utilised when a single person cannot be found to have the necessary assessing competencies together with those of the task to be assessed.

### **Co-assessor**

A person without a qualification in workplace assessment but is competent in the skill to be assessed. They will assist the qualified assessor in the gathering of evidence of competence as part of an assessment team. However the assessment must be signed off by a qualified workplace assessor.

### **Assessment**

The process of collecting evidence about competence and making a judgment about whether or not competence has been achieved.

### **Assessment Instrument / Tool**

A device that is used to determine competence. An assessment instrument may be a written exam, a practical test, evidence of tasks correctly performed to standard criteria, or any combination of these options. An assessment instrument should only test to the defined standard.

### **Competent**

The demonstrated ability, through a combination of knowledge, skills and experience, to complete a task or function under specified conditions and to precise standards.

### **Competent Person**

For any task, means a person who has acquired through training, qualification or experience, or a combination of them, the knowledge and skills to carry out that task.

### **Competency Based Scheme**

A competency-based scheme involves the delivery, assessment and certification of training related to the demonstrated attainment of knowledge, skills and their application required for safe and effective performance in the workplace.

The system is oriented towards outcomes rather than the former traditional agenda, which had a preoccupation with, inputs. Thus, the emphasis is upon the ability of a person to safely and efficiently perform a task rather than the duration or type of training that the person has completed. However, a nominal period of time is required for the learner to practice the skill prior to final assessment of competence is conducted.

### **Competency Standard**

The performance standard, which will be used to determine competence. In general, a competency standard identifies the range of variables, which may be included in a competency assessment. These may include health and safety matters, speed of performance, weather conditions, environmental conditions, etc.

National competency standards have been developed for the coal industry. These may be accepted as the coal operation standards or they may be used as the base from which site-specific standards are customised or developed.

### **Current Competency**

The ability of a person to perform a particular task to the required standard at the present time. Current competency makes no reference as to how, when or where the competency was obtained. In this sense, it is quite different from “recognition of prior learning” which acknowledges some knowledge or skill, which may have been acquired at some past time.

### **Coal Operation**

The site at which a person is required to perform the allotted tasks.

### **Risk Analysis**

A systematic use of available information to determine how often specified events may occur and the magnitude of their likely consequences.