BSBWHS505

Investigate WHS incidents

ASSESSMENT FOR BSBWHS505

Student name	Shaun Coffey
Date of assessment submission	16/12/2019

Trainer/Assessor's name	
Date of assessment marking	Click here to enter a date.
Outcome for unit	☐ Competent ☐ Not Yet Competent

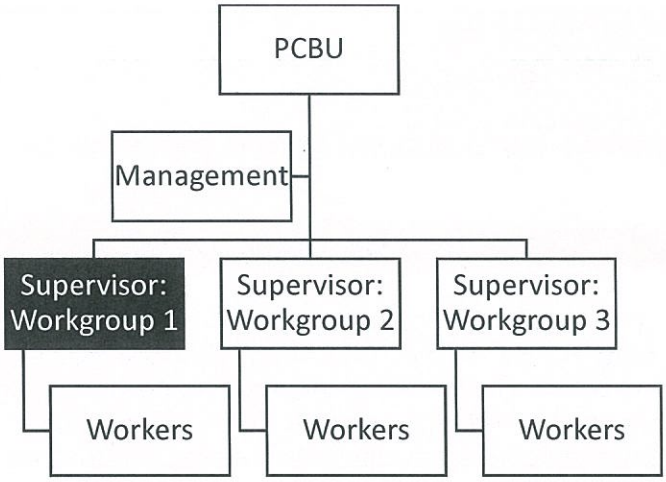
TASK INSTRUCTIONS

- The assessment for this unit of competency consists of the following:
  - **A series of activities:** Some of these activities will require you to provide a response within this document, others will require you to gather evidence to demonstrate your knowledge and skills (overview below)
  - **Quiz:** You will be required to complete a series of questions to demonstrate your knowledge and skills.
  - **Practical task:** You will be required to have an observer attest to your knowledge and skills and sign a report to this effect.
- At times, you will be provided with a specific business context to which you must respond, otherwise it is anticipated that you will use a workplace of your choosing (your own, or hypothetical) to provide the context to the task.
- At all times, the responses in your assessment must reference **Australian** (Queensland or Federal) documentation, including legislation, regulations, codes of practice, standards and guidance publications.

ACTIVITY OVERVIEW	REQUIRED FOR SUBMISSION
1. Initial responses to incidents	• Workbook response (below)
2. Planning the investigation	• Workbook response (below)
3. Collecting and analysing information and data	• Workbook response (below)
4. Completing investigation report	• Workbook response (below)

ACTIVITIES

For the following activities, you will assume the role of a workgroup supervisor in a workplace of your choosing (see example organisational chart below).



Name a workplace and workgroup that you are (or hypothetically are) the supervisor for. Also, identify a likely incident to occur within this workplace which requires investigation. It may have actually happened or could hypothetically happen.

Name of workplace	Construction Site A
Workgroup	Construction crew – 2 x Carpenters, Apprentice, and Labourer
Describe incident	A carpenter using a circular saw has cut through the power supply cord for the circular saw, resulting in an electric shock.

ACTIVITY 1

Consider the initial responses to the incident, in preparation for an investigation:

a) How would you ensure the incident site is safe and secure?
   - Describe how you would address the immediate needs of those involved in the incident

b) Outline the WHS legislative requirements for your workplace regarding incident response (i.e. duty holders, notification/reporting, preserving incident sites) as outlined in:
   - WHS Acts
   - WHS Regulations

c) Outline the your workplace's requirements regarding incident response as outlined in:
   - Policies
   - Processes
   - Procedures
   - Systems

Ensuring safety and security of site
My priority would be to ensure that there is no further risk of electric shock. This can be done by terminating power at the GPO or the main breaker at the distribution board. Secondly would be removing people from the area and erecting a barricade to prevent entry to the area of the incident. Simultaneously, I would be getting the individual assessed by a first aider to determine whether an ambulance or escort to hospital is more appropriate and ensure the recommended is done ASAP.
WHS Acts
PCBUs are given the primary duty of care under Section 19 of the WHS Act to, so far as reasonably practicable, ensure the health and safety of workers at their place of business. This includes the response, investigation, and reporting of incidents that occur as part of their operation. Section 38 of the Act requires PCBUs to give notice to the regulator immediately after becoming aware a notifiable incident has occurred. Workers have a duty of care under section 28 of the Act to follow reasonable instruction given by a PCBU. This would extend to the response, investigation, reporting, and assisting in emergencies / incidents. Section 39 states that persons with management or control of a worksite have a duty to ensure the site is preserved. Inspectors are empowered by section 160 of the Act and are permitted under Sections 160-163 to enter a workplace with/without the consent of a PCBU to conduct investigations. Part 10 of the Act state that Inspectors are able to give notices to PCBUs for non-disturbance, prohibition, and improvement.
WHS Regulations
Sections 711 and 712 (Part 12.4) of the Regulation list the responsibility for relevant persons to notify the regulator immediately after becoming aware of a notifiable incident and for persons with management control of a workplace to preserve an incident site until an inspector arrives.
Policies
Company policies state that emergency response to incidents must aim to (if possible) safely remove persons from harm, place mitigative controls immediately to ensure no further persons are exposed to the hazard. Additionally, measures must be made to ensure the area remains undisturbed unless there is a direct threat to life or a significant risk to people or the environment. Management should be notified and if required the relevant work authority (Workplace Health and Safety Queensland).
Processes

Procedures
The procedure for emergency response highlights the need to preserve life and minimise the impact of a given incident; for example, contain a spill of a hazardous substance or provide first aid, remove people from the area, barricade a hazard, etc. It includes the need to report the incident to the workgroup supervisor and a process for escalating.
Systems
The Construction Safety Plan and site induction system refer to the relevant processes and procedures regarding incidents and emergency response. They highlight the expectation during such events and provide guidance how to meet the expectations.

Outcome for Activity 1	☐ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	

ACTIVITY 2

You are required to develop an investigation plan to address the incident:

a) Define the scope and purpose/objectives of the investigation
   - Ensure this reflects the scope and nature of the incident
   - Explain which individuals/parties you would consult with in planning the investigation, including deciding between options (e.g. internally, external advisors)

b) Outline the requirements of the investigation in the form of an action plan
   - Identify resourcing requirements, and allocate roles and responsibilities
   - Prioritise tasks and specify timelines for the investigation
   - Identify how the outcomes of the investigation will be documented

c) Identify factors that may impact on the investigation and how they might be addressed. Consider the impact of:
   - Workers with specific needs and limitations (e.g. cultural background and diversity, low language, literacy and numeracy levels)
   - Structure and organisation of the workforce (i.e. part time vs casual vs contract workers; shift rosters; geographical location)
   - Workplace culture relating to gender

Ensure that the requirements from Activity 1 are met through your responses to Activity 2.

Scope and purpose/objectives of the investigation

The scope of the investigation is to obtain facts (on what, why, how), contributory factors, and root causes of the incident. The objectives / purpose is to identify how and why the incident occurred to prevent reoccurrence by implementing new or adapting existing processes / procedures / systems / policies in light of the learnings from the investigation.

Action plan

An investigation team needs to be established, including a lead and supporting person to conduct the investigation and review the data. Time will be required as well as appropriate facilities to give persons privacy when writing statements on the incident.

Establish team to investigate the incident within 24 hours of incident.
Collect all relevant witness statements within 24 hours of incident.
Compile all relevant safety documentation within 24 hours of incident.
Review all information and construct a timeline of events within 5 days of incident.
Compile a report on the incident as described below within 10 days of incident.

The investigation should be complied into a report that explains the incident, describes the data collected, the findings of the incident and what has been done to rectify the root causes and prevent reoccurrence.

Impacting factors

Potential impacts on the investigation include bias or discrimination, for example an investigator that is focused on placing blame due to their race or religion or a previous altercation with them. People with limited literacy may find writing difficult, or persons in shock may find it difficult to give detailed / accurate information. These factors need to be managed appropriately to ensure that the investigation is not compromised.

Outcome for Activity 2	☐ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	

ACTIVITY 3

Consider the collection and analysis of information and data:

a) Explain why and how you will inspect the incident site.
b) Explain why and how you will inspect the equipment used at the time of the incident.
c) Identify other evidence you would gather regarding the incident.
d) Outline how you would gather information and data in ways that ensure objectivity, confidentiality, validity and accuracy.
e) What reasoning would you give to the investigation team to justify using the conceptual basis for the analysis, namely:
   - Adopting an open-minded and objective approach
   - Analysing policies, procedures, processes and systems in place at the time of the incident
   - Focussing on the 'how', 'what' and 'why' of the incident
   - Not focussing on individual behaviour or fault
   - Using applicable models of causation and occurrence

Inspecting the incident site
I would inspect the site because as the supervisor, I am responsible for it and need to understand what has happened, that there is not imminent risk to others, and that the regulatory and organisational processes have been followed. I would start with ensuring that affected persons are receiving proper attention before checking that there is no further danger and the area is clear and preserved. I would then look for any visual indication of what has occurred, and any relevant evidence / information. I would check the safety documentation (such as JSA or risk assessment related to the task) and try to ascertain if there have been any breakdowns / contribution from there.
Inspecting equipment
I would inspect the equipment once confirmed by WHSQ that this is not classed as disturbing the scene. After a visual survey to identify hazards, I'd inspect the equipment with gloves on and not before ensuring that the main breaker power supply had been turned off.
Other evidence
I would obtain witness statements, relevant safety documentation relevant to the incident (SWMS / JSA, etc) and any information from the first aider / treating medical centre in preparation for the inspector arrival. I would also take photo graphs of the scene and draft a report on the event. After the WHSQ inspection, I would collect the saw and extension lead, later obtain a statement of events from the worker electrocuted, and place interim controls for workers using saws until the investigation is completed.
Process for gathering information and data
All conversations and records will be conducted / viewed in private environment as well as being stored in a locked cabinet to ensure privacy is maintained. Statements will be signed by the individuals making them and include only facts – all assumptions will be omitted.
Briefing the investigation team
I would ensure the investigation team were focused on finding the facts. As without identifying the true root causes we cannot ensure they are rectified and reoccurrence is prevented. There is no desire to blame an individual, the focus is not to identify human error, but to find how the overall environment (systems, policies, equipment, procedures, culture, etc) could have prevented the incident.

Outcome for Activity 3	☐ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	

ACTIVITY 4

Complete an investigation report of the identified incident for your PCBU in the following structure:

1.0 INTRODUCTION

- Outline the background of your company, its role and purpose
- Briefly describe the incident that has taken place
- Define the scope and purpose of the investigation

2.0 INVESTIGATION FINDINGS

- Construct a timeline of events leading up to the incident (e.g. who was involved, what happened, initial responses to meet legislative/organisational requirements)
- Describe the scope of the investigation (e.g. identify investigation team, sources of information and data, site/equipment inspections that took place, other evidence gathered, experts consulted)
- Outline how information and data was gathered using objective, confidential, valid and accurate methods.
- Highlight the root causes of the incident:
  - Note the key events, conditions and/or circumstances that together resulted in the incident
  - Consider the effectiveness of workplace policies, procedures, processes and systems

3.0 RECOMMENDED PREVENTION MEASURES

- Highlight points at which the incident could have been prevented
- Outline actions, interventions and practical measures that would prevent reoccurrence of the incident, which address the root causes identified
  - Evaluate between alternative strategies to identify the best option(s) for the workplace, identifying the criteria used for this decision
  - Identify resourcing requirements, and allocation roles and responsibilities
  - Prioritise tasks and specify timelines for implementation
  - Outline how the effectiveness of these solutions will be measured and evaluated

4.0 CONCLUSION

- Explain the importance of WHS to your company, and the value of addressing and avoiding incidents

TIPS:

- Use the report template (below) and elaborate on the points above.
- Write in simple English. Remember that people from a range of backgrounds and abilities would be reading this document.
- Be sure to reference evidence to back up your conclusions and recommendations, providing sufficient detail so that the reader can look into it further.

1.0 INTRODUCTION

Coffey Constructions is a small family owned construction business that provides maintenance services for Low Rise and Medium Rise buildings. Formerly, a large operation that provided construction services for large residential projects, over the previous years it has reduced in size and operation to a single employee. The goal of the company is to expand into providing maintenance for the resources sector and position to tender larger works in the industry whilst simultaneous increasing staff numbers.

The incident that occurred involved an employee using a circular saw who cut through the insulation of an extension lead and later received an electric shock.

The scope of the investigation is to obtain findings, facts, contributory factors, and root causes of the incident. The objectives / purpose is to identify how and why the incident occurred to prevent reoccurrence by implementing new or adapting existing processes / procedures / systems / policies in light of the learnings from the investigation

2.0 INVESTIGATION FINDINGS

Incident Timeline

10:30 - carpenter returned from work to cutting station and commenced 'ripping' down bracing ply for packing.
10:35 – throughout the initial cuts, the extension cord was lodged underneath the bracing ply on top of the saw horse.
10:36 – Carpenter cut through the extension cord with circular saw. The RCD supplying power to the saw tripped and was reset as no fault was found.
10:40 – Carpenter completed task and was rolling up extension lead, where they made contact with the exposed wire, receiving an electric shock. The RCD again tripped. A college witnessed the even and brought the person to the workgroup supervisor.
10:42 - The supervisor contacted the first aider, who recommended the worker be taken immediately to hospital for monitoring. The Supervisor requested the area to be barricaded with danger tape and all work to cease whilst the first aider escorted the worker to hospital.
10:44 - The supervisor inspected the scene to ensure it was secure and called the management team to notify them that a dangerous incident had occurred.
10:46 – management contacted Workplace Health and Safety Queensland to notify them of the incident.
10:50 – worker arrived at hospital and was monitored at until 14:00 and cleared to return to work on normal duties.
11:30 – Inspector arrived and carried out an investigation.

Investigation Team / Methodology

The investigation team included Shaun Coffey (Work Group supervisor) and Paul Dennings (Manager). Interviews were conducted with the worker, the witness, and the first aider. The doctor's report, site supervisor's diary / incident notes, and WHSQ inspectors report were used to compile information for the investigation.

Data Collection

The data from interviews was recorded as statement of facts and signed by persons giving them. Reports and diaries concerning the incident were stored in a locked filling cabinet at the site with only the supervisor having access to it.

Root Causes

The root causes of the incident were found to be:

1. The extension cord become lodged under the bracing ply and was not noticed.
2. An electric saw was used as opposed to a battery-operated saw.
3. The Worker did not use gloves to roll the extension lead.

3.0 RECOMMENDED PREVENTION MEASURES

The incident could have been prevented if a battery-operated saw was used, or if the extension lead was not lodged under the ply / noticed to be lodged under the ply and removed, or if the worker had used gloves to roll the extension lead.

To prevent reoccurrence, battery operated saws could be mandated for use when cutting board / sheet material. Overhead GPOs could be used at cutting stations to ensure leads are kept off the ground / visible, or gloves could be required when rolling up extension leads. Of these options, switching to battery saws is likely the best option. This eliminates the hazards associated with extension leads whilst cutting materials and provides a one-off cost, as opposed to an ongoing cost (associated with over GPOs at every job).

The supervisor is tasked with purchasing new battery-operated saws and informing the staff on the switch via a toolbox talk due 10/01/2019. The workers should be consulted on the recommendation prior to ordering the new saws.

The effectiveness of the controls will be monitored by an inspection on a cutting station after the change has been implemented. This should also include conversations with the workgroup and their thoughts on the change.

4.0 CONCLUSION

Beyond the legislative duty of health and safety for workers and the PCBU of Coffey Constructions, the importance of safety lies in the reasons why people should be safe. For example, their families, friends, hobbies, capacity to earn an income, and their life outside work. Incidents at work have the capacity to affect not only an individual but a family and the extended work group. The value of addressing incidents ensure legislative compliance, minimises the potential for the situation to get worse, and finding out the root causes to prevent reoccurrence. Avoiding incidents is important as it means that workers are safer, moral is not damaged, and people feel safe at their place of work.

Outcome for Activity 4	☐ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	

QUIZ

QUESTIONS	CORRECT
1. Which of the following matters are considered as initial responses to an incident? Select all that apply. ☒ First aid ☐ Evaluation of response ☒ Preserving the incident site ☒ Evacuation	☐
2. Under Part 3 of the *Work Health and Safety Act 2011* (Qld), a PCBU must notify Work Health and Safety Queensland about all incidents that occur in the workplace, even if there is no injury or damage caused. ☐ True ☒ False	☐
3. Which of the following should be considered when developing an investigation plan? Select all that apply. ☒ WHS legislation ☒ Workplace policies, procedures, processes and systems ☒ Appropriate selection of a team for the scope of the investigation ☐ Consultation and participation of individuals/parties with planning ☒ Obtaining necessary resources for investigation, including expert advice	☐
4. Under Part 9 of the *Work Health and Safety Act 2011* (Qld), which of the following rights and powers does a WHS inspector possess? Select all that apply. ☐ To provide information and advice about WHS compliance ☐ To assist in resolving WHS issues in the workplace ☒ To inspect a workplace, including investigation of WHS incidents ☒ Enter a workplace with or without the PCBU's permission	☐
5. Which of the following factors would be considered barriers to an incident investigation? Select all that apply. ☒ Availability of witnesses due to organisational structure (e.g. casual employees, shift work) ☒ Differences in understanding due to diversity (e.g. cultural background, low language, literacy and numeracy levels) ☒ Attitudes of investigators (e.g. negative views of opposite gender) ☒ An extended time passing since the incident occurred	☐

6. Under Part 10 of the *Work Health and Safety Act 2011* (Qld), which of the following types of notices may be issued by a WHS inspector? Select all that apply. ☒ Improvement notices ☒ Non-disturbance notices ☒ Prohibition notices ☐ Time out notice	☐

Outcome for Quiz	☐ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	

PRACTICAL TASK

You are required to have a suitable observer verify your ability to complete the following tasks. These tasks may be simulated or real.

TASKS		VERIFIED
A.	Work with others to carry out initial responses to a notifiable incident: • Ensure incident site is safe and secured, addressing the immediate needs of those involved • Ensure workplace policies, procedures, processes and systems are followed (e.g. evacuation procedures, providing support, requesting information from those involved) • Ensure WHS regulator is notified	☑
B.	Take a leadership role when consulting with others to develop and document an investigation plan: • Determine scope and purpose of investigation, including timelines • Form an appropriate investigation team and assign responsibilities and roles • Identify and evaluate alternative strategies and resources for investigation process • Obtain necessary resources for investigation • Ensure requirements of WHS legislation and workplace policies, procedures, processes and systems are met by the plan	☑
C.	Work in investigation team to collect information and data: • Inspect incident site, equipment and other evidence (e.g. witnesses) • Extract mathematical information, as required • Gather information and data in ways that ensure objectivity, confidentiality, validity and accuracy • Electronically document outcome of inspection	☑
D.	Work with others to analyse information and data: • Construct a timeline of events leading up to the incident • Analyse numerical data, key events, conditions and/or circumstances • Demonstrate and open-minded and objective approach • Analyse policies, procedures, processes and systems in place at the time of the incident • Focus on the 'how', 'what' and 'why' of the incident, using models of causation and occurrence rather than focussing on individual behaviour or fault	☑
E.	Consult with others to determine prevention measures: • Develop and detail actions, interventions and practical measures to address root causes and prevent the reoccurrence of the incident • Identify how solutions will be measured and evaluated to determine effectiveness	☑
F.	Prepare and verbally present an electronic investigation report to relevant parties (e.g. PCBU, Trainer/Assessor): • Identify the events leading up to the incident, immediate and underlying causes and points at which the incident could have been prevented • Explain recommendations arising from the investigation • Cite evidence and basis for conclusions and recommendations • Develop appropriate report for audience and use objective language	☑

Name of observer	Allan Martin
Role of observer (Confirm their suitability to sign)	☑ Trainer/Assessor ☑ Other (specify): Operations Team Leader
Phone number of observer	041 8877031
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Signature of observer	
Date	Click here to enter a date. 12-1-19
Comments	

Outcome for Practical Task	☑ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	