

# **Australasian Institute of Mining and Metallurgy**

## **ASSESSMENT SCHEME**

for

## **Registration of Engineers, Victoria**

**4 April 2023**

The Australasian Institute of Mining and Metallurgy

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# Preamble

## The Australasian Institute of Mining and Metallurgy

### Assessment Scheme for Registration of Engineers in Victoria

The Australasian Institute of Mining and Metallurgy (AusIMM) maintains an Assessment Scheme for Registration of professional engineers in and for Victoria.

This Assessment Scheme has been approved for use in Victoria and applies to professional engineers in the mining sector, under the category of Civil Engineering, which is planned for implementation in October 2022.

This Assessment Scheme satisfies the requirements of the Professional Engineers Registration Act 2019 (VIC).

The Assessment Scheme also satisfies the Guidelines for Applying for Approval of Assessment Schemes, Dec 2020.

### About the AusIMM

The AusIMM was formed in 1893 and is the leading organisation representing over 13,000 minerals sector professional members in Australia and internationally, across industry, government, and academia.

Our members include professionals from areas such as mining, geoscientists, and metallurgists, as well as business management, health and safety, social and environmental science.

With a focus on 'enhancing professional excellence', The AusIMM provides members with an ongoing program of continuing professional development opportunities to ensure our members are supported throughout their careers to provide high quality professional input to industry and the community.

### The AusIMM Charter and By-Laws

The AusIMM is a not-for-profit, member-based association with a focus on professional excellence. The AusIMM was incorporated under the Companies Act, and in 1955 it was granted incorporation by 'Royal Charter' (the AusIMM Charter) in Australia and New Zealand.

*In 2017, the Governor General of Australia granted a supplemental Royal Charter and new By-laws, confirming AusIMM's incorporation in Australia. This Charter came into effect on 1 January 2018.*

The AusIMM Charter describes the core purpose of the AusIMM, establishes the Institute as a not-for-profit organisation, and requires that the Institute have a set of By-Laws. The AusIMM's By-Laws, together with the Regulations, establish key elements of the Institute's structure (for example membership grades, the existence of Branches and Societies and the AusIMM Board). Together these documents form the Institute's constitution.

The previous AusIMM By-laws (amended in June 2013) are superseded by the new By-laws from 1 January 2018. The new governance structure also comprises Regulations, which may be altered by Board decision with 30 days' notice to members.

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# 1. General Requirements and Assessment Pathways

## 1.1 Applications from Non-Members of AusIMM

AusIMM accepts applications for assessment from both members and non-members.

Members and non-members must comply with the qualifications, experience and competency requirements set out in the *Professional Engineers Registration Act 2019 (Vic)* ('the Act').

## 1.2 Assessment pathways

There are two assessment pathways under the AusIMM assessment scheme:

- Victorian pathway pursuant to the Act and associated Guidelines (non-members of AusIMM).
- AusIMM assessment pathway (members of AusIMM only).

## 1.3 Eligibility Requirements – Victorian assessment pathway (non-members AusIMM)

Non-members of AusIMM who apply for registration must meet all the criteria as described in the Act, having regard to an applicant's qualifications, experience, and competencies. These are further detailed in Sections 2 to 6 below.

Non-members of AusIMM will not be required to submit a current and compliant Continuing Professional Development (CPD) logbook upon application; however, they must ensure they maintain their CPD requirements during the period of registration. CPD requirements are discussed in Section 9 of this document and there is no requirement to complete your CPD with AusIMM.

## 1.4 Eligibility Requirements – AusIMM assessment pathway (AusIMM Members)

A person shall be eligible for Registration as a Professional Engineer in Victoria (AusIMM assessment pathway) if they meet the eligibility requirements as stated in the "*AusIMM Application as an assessment entity for Registration of Engineers, Victoria, December 2021 (Revised August 2022)*", summarised below.

- An appropriate engineering degree or equivalent, relevant to the area of focus in which Registration is sought. Certified qualification documentation must be provided, if not previously supplied to the AusIMM.
- At least five years of relevant work experience within the mining industry in each of the engineering area of focus being applied for, demonstrated by a detailed curriculum vitae (CV).
- Demonstrated key competencies, detailed by a written response to the Competency Statements as described, providing clear evidence the applicant has worked competently in the area of practice and in the area of focus applied for a period of at least five years since qualification.
- Nomination of three (3) sponsors who are familiar with and can substantiate the applicant's qualifications and experience. Sponsors are asked to provide a detailed peer review to confirm the competency of the applicant. Guidelines describing who can sponsor an applicant are detailed in Appendix 4: Sponsor Requirements.
- A minimum satisfactory level of relevant Continuing Professional Development (CPD) during the three years prior to the application for Registration. This must be demonstrated by a completed AusIMM online CPD logbook, providing evidence that in the last three years the applicant has completed 150 hours of Continuing Professional Development in compliance with Appendix 2: Continuing Professional Development requirements, including at least 50% of technical CPD related to the area of focus.

- Membership of the AusIMM.
- Payment of the application fee.
- A declaration that:
  - All the information being submitted is a true and fair representation of the applicant's recent responsibilities, qualifications, and experience.
  - They will adhere to the requirements of the Professional Engineers Registration Act, Victoria, the Code of Conduct, and the Code of Ethics of The AusIMM.
  - They will commit to maintain the level of Continuing Professional Development required by this AusIMM scheme.

#### **AusIMM Chartered Professionals**

AusIMM Members who are already AusIMM Chartered Professionals and apply for Registration must meet the above criteria, however assessment will be limited to review of qualifications for Washington Accord equivalence, and current CPD logbook.

Full details of the AusIMM assessment pathway and using the Chartered Professional application procedures are included on the AusIMM website at the following link:

[Chartered Professionals \(ausimm.com\)](http://ausimm.com)

### **1.5 Mutual Recognition with Other Jurisdictions**

An assessment is not required for a person who is registered under a mandatory statutory Registration scheme for professional engineers in another Australian state or territory or New Zealand, but instead AusIMM will refer that person to the Business Licensing Authority for advice on mutual recognition.

### **1.6 Identity Verification Requirements**

The AusIMM will verify the identity of applicants for assessment under the scheme in accordance with the recognised 100-point identification check utilised within relevant State and Federal Government Agencies. Any collection of private information will be in accordance with the National Privacy Principles ("NPP"), in accordance with Schedule 3 of the Privacy Act 1988 (Cth).

Personal information collected for assessments is held and managed by AusIMM in accordance with the Victorian Privacy and Data Protection Act 2014, the Victorian Health Records Act 2001, the National Privacy Principles contained in Schedule 3 of the Commonwealth Privacy Act 1988 and other relevant laws.

### **1.7 Certification of Documents**

The AusIMM requires that all applicants for assessment provide certified copies of all documents that demonstrate the applicant's stated qualifications. These documents are to be certified by authorised persons in accordance with the relevant State legislation where the documents originate.

### **1.8 Translation of Documents**

All applicants who have documents in a language other than English, must provide those documents translated into English for assessment purposes, in accordance with the following guidelines:

- if the documents are translated within Australia the translator must be accredited by the National Accreditation Authority for Translators and Interpreters (NAATI) – [www.naati.com.au](http://www.naati.com.au).

The Australian Institute for Interpreters and Translators (AUSIT) Directory of Translators provides a current list of qualified, active AUSIT members who have NAATI accreditation in translating at [www.ausit.org](http://www.ausit.org), and

- if the documents are translated in a country outside Australia the translator must be approved by the authority in the country where the translation was made – the International Federation of Translators (IFT) at <https://www.fit-ift.org/> provides a list of translation associations, some approved by authorities to provide certified translation.

## **2. Assessment of Qualifications**

### **2.1 Approved Tertiary Courses**

All candidates for registration shall be graduates of an approved tertiary course of study.

### **2.2 Qualification Pathways**

The qualifications for registered engineers in the area of civil engineering are based on three pathways:

- 1) An under-graduate Bachelor of Engineering degree or postgraduate Master of Engineering degree in civil, structural, or related area of engineering from a Washington Accord accredited institution; or
- 2) An Australian or overseas non-Washington Accord academic qualification in a relevant area/s of engineering (civil or structural engineering) that has been assessed as substantially equivalent to an accredited Washington Accord under-graduate Bachelor of Engineering; or
- 3) Where the applicant applies under the Commonwealth Government skilled migration program, qualifications deemed equivalent by one of the assessment entities prescribed by the Commonwealth Government.

### **2.3 Alternative Assessment of Qualifications**

In circumstances where the applicant does not hold a Washington Accord accredited Bachelor of Engineering degree, their undergraduate degree and any relevant post graduate qualifications must collectively satisfy a Stage 1 Competency Assessment by a signatory to the Washington Accord.

Please note, AusIMM is not a signatory to the Washington Accord, nor are we accredited for assessment under the skilled migration program.

## 3. Assessment of Experience

### 3.1 Minimum Experience

All candidates for recommendation by the AusIMM for engineering registration in Victoria must demonstrate a minimum of five (5) years of postgraduate experience, four (4) of which must be post-graduate, in the area of civil engineering.

For applicants who intend to apply to the BLA for registration as a practicing professional engineer, the experience in the relevant area of engineering must have been gained over the last 10 years. The experience must be gained in the engineering areas of focus relevant to their area(s) of practice.

Applicants must also demonstrate competency in the following five elements of competence from the 'Australian Engineering Competency Standards Stage 2: Experienced Professional Engineer' in a relevant area/s of engineering:

- Element 1 – Deal with ethical issues,
- Element 2 – Practice competently,
- Element 4 – Develop safe and sustainable solutions,
- Element 6 – Identify, assess, and manage risks, and
- Element 13 – Engineering knowledge – according to their area of practice including a knowledge of standards and practices.

### 3.2 Prescribed area of Engineering – Civil Engineering

The AusIMM Assessment Scheme includes two areas of focus within the Civil Engineering category.

The two areas of focus are as follows:

#### 1) Environmental Engineering (Mining)

An Environmental Engineer (Mining) is a professional engineer who undertakes activities which aim to identify and minimise environmental harm being caused by single or multiple mining or mineral processing operations. Applicants will not be assessed for competencies that do not fall under the category of civil engineering, such as chemical, structural, mechanical and electrical.

#### 2) Geotechnical Engineering (Mining)

A Geotechnical Engineer (Mining) is a professional engineer who investigates, plans, designs, and monitors the process of creating fit-for-purpose mining excavations associated with the surface or underground excavation of an in-situ rock mass, or matters directly associated therewith, including the construction or excavation of in-pit or underground infrastructure, the construction of waste dumps and stockpiles, or tailings storage facilities, and the placement of backfill.

This area of focus does not include geotechnical investigation and design for the construction of civil infrastructure on a mine site, specifically including access roads and rail lines, foundations for the construction of buildings and processing facilities. The area of focus also does not cover civil tunnelling or civil underground storage.



## 4. Assessment of Competencies

### 4.1 Assessment as a Registered Professional Engineer in Victoria

The AusIMM assesses engineers applying for Engineering Registration under the professional Civil Engineering category, who wish to provide Professional Engineering Services within the mining industry in Victoria, under the Professional Engineers Registration Act 2019 (VIC) and the related Regulations. The AusIMM does not assess engineers who carry out ***non-mining*** professional engineering services in or for Victoria.

Relevant areas of focus under the professional Civil Engineering category in which applications can be assessed for recommendation as a Registered Professional Engineer under the AusIMM Scheme are:

- Environmental Engineering (Mining)
- Geotechnical Engineering (Mining)

### 4.2 Assessment of Competencies

The candidates' competencies are assessed in terms of the skills and capabilities attained and demonstrated in the workplace. These competencies are gained through a combination of education, professional experience and ongoing training and professional development.

The AusIMM assessors consider the adequacy of candidate's competencies in conjunction with the following information:

- academic qualifications, courses and training undertaken by an applicant.
- professional memberships achieved by an applicant and the assessment outcomes to achieve those memberships.
- professional engineering experience gained by an applicant.
- professional referee checks based on statements provided by three sponsors.
- CPD review and relevant professional development training and activities.
- professional interview.
- submission of additional substantiation documents if requested by the assessors.

The AusIMM will undertake CPD audits of registered professional engineers who nominate they undertake CPD with AusIMM, on behalf of the BLA when requested.

### 4.3 Competencies / Areas of Practice

Candidates for Registration are required to demonstrate relevant technical and professional competencies for specific areas of practice in the relevant area(s) of engineering to their application. The standards for engineering competencies are based on the international competencies standard as described within the International Engineering Alliance Graduate Attributes and Professional Competency Profiles under the Washington Accord.

The AusIMM areas of practice and technical competencies are detailed in the AusIMM Guidelines and are described in Appendix 1. Competency statements are requested as evidence reports from work experience and verified by Sponsors Statements. The competencies / areas of practice in Appendix 1 are offered as examples of competencies that are required for Registration as a Professional Engineer for Civil Engineering in the Mining sector. Professional experience need not be limited to those listed and applications will be considered for appropriate areas of practice in addition to those listed in Appendix 1 under each engineering area of focus.

## 5. Assessment Procedures

### 5.1 Overview of Assessment Process

An overview of the AusIMM assessment process for engineering Registration is as follows:



The AusIMM assessment requirements for Registration are as follows:

- 1) Applications will be assessed by two (2) Assessors and the outcome ratified by the Chartered Professional Program Committee (CPPC).
- 2) As part of an application, Assessors will undertake a Professional Interview, with an online interview arranged with the applicant in accordance with the procedures described in Section 5.2 below.
- 3) Where the two Assessors do not agree on the outcome of a CPD review, the Registrar will forward the assessment to the Chair and Deputy Chair or Immediate Past Chair of the CPPC for consideration and decision. If they cannot agree on an outcome, the assessment will be forwarded to the full CPPC for consideration and decision.
- 4) If the CPPC is satisfied that an applicant is assessed as meeting the qualification and experience requirements in the appropriate area of focus for Victoria, the applicant will be provided with a written report which will form part of their application to the BLA.
- 5) Rejected applicants will be advised accordingly, and feedback on their application will be provided.
- 6) Any rejected applicant may re-apply after 12 months from the date of rejection by submitting a new application and will be required to pay the application fee again.
- 7) The CPPC will reject an application if requested information is not supplied by the applicant or their sponsors within 90 days of the CPPC request unless extenuating circumstances exist. Applicants rejected due to incomplete applications may re-apply after 6 months from the date of rejection by submitting a new application and will be required to pay the application fee again.

### 5.2 Professional Interview

In accordance with the BLA requirements, professional interviews shall be undertaken for all Registration applicants under the Scheme.

The assessment scheme requires the assessor to interview a person applying for assessment. If the interview is in person, the assessor must verify the identity of the person being interviewed using photographic identification (e.g., driver's licence, passport). If the interview is conducted by video conference, the assessor must, in an appropriate way, verify the identity of the person being interviewed and confirm that they are not being assisted with the interview by another person.

This procedure is for the final stage of the application and assessment process for the Registration credentials. Interviews are required for all Registration applications, as per the following requirements.

The requirements for an interview to be undertaken as part of assessment for Registration are as follows:

- 1) Interviews will be held by video link wherever possible. If not possible due to technology constraints, then a telephone interview is acceptable, provided identity can be confirmed.
- 2) Interviews will be arranged by the AusIMM team and chaired by an AusIMM staff member.
- 3) The interview should be attended by both assessors undertaking the assessment of the application. If both assessors are not available, then at least one assessor must attend with qualifications and experience in the same area of focus of the applicant.
- 4) At least one assessor must have a current Registration credential under a recognised Australian state engineering registration scheme.
- 5) The interview will be scheduled for a minimum of 30 minutes; however, allowance should be made for an extension of up to another 30 minutes if required, to cover additional questions from the assessors.
- 6) The interview will focus on specific questions that the assessors seek to have addressed, and/or additional questions available to the assessors as per the AusIMM proforma sheet.

Following completion of the interview, the AusIMM team will summarise the outcomes for the assessors to confirm and seek the final assessment decision from the assessors.

The AusIMM team will then notify the candidate of the assessment outcome.

### **5.3 Applications for Two Professional Areas of Focus**

Applications for assessment can be made in more than one area of focus.

- 1) If an applicant wishes to apply for assessment in two areas of focus, two separate applications must be completed. Each will be assessed independently, and applicants must demonstrate that they are fully qualified and experienced in each area of focus.
- 2) The applicant must demonstrate that they have completed and agree to maintain their CPD commitments for each area of focus in which assessment is sought (150 hours for each area of focus). The full 300 hours of CPD must be demonstrated at the time of application and the CPD Logbook journal entries must specify to which area of focus the hours are to be applied.
- 3) Applicants for two areas of focus must supply three (3) sponsors in support of each area of focus; however, one (1) sponsor may be used in both applications.
- 4) Applicants for multiple assessment will be required to pay the application fee for each area of focus in which assessment is sought.

### **5.4 Assessment Outcomes**

Areas of focus in which applications can be assessed for recommendation as a Registered Professional Engineer under the Civil Engineering category are:

- Environmental Engineering (Mining)
- Geotechnical Engineering (Mining)

Following assessment and notification of the outcome, the individual must apply directly to the BLA for Registration. The assessment is only one of several things the BLA will consider when assessing your application.

Registration applicants will pay the fee for Registration assessment to the AusIMM. A separate fee for Registration is payable to the BLA.

## 6. Professional and Independent Assessments

### 6.1 Professional assessments

Assessment of applications for registered engineers will be undertaken in a professional and independent manner. The AusIMM will only assess applicants in accordance with the criteria and procedures set out in the approved assessment scheme.

**Table 6.1: Assessment scheme criteria and procedures for professional assessments (reproduced from BLA Guidelines)**

Areas of evidence	Person applying for assessment	Assessor conducting an assessment
Evidence of qualifications	A person applying for assessment must provide the original or a certified copy of each document provided as evidence of their qualifications.	The assessor must personally sight the documents provided by an applicant and ensure that any certified copies are certified by an appropriately authorised person.
Evidence of practical experience	A person applying for assessment must provide: <ul style="list-style-type: none"> <li>- a curriculum vitae or career record evidencing their experience as a professional engineer, and</li> <li>- the name and contact details of a person(s) who can confirm the experience claimed including, where possible, a person who supervised the applicant.</li> </ul>	The assessor must verify the applicant's experience by contacting the referee(s).
Evidence of supporting competence	A person applying for assessment must provide: <ul style="list-style-type: none"> <li>- examples of work they have undertaken <b>OR</b> a competency report that demonstrates they have the required Stage 2 elements of competency, and</li> <li>- the name and contact details of a person(s) who can confirm that they undertook the work themselves.</li> </ul>	The assessor must: <ul style="list-style-type: none"> <li>- verify that the examples of work were undertaken by the applicant by contacting the referee(s) or verify the competency report by contacting the organisation issuing the competency report or by other suitable means.</li> <li>- review the examples of work and test the applicant's knowledge and authorship of the work at interview, and</li> <li>- test whether the applicant has the required Stage 2 elements of competency,</li> </ul>
Evidence of ability to carry out professional engineering services without supervision	A person applying for assessment must provide a number of written references attesting to their ability to carry out and take full professional responsibility for professional engineering services without supervision within the area of engineering for which they are being assessed.	The assessor must verify the references provided by an applicant by contacting the referees.

## 6.2 Independent assessments

To ensure the independence of assessments, the assessors must undertake the following:

- an assessor must make a written declaration that in relation to both the person applying for assessment and the assessment stating that:
  - they have no actual, perceived, or potential conflict of interest.
  - they have no bias, and
  - there are no facts or circumstances that might give rise to a reasonable apprehension that they have a bias, and
- an assessor who declares an actual, perceived, or a potential conflict of interest in an assessment will not be appointed to conduct that assessment.

An applicant who is aggrieved by the outcome of an assessment may apply for a review of the assessment, with a fee to be charged for the review, that will be refunded if the review finds in favour of that person.

## **7. Selection and Training of Assessors**

### **7.1 General Requirements for Assessors**

The AusIMM assessors are responsible for undertaking an assessment of applicant's qualifications and experience and for making an assessment decision. An assessor may take advice from an expert on a particular matter, as required.

General requirements for the qualifications and experience of assessors under this Scheme are as follows:

- 1) An assessor must be appropriately qualified, competent, and experienced.
- 2) An assessor must be a Registered professional engineer or meet the qualification and experience requirements to be eligible for Registration.
- 3) An assessor must be competent in the area(s) of engineering in which the person applying for assessment is being assessed.
- 4) An assessor must have at least five years' experience as a Registered Engineer and/or Chartered Professional.

### **7.2 Selection of Assessors**

The CPPC appoints and maintains enough Registered Engineers and/or Chartered Professional members as assessors in the relevant area of focus, to undertake Registration and Chartered Professional application assessments and Continuing Professional Development (CPD) reviews in a timely manner. The AusIMM engages competent, experienced Assessors to undertake assessment of applicants for both Registration and the Chartered Professional credential. The same Assessors are engaged to undertake assessment for both credentials.

### **7.3 Role of the Assessors**

AusIMM Assessors use their area of focus specific skills and experience to assess applications for Professional Engineers in Victoria (BLA) and/or the AusIMM Chartered Professional Program and conduct Continuing Professional Development (CPD) reviews of Registered Engineers and/or Chartered Professional members.

AusIMM Assessors are volunteers of the AusIMM (but receive a nominal fee to cover costs) and report to the Chartered Professional Program Committee (CPPC).

It is a requirement that a new Assessor will undertake training prior to commencing assessment tasks. The processing of Registration / Chartered Professional application assessments, CPD reviews and related administrative work will involve approximately 2-3 hours of Assessor time per month.

### **7.4 Eligibility and Application Requirements for Assessors**

Applicants for a Registration / Chartered Professional Assessor must:

- 1) be a current AusIMM Chartered Professional with at least five years' experience as a Registered Engineer / Chartered Professional in their selected area of focus.
- 2) demonstrate at least five years' recent experience in the area of focus applied for by submitting a detailed, current CV, plus a statement of no more than 150 words outlining their professional background and experience, along with any relevant involvement with AusIMM activities.
- 3) demonstrate a commitment to being a Registration / Chartered Professional Assessor by providing a statement of no more than 150 words outlining why they wish to become a

Registration / Chartered Professional Assessor, and the contribution they would like to make.

- 4) upon application, pass a Continuing Professional Development (CPD) review; and
- 5) provide the endorsement of three supporters who are also Registered Engineers / Chartered Professional's, two of whom must be in the same area of focus.

## 7.5 Training of Assessors

New Assessors are required to undertake training using tutorial videos, which describe and work through the Registration / Chartered Professional assessment requirements, criteria, and procedures. New Assessors are then requested to complete three trial application assessments, which are reviewed by an experienced Assessor, to provide feedback.

The experienced Assessors, having reviewed and commented on the trial assessments, will advise the Chair of the CPPC on whether the new Assessors have successfully completed the trial assessments and are ready for work on real assessments from Registration / Chartered Professional candidates.

Trainee assessors must:

- satisfactorily perform a mock assessment/s, or
- be supervised to conduct their first assessment/s, or
- conduct their first assessment/s jointly with an experienced assessor before being accredited as an assessor.

The procedure for accrediting assessors will ensure they have the qualifications, competencies, and training necessary to conduct assessments in an independent and professional manner.

## 7.6 Role of the Chartered Professional Program Committee

The work of the AusIMM team of Assessors is overseen by the AusIMM CPPC, which provides governance for the Chartered Professional Program of the AusIMM. The CPPC reports to the Chief Executive Officer of the AusIMM under authority delegated by the Board.

Refer to **Appendix 3** for the Terms of Reference for the CPPC.

The CPPC is a governance committee, supported by a team of Registration / Chartered Professional volunteer Assessors. Assessors make recommendations on applications for the Chartered Professional Program and for Registered Professional Engineer of Queensland (Registration) Assessments, and conduct Continuing Professional Development (CPD) reviews. Two Assessors independently assess each application/CPD review. Assessor recommendations are collated by the Manager, Professional Accreditation, and the recommendation forwarded to the CPPC for ratification.

An updated AusIMM Chartered Professional Program (CPP) commenced on 1 January 2018. To support the new program the AusIMM sought expressions of interest for the team of volunteer Registration / Chartered Professional Assessors, who will assess applications and conduct Continuing Professional Development (CPD) reviews.

## 8. Capacity to Undertake Assessments in a Timely Manner

### 8.1 Timely Assessments

The AusIMM is committed to completing the assessment of a candidate for Registration within 90 days of receiving their application for assessment. The AusIMM Team of Assessors consists of 15 experienced and qualified Assessors, representing the technical and engineering area of focus for mining professionals. These Assessors are primarily volunteers however they are paid a nominal fee as compensation for their time and costs.

The assessors and their work remains independent of the daily activities of the AusIMM and the CPPC. The assessment procedures under the AusIMM policies, regulations and guidelines are overseen and administered by the CPPC, who also oversee the work of the AusIMM Assessors. So, while the Assessors' work is independent, there is also separate and independent governance of their assessment processes by the CPPC.

The AusIMM assessment process requires two qualified Assessors to undertake separate Registration and/or CP assessments, thereby providing independent reviews of candidate applications. Should the two Assessors disagree on the outcome, the application is referred to the CPPC who then decides on the outcome.

The AusIMM volunteer team of Assessors, supported by the AusIMM Registrar and Secretariat, provide the appropriate capability and capacity to deliver Registration assessment outcomes within a 4-6-week period, depending on the complexity of the application. The AusIMM has the capability to quickly expand its team of assessors, including sourcing and training any new assessors, to meet any unexpected increases in future demand for assessments.

When a registration application is received, the nominated sponsors are notified and requested to return their sponsors statements within one week. The application is then sent to the Assessors for review and processing. The usual turnaround time for the Assessors to process an application is 3 weeks.

Applications for the more competent and experienced candidates will take approximately 4 weeks overall, including the week for return of sponsors statements. Applications for less competent candidates will take a maximum of approximately 6 weeks overall, including the week for receipt of sponsors statements. Delays in receipt of Sponsors' Statements can extend this time frame further.



## 9. Continuing Professional Development Requirements

### 9.1 CPD General Requirements

Registered Professional Engineers under the AusIMM Assessment Scheme, who are working full time, must engage in a personal program of Continuing Professional Development (CPD) activities, as required for registration in Victoria. Continuing Professional Development is important for Registered Engineers to demonstrate currency in their area of focus.

The CPD requirements for Registration must be followed in accordance with the requirements described below. CPD categories and hourly limits for the mining sector should be in accordance with Appendix 2 of this document, with the additional following requirements:

- complete a minimum of 150 hours of structured continuing professional development (CPD) over a three-year period leading up to the renewal or restoration of their Registration.
- undertake a minimum 33% (50 hours) of the 150 hours as technical CPD in their area of focus.
- undertake a maximum 67% (100 hours) of the 150 hours as non-technical CPD, for example, project management, ethics and law, risk management, communication, health and safety programs, and structured mentoring.

### 9.2 Requirements for Part-time, 'Non-Practising' Engineers or Career Breaks

If the applicant worked part-time as a registered practising professional engineer or took a career break, they must complete 90 hours of structured CPD in the last three years irrespective of the areas in which they are registered.

If the applicant is a professional engineer who registered as non-practising any time during the last 3 years, they are required to have completed 90 hours of structured CPD in the last 3 years.

In these cases, the applicant must have undertaken a minimum of 33% (30 hours) of the 90 hours as technical CPD in their area of focus.

### 9.3 A professional engineer who changed their registration between 'practising' and 'non-practising' during the last three years

If an applicant worked full-time as a practising professional engineer before transferring their registration to non-practising or vice versa – the CPD requirements will be pro-rata based on the time working as a registered practising professional engineer and the time registered as a non-practising professional engineer.

### 9.4 Key CPD Requirements

Within each three (3) year period at least 150 hours of CPD activities must be completed, averaging 50 hours per year, including at least 50 hours of technical CPD related to the area of focus.

Continuing Professional Development (CPD) should focus on learning and activities in areas relevant to their technical area of focus *over and above* normal work-related activities.

To maintain Registration, a Registered Engineer must engage in a personal program of CPD activities. Within each three (3) year period at least 150 hours of CPD activities must be completed.

The 150 hours over three (3) years must include:

- a *minimum* of 33% (50 hours) of area of focus specific technical CPD, and

- CPD from at least one of the CPD categories in **Appendix 2**, noting the *maximum* allowed for certain categories.

## 9.5 Recording and declaring Continuing Professional Development (CPD) undertaken

Registered Engineers must maintain a record of Continuing Professional Development undertaken for each area of focus in which they are accredited and must update their CPD logbook at a minimum of every three (3) months, recording any CPD undertaken or entering 'nil' if no CPD undertaken in that period. Reminders will be sent to AusIMM Registered Engineers to complete this update, and any Registered Engineer who does not comply may be flagged for a CPD Review.

## 9.6 Career breaks, isolated work, and other special circumstances

A career break is a period of a minimum of three months during the last three years during which a person does not work as a professional engineer due, for example, to illness, travel, parental or carers leave, sporting commitments, cultural or ceremonial commitments, broadening knowledge and skill or unemployment.

CPD requirements related to Career Breaks are outlined in Section 6.2 above.

## 9.7 Non-Member Applicants for Assessment of CPD

AusIMM will not be responsible for CPD for professional engineers who are not AusIMM members. However, AusIMM CPD training modules and content will be available to both members and non-members.

## 9.8 Publication of CPD requirements

AusIMM will:

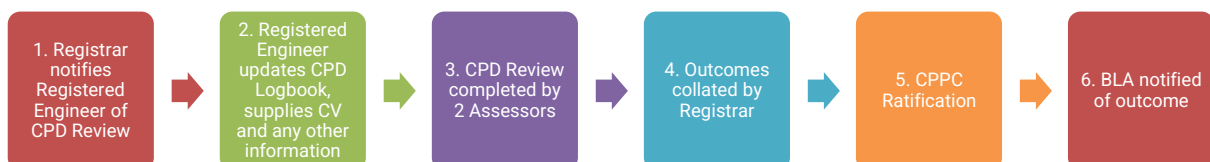
- publish the CPD requirements on the AusIMM website, and
- on request, will provide a copy of the CPD requirements to any member or non-member wishing to undertake CPD with AusIMM in order to meet the requirements to renew their Registration.

## 9.9 CPD Reviews (Audits)

AusIMM will undertake an effective audit program on an ongoing basis, to ensure the integrity of the renewal of Registrations and endorsements. The audit program will only apply to professional engineers who are members of AusIMM. The AusIMM has requirements for the CPD audit program in accordance with the BLA requirements for frequency, training, conflict of interest, review, and reporting.

The AusIMM will conduct random and non-random CPD Reviews of Registered Engineers CPD hours (also called CPD audits). These audits are undertaken in accordance with the program as directed by BLA at regular intervals.

An overview of the CPD Review process is as follows:



Registered Engineers will also be selected for a CPD Review when specifically requested by the BLA.

When called for CPD Review a Registered Engineer must within one month provide the following:

- Details of their recent experience and current practice in the form of a detailed and technically focused current curriculum vitae (CV) that details the member's areas of professional practice covering at least that three-year period. CVs that contain insufficient detail will not be accepted.
- A record of CPD activities over the immediate past three years, or a three-year period within the previous 4 years as specified by the Registrar, by ensuring information in the CPD Logbook is up to date and any evidence relating to the entries is uploaded where possible.
- Reflection on CPD undertaken and recorded in their CPD Logbook.
- Any other information that is requested by the Registrar to clarify the evidence provided, such as a summary of diary records, course/seminar enrolment records, receipts, certificates, assessment reports, employer/supervisor/peer/client reports or statutory declarations.

## 10. Fees for assessments

### 10.1 Fee establishment

Applicants for assessment of qualifications and experience under this scheme are required to pay the fee for assessment to the AusIMM.

A separate fee for Registration is payable to the BLA.

The AusIMM shall be responsible for setting the fees for the Scheme. In setting these fees, the AusIMM has considered the expenses and cost recovery principles, also allowing for the affordability for engineers with only five years' experience.

The fees set out below have been established based on the following components:

- cost recovery for assessing a person's qualifications, experience, and competencies,
- issuing a report on the outcome of that assessment and conducting a review of that assessment,
- conducting a review of the outcome of an assessment audit and a CPD audit.

### 10.2 Fee Schedule - Application/Assessment Fees for Registration

The following fees are applicable to be paid to the AusIMM for a Registration Assessment and recommendation only. Following assessment and a positive recommendation by the AusIMM, the individual must **apply directly to the BLA for Registration**, which requires payment of an application and Registration fee to the BLA.

Applicant status	Fee (excl. GST)
Non-member	\$600
AusIMM Member or Fellow (not a CP)	\$500
AusIMM Chartered Professional (CP)	\$0 (free Registration assessment for existing CPs)
Fee for review of assessment (refundable if review successful)	\$100

New applicants may apply for Registration Assessment and Chartered Professional accreditation concurrently, paying the Chartered Professional application fees and receiving the Registration recommendation free of charge.

Current Chartered Professionals may request a registration assessment letter to present to the BLA at reduced rates, provided all additional requirements for Registration have been satisfied.

Documents required include:

- a current CV with the request for the Registration assessment letter
- completed CPD logbook with the necessary 150 hours in the previous three years prior to requesting the letter.
- Qualifications to be checked to ensure compliance with the BLA's eligibility criteria.

## 11. Procedures for Monitoring and Improvement

### 11.1 Quality Assurance Audits of Assessments

The AusIMM assessment scheme includes a system of Quality Assurance (QA) audits of registration assessments, with audits of at least 15 per cent of the assessments undertaken each year. This audit program provides a mechanism for monitoring the assessment process and ensuring that audits are conducted in accordance with this assessment scheme.

QA Assessment Audits are subject to the following requirements:

- assessment applications are selected for a QA assessment audit based on a combination of risk and random selection,
- audits must be carried out by auditors who are appropriately trained and accredited under this assessment scheme,
- auditors are required to make a declaration regarding conflict of interest as an assessor, with respect to the person being audited and conducting an audit, and where a conflict of interest is declared, not be appointed to conduct the audit, and
- procedures must be in place to apply for a review of the audit if requested.

AusIMM will provide an annual report to the BLA within the six (6) months after 30 June each year on:

- how assessments were selected for QA Assessment Audit,
- the number of QA Audits undertaken, and
- the results of the QA Audits, including where an application:
  - was found to not have the required qualifications and experience including because of fraud, dishonesty, deception, or similar conduct, or
  - there are other concerns with the assessment.

### 11.2 Assessment Scheme Review

The AusIMM will review the approved assessment scheme every year and identify potential areas for improvement and report the outcome of the review to the BLA within six (6) months after 30 June each year.

### 11.3 Monitoring and Improving the Assessment Processes

The monitoring of the AusIMM assessment processes is undertaken through the CPPC, which oversees Registration assessment, and provides governance to ensure the program is compliant with the BLA requirements, the AusIMM Charter and By Laws, and this Assessment Scheme.

- 1) The CPPC nominally meets monthly but shall meet a minimum of six (6) times per year, and makes recommendations on Registration to the AusIMM Board, including potential amendments to the Registration procedures, policies, and processes.
- 2) The CPPC considers for ratification the outcomes of Registration assessments and CPD reviews and considers and decides the outcome of any special consideration requests. The CPPC also considers and decides the outcome of any Registration application assessments or CPD reviews following an Assessor disagreement.
- 3) The CPPC monitors the performance of Assessors by performing quality assurance audits or delegating these audits to experienced Assessors.
- 4) The CPPC liaises with stakeholders to promote and support the program, and reports to the

CEO and AusIMM Board, including regular reports on application approvals and budget.

- 5) The CPPC reviews all reports, CPD audits, QA audits, feedback from assessors and candidates, and industry responses, to identify and improve the assessment processes wherever possible. All proposed amendments to the assessment processes relating to this Scheme shall be submitted to the BLA for approval before amendments are implemented.

## 11.4 Quality Assurance Audits

Quality Assurance (QA) auditing of Registration and CP application assessments and CPD reviews are undertaken by the CPPC on a regular basis to ensure guidelines and procedures are always being followed, and that decisions are repeatable and verifiable.

The steps in the review of the Assessment QA process are as follows:



- 1) Registrar selects application assessments and CPD reviews for audit on a quarterly basis. The Registrar will review completed application assessments and CPD reviews and select approximately 15 per cent (spread evenly as practical across the Assessors) for a QA audit. The CPPC may also refer applications or CPD Reviews to the Registrar for QA audit.
- 2) The Registrar will allocate the selected QA audits to a member of the CPPC, or an experienced Assessor nominated by CPPC (the QA Auditor).  
QA Auditor completes a blind assessment. The QA Auditor will complete their assessment of the application or CPD Review without seeing the original assessment and notify the Registrar when this stage has been completed.
- 3) The QA Auditor will then receive the original Assessor's reports and will compare them, looking for gaps between the Assessor's report and procedures and guidelines. The QA Auditor will complete a written report for each Assessor, noting any issues identified and classifying them as either 'Low', 'Medium', 'High', or 'Significant', as per Table 11.1.

**Table 11.1: QA Audit Issue Ratings**

Issue Rating	Description
Low:	Minor control weakness or assessment inconsistency which represents an opportunity to improve. Auditors to communicate with Assessors with advice and inform CPPC on a routine basis.
Medium:	Issue observed does not conform with standards or processes. Mitigation reasoning may be observed but still represents a departure from agreed standards. Chair of CPPC to be notified. Assessor(s) not to undertake any further assessments or reviews until they have been re-trained in that aspect. All Assessors and CPPC advised of issue on a monthly basis.
High:	Issue observed is a serious breach of standards and/or processes and there is a risk of reputational damage. If an appeal was lodged on due process, it may be successful. Requires immediate attention of CPPC (and CEO), and complete retraining and re-assessment of Assessor(s) involved. Consider further QA Audits of relevant Assessor(s).

Significant:	Issue observed poses unacceptable risk to the program and the AusIMM. Immediate intervention by CPPC is required and the matter to be brought to the attention of the CEO and President of the AusIMM. If issues are deemed to represent an unacceptable risk of future poor judgement by the Assessor(s) involved, they will be relieved of their assessment duties. Assign further QA Audits of relevant Assessor(s).
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The QA Auditor will notify the Registrar immediately if any Medium, High, or Significant issues are identified.

- 4) Escalation and reporting of identified issues. The Registrar will immediately escalate any Medium, High or Significant QA audit findings to the Chair of CPPC and facilitate the course of action decided upon.

The Registrar will report a summary of QA audit findings on a regular basis to the CPPC and annually to the AusIMM Board.

The Registrar will report any Medium, High or Significant QA audit findings to the AusIMM Board in the Chartered Professional report.

## Appendix 1: Competencies

The following competencies / areas of practice are offered as examples of experience that are required for Registration as a Professional Engineer in the Mining sector. Professional experience need not be limited to those listed and applications will be considered for appropriate areas of practice in addition to those listed below under each engineering area of focus.

### Environmental Engineering (Mining)

#### 1) Environmental engineering.

Designing, constructing, and operating civil, mechanical, or chemical engineering facilities related to environmental management of mining and mineral processing operations. Competency indicators include:

- 1.1. design, construction, and operation of water treatment and recycling plants.
- 1.2. design, construction, and operation of facilities to treat contaminated soils, wastes and air emissions.
- 1.3. design, construction, and operation of facilities to suppress noise and vibration.
- 1.4. understanding the waste hierarchy.
- 1.5. preparing and implementing programs to maximize the efficiency of water use and energy use.
- 1.6. developing and implementing programs to abate greenhouse gas emissions; and
- 1.7. developing and implementing cleaner production methods.

### Geotechnical Engineering (Mining)

A Geotechnical (Mining) professional investigates plans, designs, and monitors the process of creating fit-for-purpose mining excavations associated with the surface or underground excavation of an in-situ rock mass, or matters directly associated therewith, including the construction or excavation of in-pit or underground infrastructure, the construction of waste dumps and stockpiles, or tailings storage facilities, and the placement of backfill.

This area of focus does not include geotechnical investigation and design for the construction of civil infrastructure on a mine site, specifically including access roads and rail lines, foundations for the construction of buildings and processing facilities. The area of focus also does not cover civil tunnelling or civil underground storage.

The following areas of practice are offered as examples of experience that is required for Registration as a Professional Geotechnical Engineer in the Mining sector. Professional experience need not be limited to those listed and applications will be considered for appropriate areas of practice in addition to those listed below.

#### 1) Site characterisation.

- 1.1. follow industry standard mapping requirements and enhance proficiency in geotechnical mapping skills with the ability to identify and focus on important aspects of the geotechnical features of the site and the excavations/structures to be developed.
- 1.2. ability to finalise sectional interpretations for geotechnical domain definition and structural models for mine designs and tailings storage facility foundations.
- 1.3. ability to integrate geotechnical data into a field work component (e.g., sections, plans, etc).
- 1.4. plan and supervise data acquisition programs, interpret, and analyse the data and report



appropriately.

1.5. demonstrated ability to recognise and interpret the significance of lithological units, alteration and structural in the field.

1.6. ability to review, identify and design drill hole programs.

1.7. ability to manage daily drilling activities and daily supervision of contractors.

1.8. compile databases and reports on rock mass parameters.

1.9. ability to plan, implement and manage field projects.

1.10. ability to recommend or undertake appropriate rock property testing and sample selection.

2) Geotechnical analysis and design.

2.1. develop a model of the major geologic structures and geotechnical features of the mine or tailings dam site.

2.2. determine the geotechnical properties and domains within the mine / tailings storage facility site.

2.3. assess rock mass quality within geotechnical domains.

2.4. demonstrate familiarity with empirical, analytical, and numerical design methods.

2.5. carry out numerical modelling of stress and displacement and recommend actions resulting from this investigation.

2.6. understand limitations of analytical and numerical modelling tools.

2.7. design instrumentation programs and interpret data from instrumentation (e.g., ground movements from displacement monitoring equipment, stress/strain change, micro-seismicity, pore pressure, etc.).

2.8. prepare and maintain key regulatory documentation (ground control management plan, open pit management plan, voids management plan, etc.).

2.9. demonstrate an understanding of the water balance model for a tailings storage facility and design of water management infrastructure.

2.10. design and implement ground support standards, or site-specific ground control installations.

2.11. review, update, and optimise geotechnical design guidelines for mine planning requirements.

3) Mining systems.

3.1. sound practical understanding of common mining methods, mining equipment capability and their interaction with the mine environment.

3.2. provide appropriate information to mine management on the effect current mining practices are having on localised and mine-site wide ground stability issues in a timely manner.

3.3. communicate with and train the workforce on geotechnical hazard awareness.

4) Tailings Facilities Design and Management.

4.1. Investigation, planning, design, operation and monitoring of the performance of structures for the storage of tailings, or associated matters.

4.1.1. Planning of tailings management processes, investigation of foundations for

tailings facilities and associated infrastructure, design of embankments, managing quality assurance and control of construction, design, and implementation of tailings discharge processes.

4.1.2. Confirming achievement of required conditions, periodic raising of storages and safe closure of facilities on completion of filling.

#### 4.2. Knowledge of relevant Legislation, Guidelines and Standards.

4.2.1. Demonstrate a knowledge and understanding of relevant legislation leading industry practice in accordance with national and international guidelines and standards related to tailings facility design, construction, management, and subsequent closure.

#### 4.3. Tailings Management Process Selection.

4.3.1. Ability to identify and evaluate potential tailings management process options.

4.3.2. Ability to select the most appropriate tailings management process through an industry standard multi-criteria assessment process and risk assessment.

4.3.3. Ability to select an appropriate site for tailings disposal using the process determined.

4.3.4. Be able to competently determine the Consequence Category of the tailings storage at the chosen site, using industry guidelines.

4.3.5. Understand the requirements of the tailings storage at the chosen site through the lifetime of the storage including the initial development, operations, progressive raising, eventual closure, and the potential long-term post-closure performance.

#### 4.4. Tailings Storage Site Characterisation.

4.4.1. Follow industry standard mapping requirements and enhance proficiency in geotechnical mapping skills with the ability to identify and focus on important aspects of the geotechnical features of the site and the structures to be developed.

4.4.2. Ability to finalise sectional interpretations for geotechnical domain definition and structural models of foundations.

4.4.3. Ability to integrate geotechnical data into a field work component (e.g., sections, plans, etc.).

4.4.4. Plan and supervise data acquisition programs, interpret, and analyse the data and report appropriately.

4.4.5. Demonstrated ability to recognise and interpret the significance of lithological units, alteration, and structure in the field.

4.4.6. Ability to review, identify and design drill hole programs.

4.4.7. Ability to manage daily drilling activities and daily supervision of contractors.

4.4.8. Compile databases and reports on rock mass parameters.

4.4.9. Ability to plan, implement and manage field projects.

4.4.10. Ability to recommend or undertake appropriate foundation and construction property testing and sample selection.

#### 4.5. Tailings Storage Facility Geotechnical Analysis and Design.

4.5.1. Develop models of the major geologic structures and geotechnical features of the foundations.

4.5.2. Develop structural concepts for storage facility embankments including zoning and internal features such as filters, drainage, foundation treatment including interaction with tailings if appropriate.

- 4.5.3. Determine the geotechnical properties of the components of the design.
  - 4.5.4. Demonstrate familiarity with empirical, analytical, and numerical design methods for storage facility embankments.
  - 4.5.5. Carry out numerical modelling of stress and displacement and recommend actions resulting from investigation.
  - 4.5.6. Understand limitations of analytical and numerical modelling tools.
  - 4.5.7. Design instrumentation for the tailing's storage including ground movement, internal pore pressure and seepage flow.
  - 4.5.8. Demonstrate an understanding of the water balance model for a tailings storage facility and design water management infrastructure.
  - 4.5.9. Prepare and maintain key regulatory documentation; review, update, and optimise geotechnical design guidelines for mine planning requirements.
- 4.6. Operation, Maintenance and Surveillance.
- 4.6.1. Establish and manage tailings discharge operations documentation including an Operation, Maintenance and Surveillance (OMS) Manual and Storage Facility Safety Emergency Response Plan.
  - 4.6.2. Prepare tailings and water management plans for long, medium, and short-term use by operators.
  - 4.6.3. Prepare and manage surveillance inspections to industry standards.
  - 4.6.4. Analyse and report trends in monitoring data.
  - 4.6.5. Design and specify instrumentation programs.
  - 4.6.6. Supervise installation and maintenance of monitoring equipment.
  - 4.6.7. Be cognisant of operational processes supporting closure designs and post-closure sustainable land use.

## Appendix 2: Continuing Professional Development (CPD) requirements

Continuing Professional Development is important for Registered Engineers to demonstrate currency in their area of focus.

A Registered Engineer's Continuing Professional Development (CPD) should focus on learning and activities in areas relevant to their technical area of focus over and above normal work-related activities.

To maintain accreditation, a Registered Engineer must engage in a personal program of CPD activities. Within each three (3) year period at least 150 hours of CPD activities must be completed, averaging 50 hours per year.

The 150 hours over three (3) years must include:

- For Registration in the engineering area of focus, a minimum of 33% hours of area of focus specific technical CPD.
- CPD from at least one of the CPD categories in the table below, noting the maximum allowed for certain categories.

Category	Category Description	Comments	Maximum permitted hours (out of 150 hours total)
A	<b>Formal Education:</b> Undertaking formal coursework relevant to the member's area of practice (postgraduate education, other coursework, programs, and certificates).	Report actual lecture hours or equivalent research hours or online engagement hours.	No maximum
B	<b>External and Internal Short Courses:</b> Short courses, workshops, webinars, seminars and discussion groups, conferences, technical inspections, and meetings	Courses for general life skills not permitted.	No maximum
C	<b>Research:</b> Research which extends knowledge and skills.		57 hours maximum over three years
D	<b>Publications:</b> Material written and published in technical journals and technical conference papers.	May claim up to 45 hours for each technical paper or research report for courses, conferences, etc.; up to 75 hours for papers subject to peer review prior to publication.	No maximum
E	<b>On-the-job Skill Enhancement:</b> Time spent on formal, structured and company-sponsored on-the-job training programs; personal self-education; and on-the-job research and evaluation	Learning activities in the workplace that extend competence in the regulated or a related area/s of engineering.	75 hours maximum over three years
F	<b>Private Reading of Learned Publications:</b> Relevant to the member's practice and the demonstrated use of the information gained.	Must demonstrate extension of knowledge and skills.	18 hours maximum over three years
G	<b>Teaching &amp; Academia:</b> Professional engineers employed in tertiary teaching or academic research	Must be registered as practising.	Minimum of 40 hours of industry involvement in any three-year period
H	<b>Service to industry:</b> Active participation as a member of an industry committee, mentoring program or similar.	May include meeting attendance, preparation, and associated work.	50 hours maximum over three years

## Appendix 3: Chartered Professional Program Committee (CPPC) Terms of Reference

### Purpose

The Chartered Professional Program Committee provides governance for the Chartered Professional Program of the AusIMM. The Chartered Professional Program Committee will report to the Chief Executive Officer of the AusIMM under authority delegated by the Board.

### Terms of Reference

- 1) Oversee the Chartered Professional Program and provide governance to ensure the program is compliant with the AusIMM Charter and By Laws, and the Chartered Professional Regulations and Guidelines.
- 2) Make recommendations on Chartered Professional Program strategic direction to the AusIMM Board.
- 3) Make recommendations for amendments to the Chartered Professional Regulations to the AusIMM Board.
- 4) Create and review CP program policies and processes.
- 5) Appoint and maintain enough Chartered Professional members as Assessors in various area of focus to achieve application assessments and CPD reviews in a timely manner.
- 6) Consider for ratification the outcomes of application assessments and CPD reviews.
- 7) Consider and decide the outcome of any special consideration requests.
- 8) Consider and decide the outcome of an application assessments or CPD reviews following an Assessor disagreement.
- 9) Monitor the performance of Assessors by performing quality assurance audits or delegating these audits to experienced Assessors.
- 10) Liaise with stakeholders to promote and support the program.
- 11) Form sub-committees as required.
- 12) Report on the Chartered Professional Program to the CEO and AusIMM Board, including regular reports on memberships and budget.

### CPPC Membership

- 1) The Chartered Professional Program Committee shall be constituted with a minimum of six (6) and maximum of (9) Chartered Professional members being:
  - a) One member from each of the six (6) Chartered Professional area of focus, who has been a CP for a minimum of five (5) years. Each member will be nominated from and elected by the AusIMM's Chartered Professionals.
  - b) A Chair and a Deputy Chair and/or Immediate Past Chair of the CPPC if they are not in the six (6) members specified above because their elected terms have been completed.
  - c) The Chief Executive Officer of the AusIMM (ex-officio member), who shall abstain from voting in any matters relating to Chartered Professional accreditation or policy in order to administer any appeals that may arise from the committee's activities.
  - d) A Registrar appointed by the AusIMM Chief Executive Officer who will be a non-voting ex-officio member of the CPPC and responsible for Secretariat services.
  - e) The Board may appoint a member with specialist skills from time to time.

- 2) The elected members of the CPPC will serve for a period of three years from 1 January. One third of the elected members of the CPPC will retire in any year. A retiring member will be eligible for re-election once and may not stand for re-election following the completion of two full terms until at least one (1) year has passed, and then may only seek re-election when their area of focus next has a vacancy. Any casual vacancy filled prior to the start of the first full term is not an impediment to that member standing for a second consecutive term.
- 3) A Deputy Chair will be elected by the CPPC from CPPC members every two (2) years. The Deputy Chair will be in this role for one (1) year, then will be Committee Chair for two (2) years followed by one (1) year as Immediate Past Chair.
- 4) Nominations for membership of the CPPC will be called no later than 1 September and will be accepted no later than 30 September in each year for each vacating area of focus (two per year). Nominations must be sponsored in writing by three (3) AusIMM Chartered Professionals, of which at least one must be within the relevant Chartered Professional area of focus.
- 5) Members of the CPPC shall be elected by a secret electronic ballot of all registered AusIMM Chartered Professionals. The ballot will close on 30 November of each year, or another earlier date as the CPPC may determine. The candidates receiving the largest number of votes in their nominated area of focus will be elected. An independent Returning Officer will determine the results of the ballot.
- 6) Any casual vacancy (due to resignation, retirement etc.) may be filled by the CPPC until the next election with a Chartered Professional of the relevant area of focus. At the next voting period, the remainder of the casual vacancy term (if any) must be filled by voting for a partial term.
- 7) Should a CPPC member be unable to fulfil their duties and fails to resign or obtain leave, the CPPC may, after due warning, remove that member and fill the resulting casual vacancy.
- 8) Members of the CPPC must declare to their colleagues any potential real or perceived conflicts of interest in being a party to considering each matter and must excuse themselves where appropriate. If the Committee is unable to achieve a quorum due to the enactment of this provision, the CPPC may appoint additional members for the purposes of dealing with the relevant matter.
- 9) Members of the CPPC will resign their CP Assessor role while on the committee.

#### **Frequency of meetings**

The CPPC will nominally meet monthly but shall meet a minimum of six (6) times per year.

#### **Quorum**

The quorum for meetings shall be 50 per cent of the committee members plus one. In the absence of a quorum a meeting shall be adjourned.

#### **Secretariat**

Registrar, AusIMM Management Team

## Appendix 4: Sponsor Requirements

- 1) Sponsors should be familiar with and be able to substantiate the applicant's qualifications and experience. Sponsors will be asked to provide a detailed peer review to confirm the competency of the applicant.
- 2) Each sponsor should have worked with the applicant for a period of at least 12 months.
- 3) Sponsors should be Registered Engineers, AusIMM Chartered Professionals or Chartered members of other relevant organisations. If this is not possible, sponsors should be, in order of preference: Registered Engineers, Fellows of the AusIMM, or professionals who, in the opinion of the CPPC, are of comparable standing, and who are able to assess the applicant's work in the area of focus of accreditation which is being sought.
- 4) Ideally one sponsor should be a Registered Engineer or CP in the area of focus being applied for.
- 5) Only one sponsor may be from the current employer, except where the applicant has less than eight years' experience and the majority of which has been with their current employer. In this case two sponsors can be from the same employer.
- 6) The other two sponsors should be:
  - a) from other organisations, clients, previous employers, or former employees of the current employer, and
  - b) from different stages of the applicant's career, excluding the current workplace, and
  - c) able to assess different periods of employment, if these two sponsors are from the same organisation.