

CONSULTING SURVEYORS NATIONAL (CSN) CONTINUING OCCUPATIONAL EDUCATION (COE) POLICY

1. Background

- 1.1 'Continuing Occupational Education' (**COE**) is the process by which members of the Association of Consulting Surveyors National Ltd (**CSN**) continue to develop and maintain requisite skills and expertise in their practice area to ensure that their occupational services are performed to a high professional standard.
- 1.2 This COE Policy has been prepared for distribution to all CSN's Members to:
- (a) ensure that CSN's Members comply with minimum COE obligations determined by COE; and
 - (b) promote a consistently high standard of practice in the Australian consulting surveying profession.
- 1.3 This COE Policy is limited to setting out the COE requirements that a person must meet to satisfy the participating membership requirements of CSN. Members are separately responsible for determining and complying with any requirements with respect to continuing education or professional development imposed by a body as a condition to their ongoing certification, registration or licence as a practitioner.

2. Objectives

- 2.1 Through the implementation and maintenance of CSN's COE program, CSN has set the following objectives for its Members:
- (a) To establish a pervasive culture of professional excellence within the consulting surveying profession.
 - (b) To improve the knowledge and skill set of its Members so that they can perform their services in a manner which consistently meets and exceeds reasonable professional standards of practice.
 - (c) To improve the quality of surveying services provided to the community.
 - (d) To enhance the reputation of the consulting surveying profession.
 - (e) To encourage the sharing of knowledge, ideas and best practice amongst its Members.
 - (f) To assist Members to succeed in their individual career development plans.
 - (g) To ensure that its Members comply with legislative requirements.
 - (h) To protect the interests of its Members by assisting them to recognise and manage professional risks.
 - (i) To protect the interests of users of consulting services and other Members of the public.
 - (j) To encourage employer Members to promote participation in CSN's COE program as part of their employees' normal duties and key performance indicators.

3. Definitions

- 3.1 Approved Learning Activity means:
- (a) in respect of Individual Members, any of the learning activities listed in Table 3 of this COE Policy;

- (b) in respect of Support Employees, any of the learning activities listed in Table 5 of this COE Policy.
- 3.2 Approved Learning Discipline means:
- (a) in respect of Individual Members, any of the learning disciplines listed in Table 1 of this COE Policy;
- (b) in respect of Support Employees, any of the learning disciplines listed in clause 3.10 of this COE Policy;
- 3.3 **Associate Member** means a person specified in CSN's Register of Members as an Associate Member.
- 3.4 **COE** means continuing occupational education.
- 3.5 **COE Period** means the period commencing on 1 July in any given year and ending on 30 June in the following year.
- 3.6 **COE Point** means the measure of COE compliance calculated as one COE Point for each hour of COE undertaken.
- 3.7 **Corporate Member** means a person specified in CSN's Register of Members as a Corporate Member.
- 3.8 **Individual Member** means a person specified in CSN's Register of Members as an Individual Member.
- 3.9 **Member** means a person specified in CSN's Register of Members as an Individual Member, Corporate Member or Associate Member.
- 3.10 **Support Employee** means any employee of a Corporate Member who provides services associated with the occupational activities of Individual Members and who is not eligible to be an Individual Member (whether or not such employee is an Associate Member).

4. COE Requirements - Individual Members

4.1 Individual Members must undertake a minimum of 15 COE Points in any given COE Period (without provision for carry-over of surplus points into the following year) in any of the Approved Learning Disciplines listed in Table 1.

4.2

Table 1

Approved Learning Disciplines
Cadastral surveying
Mining surveying
Technology use related to surveying
Infrastructure and engineering comprising: <ul style="list-style-type: none"> • Urban road design; Urban drainage design; Urban contract supervision; • Rural road design; Rural drainage design; Rural contract supervision; • Water mains design; Water mains contract supervision; • Sewer mains design; Sewer mains contract supervision; • On site detention and drainage design.

<p>Environment & Planning comprising:</p> <ul style="list-style-type: none"> • Project Management; • Effective Communication; • Negotiation and Mediation; • Economics of Development; • Professional Ethics and Legislation; and • Governance, <p>as included in the Certified Practice Planner course provided by the Planning Institute of Australia.</p>
Building development
Subdivision development
Project management
Mine planning and development
Professional practice management
<p>Risk management including (but is not necessarily restricted to):</p> <ul style="list-style-type: none"> • Risk Averse Procedures and Practices; • Occupational Health and Safety; • Mine Safety Management; • Quality Assurance; and • Professional Liability.
Ethics
Other learning disciplines reasonably relevant to the occupational activities of the relevant Individual Member and approved by CSN

4.3 Notwithstanding clause 4.1 of this Appendix F, where the Individual Member was not a Member of CSN during the whole of a COE Period, then the minimum COE Points required in respect of that COE Period will be reduced on a pro-rata basis by reference to the number of days during the relevant COE Period which the Individual Member was not a Member of CSN.¹

4.4 The total number of COE Points undertaken by Individual Members must include, in respect of each Approved Learning Discipline listed in Column 1 of Table 2, the minimum number of COE Points listed in Column 2 of Table 2 in any given COE Period (or as indicated in Table 2).

Table 2

Approved Learning Discipline	Minimum Points Undertaken
Professional occupational risk management	5
Ethics	1 ^a

a – a minimum of 1 COE Point must be undertaken every 3 COE periods

¹ With the resulting COE Points: if <.50 rounded down to nearest whole number; if ≥.50 rounded up to nearest whole number.

- 4.5 COE Points will only be awarded in respect of COE activities which CSN certifies to be:
- (a) Approved Learning Activities; and
 - (b) of sufficient technical, intellectual and practical content to be relevant to the Individual Member's professional practice as a consulting surveyor.
- 4.6 The maximum number of COE Points claimable in respect of each Approved Learning Activity, in any given COE Period, is shown in Column 2 of Table 3.

Table 3

Approved Learning Activities	Maximum Points Claimable
Attendance at industry conferences, congresses and conventions run by professional bodies	15
Attendance at events, seminars, workshops and lectures run by educational bodies, government departments and private providers	15
Approved courses of an educational nature (including structured learning by internal and external providers; and tertiary courses approved by CSN) provided by educational bodies, government departments and private providers	15
Attendance as a director at a professional surveying organisation's meetings (for example, the Executive Committee of the Association of Consulting Surveyors NSW Inc.)	10
Attendance at discussion groups run by industry bodies	10
Attendance as a member at a professional surveying organisation's sub-committee meetings (for example, the Institution's Survey Practice and Legislative Subcommittee, Mine Survey and Drafting Directions Committee).	10
Attendance at a technical committee of meetings of Local Government or State Government instrumentalities	8
Research, preparation and presentation of papers	8 ^a
Publication of technical papers in peer reviewed journals	8 ^b
Other activities	as approved from time to time by CSN

a - maximum 4 points per paper

b - maximum 8 points per paper

- 4.7 COE activities which do not warrant the allocation of COE Points include, but are not limited to:
- (a) Unstructured conventions with other surveyors or professionals;
 - (b) Time allocated to lunches and breaks at conferences, workshops, seminars, training courses etc.
 - (c) General meetings with clients, lawyers, government officers, instrument companies or similar;
 - (d) Unstructured learning of instrument operations;
 - (e) Attending and contributing to community service organisation meetings or local government association (local council) meetings;

- (f) Marking out a sports oval or similar setting for charitable organisations;
- (g) Ad hoc training of field-hands and assistants; and
- (h) Generic inductions and first aid courses.

5. COE Requirements - Corporate Members

- 5.1 Corporate Members must ensure that all of their employees who are Individual Members undertake COE requirements applicable to Individual Members as set out in clause 4 of this COE Policy.
- 5.2 Corporate Members must ensure that all Support Employees complete the number of COE Points set out in Column 2 of Table 4 in each COE Period.

Table 4

Support Employee Type	COE Points
Full-time Support Employees possessing a TAFE qualification to diploma or advanced diploma level	4
Full-time Support Employees that are senior managers, office managers or client managers	4
Part-time Support Employees possessing a TAFE qualification to diploma or advanced diploma level	0.3% of total hours worked in COE Period ²
Part-time Support Employees that are senior managers, office managers or client managers	0.3% of total hours worked in COE Period ³
Full-time Support Employees that are CAD draughtsman, field party leaders or WHS supervisors	3
Part-time Support Employees that are CAD draughtsman, field party leaders or WHS supervisors	0.2% of total hours worked in COE Period ⁴
All other Full-time Support Employees	2
All other Part-time Support Employees	0.1% of total hours worked in COE Period ⁵

- 5.3 COE Points will only be awarded in respect of COE activities which CSN certifies have been:
 - (a) gained in Approved Learning Activities; and
 - (b) gained in learning disciplines relevant to the duties of such Support Employee (including but not limited to risk management and professional practice management).

² <.50 rounded down to nearest whole number ≥.50 rounded up to nearest whole number.

³ <.50 rounded down to nearest whole number ≥.50 rounded up to nearest whole number.

⁴ <.50 rounded down to nearest whole number ≥.50 rounded up to nearest whole number.

⁵ <.50 rounded down to nearest whole number ≥.50 rounded up to nearest whole number.

Table 5

Approved Learning Activities
Attendance at industry conferences, congresses and conventions run by professional bodies
Attendance at events, seminars, workshops and lectures run by educational bodies, government departments and private providers
Approved courses of an educational nature (including structured learning by internal and external providers; and tertiary courses) provided by educational bodies, government departments and private providers
Other learning activities, approved by CSN

6. Self-assessment of COE compliance

Certification

6.1 At the time of annual membership renewal each Individual Member must provide documentary evidence to the reasonable satisfaction of CSN that it has complied with the COE requirements set out in clause 4. Examples of the type of documentary evidence that will be accepted by CSN include:

- (a) attendance certificates for COE activities, which have been assessed by one of CSN's approved COE providers;
- (b) sign on sheets for COE activities, which have been assessed by one of CSN's approved COE providers;
- (c) receipt or name tag and a copy of the program of the COE activity and a report setting out the learning outcomes achieved.

6.2 At the time of annual membership renewal each Corporate Member must provide documentary evidence to the reasonable satisfaction of CSN, based upon its records, that:

- (a) each of its employees who are Individual Members have complied with the COE requirements set out in clause 4; and
- (b) each of its Support Employees have complied with the COE requirements set out in clause 5.

Record keeping

6.3 Each Individual Member must keep records evidencing the Approved Learning Activities undertaken in each COE Period.

6.4 Each Corporate Member must keep a COE Register recording compliance with CSN's COE requirements in respect of:

- (a) each of their employees who are Individual Members; and
- (b) each of their Support Employees.

6.5 In the event of an audit, Individual Members bear the onus of proving their compliance, and Corporate Members bear the onus of proving the compliance of their employees. In each case this may require the production of additional supporting documentation.

6.6 If a Member fails to satisfactorily support its claimed COE points then those COE points will not be included in calculating whether the Member has satisfied the minimum 15 COE Points requirement.

7. Auditing

7.1 CSN will carry out an annual audit of Individual Members' and Corporate Members' compliance with CSN's COE Policy.

7.2 Members' costs of complying with a CSN audit notice (including preparing supporting documentation and lodging an appeal) will be at the Member's expense.

7.3 CSN expects to audit approximately:

(a) 10% of its Individual Members annually.

(b) 10% of its Corporate Members annually.

7.4 The audit process is generally random in nature. However, CSN reserves the right to select specific members at its discretion.

7.5 CSN will send an audit notice to selected members (requiring proof of their compliance with CSN's COE Policy) after 31 August each year. Members will be given 28 days to comply with the notice. This timeframe may be extended at CSN's discretion, on written request by the selected Member.

7.6 CSN reserves the right to record all audit results on its audit register which may be made publicly available, at CSN's discretion.

7.7 CSN's audit procedure is in addition to any compliance audit carried out by any applicable State or Territory regulatory body or other occupational association to which the Member,⁶ or its employees, may belong. However, CSN may consider any certification of audit compliance issued by such other entity as part of CSN's audit process.

8. Sanctions for non-compliance

8.1 Occasionally, Members and their employees may be unable to meet their obligations under CSN's COE Policy. CSN will consider each case on its merits, including any circumstances where a Member or Member's employee has experienced justifiable and genuine hardship.

8.2 Prior to imposing any sanction or taking any other action, CSN will provide the Member with an opportunity to:

(a) provide further information to challenge the audit finding of non-compliance;

(b) explain the basis of any non-compliance; and

(c) provide submissions including:

(i) proposals by the Member to remedy the non-compliance; or

(ii) any other appropriate sanction.

8.3 Following consideration of such explanation and submissions, CSN will assess each case on its merits and CSN reserves the right to impose sanctions as it deems appropriate.

⁶ For example, the Board of Surveying and Spatial Information, NSW (**BOSSI**) audits approximately 20 per cent of all registered surveyors in New South Wales each year.

- 8.4 Without limiting the discretion of CSN, sanctions may include:
- (a) directing the Member to rectify its non-compliance by acquiring its outstanding COE points in such further period as may be determined and requiring the Member to provide acceptable documentary evidence of compliance to CSN as soon as practicable on completion;
 - (b) the inclusion of the Member in the audit process for the next 2 consecutive COE years to confirm continued COE compliance; or
 - (c) reporting the Member to any applicable state regulatory body or other occupational association to which the Member may belong where the Member has,⁷ or may have, breached the COE requirements of such body.
- 8.5 Where the Member's non-compliance is considered serious (for example, due to the extent of non-compliance, the failure to rectify non-compliance or repeated instances of non-compliance) CSN may deal with such non-compliance by instigating a complaint against the Member under the CSN Complaints Policy. In such circumstances, the sanctions imposed may include:
- (a) suspension of the Member's membership;
 - (b) termination of the Member's membership; or
 - (c) any other sanction available under the CSN Complaints Policy.

9. Exemptions

- 9.1 CSN may exempt a Member from compliance with all or part of its COE requirements on any compelling grounds that CSN considers justifiable. For example, absence from practice whilst on extended parental leave or circumstances in which a surveyor resides temporarily overseas and cannot reasonably fulfil their COE requirements may be considered justifiable.
- 9.2 Applications for exemption based on the pressure of business or geographical location will generally not be viewed favourably by CSN as such reasons demonstrate a lack of commitment to both COE principles and the standards expected of professional consulting surveyors in today's commercial and competitive environment.
- 9.3 Applications for exemption must be submitted in writing to CSN for approval.
- 9.4 Any exemptions granted will only apply to the current COE Period and may be granted with conditions imposed.

⁷ For Example BOSSI in NSW.