



Australian Government

BSBWHS505A Investigate WHS incidents

Release 1

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Modification History

Release	Comments
Release 1	<p>This Unit first released with <i>BSB07 Business Training Package version 7.0</i>.</p> <p>Replaces and is equivalent to BSBOHS508B Participate in the investigation of incidents.</p>

Unit Descriptor

This unit describes the performance outcomes, skills and knowledge required to plan, conduct and report on investigations of work health and safety (WHS) incidents that have resulted in, or have the potential to result in, injury or damage.

It covers conducting an initial assessment of the situation; establishing the scope and legal parameters of the investigation; conducting a systematic analysis to identify underlying causes and actions for prevention; and reporting on the outcomes of the investigation appropriate to the potential severity of the incident, which may include accessing specialist expertise.

Application of the Unit

This unit applies to individuals required to investigate incidents for prevention.

The unit applies to people who work in a range of WHS roles across all industries and who apply a substantial knowledge base and well-developed skills in a wide variety of WHS contexts.

NOTE: The terms Occupational Health and Safety (OHS) and Work Health and Safety (WHS) are equivalent and generally either can be used in the workplace. In jurisdictions where the National Model WHS Legislation has not been implemented RTOs are advised to contextualise the unit of competency by referring to the existing State/Territory OHS legislative requirements.

Licensing/Regulatory Information

No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Element	Performance Criteria
<i>Elements describe the essential outcomes of a unit of competency.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.</i>

Elements and Performance Criteria

1. Ensure initial responses to the incident are properly carried out	<p>1.1 Prepare and implement a workplace procedure for incident investigation</p> <p>1.2 Ensure site of the incident is safe and secured and that the immediate needs of those involved in the incident are met</p> <p>1.3 Ensure WHS legislative requirements are met</p> <p>1.4 Ensure other actions are performed to meet requirements of relevant workplace policies, procedures, processes and systems</p>
2. Develop an investigation plan	<p>2.1 Apply knowledge of WHS legislation and workplace policies, procedures and systems to assist with identifying duty holders and ensure requirements of WHS legislation and workplace policies, procedures, processes and systems are met by the investigation plan</p> <p>2.2 Form an appropriate investigation team</p> <p>2.3 Define the scope and purpose of the investigation and ensure they are appropriate to the scope and nature of the incident</p> <p>2.4 Ensure participation of, and consultation with, individuals and parties as part of the planning process and specify agreed participation and consultation processes to occur during all phases of the investigation</p> <p>2.5 Identify, document and obtain necessary resources to conduct the investigation, including expert advice if required</p> <p>2.6 Identify, address and document barriers to investigation</p> <p>2.7 Ensure planning includes agreed timelines, objectives, responsibilities, roles, documentation, actions and outcomes</p>
3. Collect information and data	<p>3.1 Identify and access sources of information and data</p> <p>3.2 Inspect incident site, equipment and other evidence, and document outcome of inspection</p> <p>3.3 Gather information and data in ways that ensure objectivity, confidentiality, validity and accuracy</p>
4. Analyse information and data gathered to identify immediate and underlying causes and practical prevention measures	<p>4.1 Ensure investigation team understands, identifies and applies the conceptual bases for the analysis</p> <p>4.2 Construct timeline of events leading up to the incident</p> <p>4.3 Investigate key events, conditions and/or circumstances that together resulted in the incident</p> <p>4.4 Develop actions, interventions and practical measures to prevent the re-occurrence of the incident and to address root causes</p>

	4.5 Specify recommended actions, interventions or measures, and plans for their implementation and evaluation
5. Compile and communicate investigation report	<p>5.1 Prepare a report on the investigation, phrasing it in objective terms</p> <p>5.2 Cite evidence and basis for conclusions and recommendations</p> <p>5.3 Communicate the report to individuals and parties as appropriate</p>

Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required skills

- analytical skills to:
 - analyse relevant workplace information and data
 - contribute to the assessment of resources needed to manage risk and where appropriate access these resources
 - develop actions, interventions or measures to prevent re-occurrence of the incident
 - identify areas for WHS improvement
 - make accurate observations of workplace tasks and interactions between people, their activities, equipment, environment and systems
- communication skills to communicate effectively with individuals and parties at all stages of the investigation
- consultation and negotiation skills to support development and implementation of the investigation plan
- information technology skills to:
 - access and download internal and external information and data on WHS
 - use a range of communication media
- numeracy skills to develop and implement the investigation plan
- project-management skills to support development and implementation of the investigation plan
- research skills to:
 - access relevant WHS information and data
 - identify areas for improvement
 - interpret information and data.

Required knowledge

- ethics related to professional practice
- how the characteristics and composition of the workforce impact on WHS risk and the management of WHS, including:
 - communication skills
 - cultural background and diversity
 - gender
 - labour market changes
 - language, literacy and numeracy levels of the workforce
 - structure and organisation of the workforce, for example part-time, casual and contract workers, shift rosters, geographical location
 - workers with specific needs and limitations
 - workplace culture towards alcohol and other drug use
- internal and external sources of information and data relevant to the investigation
- models of incident causation and injury processes

- nature of workplace processes (work flow, planning and control) and hazards relevant to the workplace
- organisational WHS policies, procedures, processes and systems
- requirements under WHS legislation for notifying and reporting incidents and enforcement notices; and rights and powers of WHS inspectors
- types and characteristics of incidents.

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	<p>Evidence of the following is essential:</p> <ul style="list-style-type: none"> • investigation of WHS incidents in a systematic manner • initial assessment of the situation and the establishment of an investigation plan • recommendations arising from the investigation • identification of immediate and underlying causes, and construction of a timeline of events leading up to the incident with intervention points on the timeline for prevention and a root tree analysis.
Context of and specific resources for assessment	<p>Assessment must ensure access to:</p> <ul style="list-style-type: none"> • workplace documents and case studies and, where possible, real situations • office equipment and resources • other personnel involved in investigations.
Method of assessment	<p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> • analysis of responses to case studies and scenarios • assessment of written reports on incidents • demonstration of techniques used to conduct WHS incident investigations • direct questioning combined with review of portfolios of evidence and third-party reports of on-the-job performance by the candidate • observation of performance in role plays • observation of presentations • oral or written questioning to assess knowledge of requirements for reporting under WHS legislation, including notification and reporting of incidents • review of authenticated documents from the

	<p>workplace</p> <ul style="list-style-type: none">• evaluation of area checks after an incident• scoping of the investigation• recording of documentary evidence• research of causative events.
Guidance information for assessment	<p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</p> <ul style="list-style-type: none">• other BSB07 WHS units.

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

<i>Incident</i> includes:	<ul style="list-style-type: none"> • accidents • incidents as referred to in WHS legislation • major to minor incidents resulting in: <ul style="list-style-type: none"> • major to minor injuries and diseases • major to minor damage to property, equipment, work processes or the environment • near misses, where no injury or damage occurs.
<i>Immediate needs</i> may include:	<ul style="list-style-type: none"> • first aid • emergency evacuation and medical treatment • counselling and other personal support.
<i>WHS legislative requirements</i> may include:	<ul style="list-style-type: none"> • complying with specific requirements of WHS legislation relating to incident and incident notification, such as: <ul style="list-style-type: none"> • for registered major hazard facilities • reviewing general workplace management measures and specific hazard control measures following a notifiable incident • preserving incident sites • complying with non-disturbance notices.
<i>WHS legislation</i> may include:	<ul style="list-style-type: none"> • Acts • regulations • codes of practice.
<i>Duty holders</i> may include:	<ul style="list-style-type: none"> • as specified in WHS Acts: <ul style="list-style-type: none"> • persons conducting businesses or undertakings (PCBUs) or their officers • workers • other persons at a workplace.
<i>Individuals and parties</i> may include:	<ul style="list-style-type: none"> • community • contractors • coroners • designers • government agencies, including WHS and emergency services agencies

	<ul style="list-style-type: none"> • importers • installers • insurance companies • internal and external specialists • managers and supervisors • manufacturers • media • occupational health and safety professionals • organisation's board • PCBU's or their officers • suppliers and distributors • union representatives • worker assistance personnel • workers and family members.
Barriers to investigation may include:	<ul style="list-style-type: none"> • availability of required resources, information and data, for example in relation to specific workplace issues, such as substance abuse • availability of witnesses • cultural issues • language • legal restrictions or limitations (temporary, short-term or long-term) • length of time from when incident occurred or was first identified • location and/or accessibility of site • management and worker attitude, including desire to protect self and others • political and community stakeholder sensitivity • time limits imposed • unsecured incident site.
Conceptual bases for the analysis includes:	<ul style="list-style-type: none"> • adopting an open-minded and objective approach • analysing policies, procedures, processes and systems in place at the time of the incident • focusing on the how, what and why of the incident • not focusing on individual behaviour or fault • using applicable models of causation and occurrence.
Timeline of events may include:	<ul style="list-style-type: none"> • events and processes that extend back in time as far as required to identify root causes • not just focusing on recent and immediate events and processes.
Root causes may include:	<ul style="list-style-type: none"> • workplace:

	<ul style="list-style-type: none">• policies• procedures• processes• systems.
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Unit Sector(s)

Regulation, Licensing and Risk – Work Health and Safety