



Construction Skills Training Centre



We are here to improve your future

BSBWHS505A
Investigate WHS incidents
Workbook

For information on the courses the CSTC offer, please contact:
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Quality instruction, service, fairness and integrity - always



Our Purpose

CSTC's purpose is to ensure the building and construction industry's long term investment in the workforce through maintaining a commitment to the training and ongoing development of industry workers. CSTC encourages individuals to achieve the highest level of skill and knowledge possible in their chosen vocational area, therefore resulting in improved self esteem, personal growth, employment opportunities, safety into the workplace and quality of life.

Vision

CSTC strives to be recognised as a learning centre of excellence for vocational education and training. We are an organisation that continually strives to achieve the highest possible standards of education, training and consultancy services specific to the building, construction and other related industries.

CSTC provides training in the following areas:

- Occupational Health and Safety
- High Risk Work Licenses – Scaffolding, Dogging, Rigging, Forklift, Crane operation
- Plant Operations
- Confined Spaces
- First Aid
- Asbestos Removal
- Concreting
- Road Construction
- Bridge Construction
- Tunnel Construction
- Pipe Laying
- Trenchless Technology
- Bitumen Surfacing
- And much more!

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This learning product could only be made possible because of the dedicated CSTC team.

ASSESSMENT FOR INSERT UNIT

Student name	Lee Maskell
Date of assessment submission	19/03/2015

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)
 - **Knowledge questions:** You will be required to complete a series of questions to demonstrate your knowledge and skills.
 - **Third Party Report:** You will be required to have a third party 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
a. Apply initial response to incidents in the workplace	• Workbook response (below)
b. Plan the investigation process	1. Workbook response (below)
c. Source and organisation incident information	2. Workbook response (below)
d. Analyse and present investigation findings	3. Workbook response (below)
e. Complete incident investigation reports	4. Workbook response (below)
f. Make a presentation	5. Workbook response (below)

ACTIVITIES**ACTIVITY 1**

You are required to research an actual incident that occurred in the industry in which you are employed or within your chosen organisation.

You are then to assume the role as a member of the incident investigation team.

Consider your responsibility regarding the initial response to the incident and answer the following questions:

Question 1:

If you were the first member of the incident investigation team to arrive to an incident involving damage or injury, what would your initial actions be?

In the event of an incident, immediately:

- Address any actual or potential impact on people's safety
- Provide containment and safeguard life
- Stop the activity and make the area safe
- Provide or initiate medical care as required
- Safeguard property and assets
- Advise a Supervisor or Line Manager
- Initiate the Emergency Response Plan if required
- Secure the area and/or information to ensure the preservation of any material that may be required by an incident investigation.
- Do not resume work until the line manager and relevant authorities (as required) are satisfied that it is safe to do so

Question 2:

Why is security of the incident scene integral to the investigation process and how can it be maintained?

Work Health and Safety Act 2011 Part 3 s 39 Duty to preserve incident sites

(1) The person with management or control of a workplace at which a notifiable incident has occurred must ensure so far as is reasonably practicable, that the site where the incident occurred is not disturbed until an inspector arrives at the site or any earlier time that an inspector directs.

Security of the incident scene is integral to the investigation to prevent material evidence from being removed or relocate in any way.

Barricade the area with ie caution tape, signage, flagging and if a serious incident a guard may be required

Question 3:

What specific legislative documents delegate obligations for workplace incident response and investigations in the industry in which you are employed?

Work Health and Safety Act 2011 Part 3—Incident notification

Work Health and Safety Regulation 2011 - Division 4 Emergency plans

Work Health and Safety Regulation 2011 Subdivision 3 Emergency plans and safety equipment

Work Health and Safety Regulations Chapter 12 - Part 12.4 Incident notification

Code of Practice: Work Health and Safety Management System

Question 4:

When an incident has occurred within your industry or organisation, to which departments or external bodies must the incident be reported?

	Individual	Supervisor or line manager	Business Unit General Manager	Executive GM / Division CEO
Significant Incidents	Immediate to supervisor or line manager,	Immediate to Field M, HSE and Business unit GM	Within 24 hours to Executive General Manager, Chief Risk Officer, and Group General Council	Within 48 hours to Origin's Managing Director
Serious Incidents	Immediate to supervisor or line manager	Immediate to Field M, HSE Within 24 hours to Business unit GM	Within 2 business days to Executive General Manager, Chief Risk Officer, and Group General Council	
Moderate Incidents	Immediate to supervisor or line manager	Immediate to Field M, HSE		

Notify Workers and Families: Responsibility: Project Manager/ Business Unit GM

Notify insurance - Responsibility: Project Manager/ Business Unit GM

Notify Group Manager Insurance in circumstances where third party or members of the public are involved.

Notify external authorities - Responsibility: Project Manager

Notify the relevant regulatory authorities in accordance with the relevant Federal, State or Territory requirements.

Notify community:

- [Workplace Health and Safety Queensland, Department of Justice and Attorney-General \(WHSQ\)](#)
- [Electrical Safety Office \(ESO\) - Department of Justice and Attorney General](#)
- [Department of Natural Resources and Mines](#)
- [WorkCover Queensland](#)

Question 5:

Using the incident scenario you have researched, what factors may have an impact on the effectiveness of the investigation.

For each factor you identify provide an explanation as to how it may potentially impact the investigation.

People	Witnesses - Not reliable, No witnesses, perception inconsistent - Witness stake in event - Conflict of interest
Environment	Poor physical environment, Difficult surface conditions, Extreme weather conditions, Poor ventilation, Excess or lack of water - may have caused, assisted, the event or disturbed evidence
Equipment	Faulty or misused vehicles, plant, equipment, infrastructure, tools, Signs, barricades, PPE or lack of - can assist or cause incidents
Procedures	Procedures, standards, documents, maps, charts, reports - Misinterpretation, out of date, not followed inspections, work instructions, audits, Observations - Not completed, overlooked, lacked quality, monitored, not monitored
Organisation	Organisational structure, supervision, policies, reporting, risk assessments - Established, quality, consistency, quantifiable, communicated, evident

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

ACTIVITY 2

Continuing to use the incident referenced in Activity 1, develop an incident investigation plan.

Question 1:

What procedural information can be found within your own organisation that may be used to plan the incident investigation process?

Incident Management Process – ORG-RSK-001
 Incident Investigation Procedure –ORG-RSK-PRO-001
 Incident investigation Report - Basic - ORG-RSK-TEMPLATE
 Incident Investigation Report - Full - ORG-RSK-TEMPLATE

Question 2:

Explain how each procedure listed in your answer to question 1 would be accessed and why it is integral to the process for planning the incident investigation.

Incident Management Process	Access: Intranet / online HSE management system Outlines Company required response and notification stages. Outlines Company required Investigation levels set against significance of incident
Incident Investigation Procedure	Access: Intranet / online HSE management system Company approved standards and procedures of an incident investigation Outlines: responsibilities, requirements, initiating investigation, data collection, reporting, recording
Incident investigation Report - Basic	Access: Intranet / online HSE management system Company approved standard Template Assists with consistency and quality reporting
Incident Investigation Report - Full	Access: Intranet / online HSE management system Company approved standard Template Assists with consistency and quality reporting

Question 3:

What persons within your organisation would you include as part of your incident investigation team and provide an explanation as to why each person/ role was chosen?

Investigation Team Members	supervisors/frontline managers, Engineering maintenance staff , WHS personnel, WHS committee members	On site, On task, first point of contact when incident occurred Expert in operational equipment and work scope Knowledge in plant and machinery HSE Knowledge and field knowledge Field knowledge
Internal investigators To participate as a member of an investigation team, a person must have undertaken the approved training course within the last three years, or have acceptable refresher training and/or investigation experience. Lead investigator To be considered competent to lead an investigation team, a person is required to be a qualified external or independent internal investigator for Full investigations, and to have either led, conducted or participated in three or more Full investigations in the past three years; or participated in the Incident Investigation Mentoring program.		

Question 4:

Detail the scope of your incident investigation and list the investigation objectives.

Scope of investigation

Incident response and notification

Incident recording

Incident investigation

Corrective and preventative actions

Incident sign-off

Review, analysis and reporting

Investigation objectives

Establish the relevant facts surrounding the incident

Identify the direct cause(s), and any underlying causes and contributing factors

Recommend preventive and corrective actions

Report findings from the investigation

Share lessons learned

Question 5:

What factors will contribute to you determining the objectives of the investigation and ensuring they are achievable?

P	People – Witnesses and Associated people
E	Environment – Weather , / Workplace Incident Scene, work pressures
E	Equipment - Vehicles, plant, tools, infrastructure, etc.
P	Procedures – Instruction, Existing maps, charts, documents, reports, monitoring evidence
O	Organisation – procedures, management, processes

Question 6:

Who are the stakeholders in the incident investigation and how will each stakeholder be included or consulted in the incident investigation process?

Workers involved in incident	Interview / Witness statement
Worksite group	Interview / Witness statement
Supervisors	Interview / Witness statement
Contractor Management	Notification / Interview / Meetings
Client Management	Notification / Investigation report / Meetings / Review & Analysis Meetings
regulatory authorities	Notification / Investigation report

Project 1:

Create a table listing all the obstacles or problems foreseeable in the undertaking of the investigation process. For each of the foreseeable problems develop a strategy to overcome the problem.

Note: Attach the completed table to your assessment portfolio.

Project 2:

Develop an 'Action Plan' for the incident investigation process.

The 'Action Plan' must detail the incident investigation process and prioritise the collection of time sensitive information. Be sure to delegate actions/ responsibilities to all members of your incident investigation team.

Note: Attach the completed 'Action Plan' to your assessment portfolio.

Outcome for Activity 2

- ☐ Satisfactory
☐ Not satisfactory

Project 1:

Create a table listing all the obstacles or problems foreseeable in the undertaking of the investigation process. For each of the foreseeable problems develop a strategy to overcome the problem.

Investigation Process	Obstacles	Strategy to overcome
People	Lack of understanding Lack of time Conflict of interest Rostering / shift changes Tokenism Confidentiality Supervision entanglement	Communicate purpose and objectives of investigation / Communication via HSR Communicate with supervisor / site manager / timelines needed to complete investigation Conduct interviews in private / do not reveal names Identify key witnesses – check rosters and ensure they are interviewed as a priority Ensure the worksite is kept informed and updated through the process Conduct interviews in private / do not reveal names Discuss and agree with incident owner Supervision and communication methods Risk assess / photograph / diagrams / video / disengage
Environment	Weather / weather changes Extreme weather Work continuance Workgroups Work hours Night time Subsidence/ collapse	Protect the incident site as soon as possible / photograph immediately / draw diagrams Review forecast / protect site until weather subsides Gain site managers immediate agreeance to stop work / communicate to supervisors / workers Appraise worksite and identify other work groups / communicate immediately and update Gain knowledge of any variation in regular work hours – ie public holidays Plan for lighting Risk assess / photograph / diagrams / video / stabilise
Equipment	Operation Ownership Unstable entanglement	Identify if needed as functional part of worksite ie generator / find alternative Identify owner of plant / communicate process and keep up dating Risk assess / photograph / diagrams / video / stabilise Risk assess / photograph / diagrams / video / stabilise
Procedures	Non disclosure Quality Absence	Witness statements / interviews / review of previous days, weeks documentation Review Lead indicators / site communications pre starts, toolbox talks
Organisation	Non disclosure Mismanagement Contractor conflict of interest	witness statements / interviews / review of previous days, weeks documentation Review Lead indicators / site communications pre starts, toolbox talks Audit

Develop an 'Action Plan' for the incident investigation process. - The 'Action Plan' must detail the incident investigation process and prioritise the collection of time sensitive information. Be sure to delegate actions/ responsibilities to all members of your incident investigation team.

2

	Analyse findings	Identify: Absent or Failed Risk Controls Risk Taking Behaviour / Violations Risk / Behavioural Influences Management Controls and validate External influences	Within 14 days	Site Supervisor (Incident Owner) HSE/supervisors /Engineering /HSR	
Corrective actions	Corrective and preventative actions Compile Data and Record	Complete report, findings, recommendations, learning's	Within 4 weeks	Site Supervisor (Incident Owner)/ HSE	
Communicate	Lessons Learned	Communicate Lessons Learned Communicate to legislative bodies (dependant on severity of incident)	Within 4 weeks	Site Manager	

Trainer/Assessor comments

ACTIVITY 3

Once you have structured the incident investigation process, you are required to investigate the vital sources of information to extract and collate vital information.

Question 1:

List 3 primary sources of information that must be investigated. For each source of information outline the methods that will be used to ethically extract information surrounding the incident.

Witnesses to incident	• Interviews • Written statements • Photographs • Review of competencies / training records • Review of Rosters /fatigue • Site compliance / induction records / VOC • Daily log On compliance / BAC Test / fitness for work • Evidence of Pre start sign on / Take 5 completion / JSA sign on/PTW sign on • Use of mobile, UHF, whistles,
equipment	Audit - • Plant pre acceptance checklist /Plant risk assessments / plant daily pre starts • Review machinery manuals and logs • Have any modifications been made Test machinery Review and audit for evidence and quality • (PTW) Permits to Work documents / SWMS/JSA
Environment	• Worksite housekeeping • access egress, conditions • scope of works • noise conditions • Effects of weather, heat, cold and lighting • Conditions of natural or manmade work surfaces • The actions or presence of animals that could have influenced • Were hazardous substances involved • Communication methods

Question 2:

What are the secondary sources of information you plan to investigate and what methods will be used to ethically extract information surrounding the incident?

Procedures	Review Production schedule What work procedures were used: • Was a JSA / SWMS conducted as part of planning task • JSA / SWMS Content / quality • Had conditions changed that would have affected the way the normal procedure worked
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	• What tools and materials were available • Were they used • How did the safety devices work • What lockout or isolation procedures were used – • Review worksite plans, maps, VMP, SDS availability
Organisation	• What applicable safety rules were communicated to employees/when • What written procedures were available • How were they enforced? • What supervision was in place? • What training was given in how to do the work/ When / Is it still valid and current • How were hazards identified • What procedures had been developed to overcome hazards • How were unsafe conditions corrected • Was regular maintenance of equipment carried out • Were regular safety inspections carried out • Were there any changes to equipment, environment, people or procedures

Question 3:

What systems will you use to ensure the integrity of the information you have gathered through the incident investigation process?

People	Signed written statements Photographs Observations Competencies/ induction / licences Log on records / pre start sign on sheet JSA /SWMS sign on
Equipment	Inspections / plant pre acceptance checklists / Testing / Operation / Manual referencing Maintenance records / evidence of modification Photographs / Maps / diagrams
Environment	Pre start content Records of Noise monitoring Records of Thermal Workload Metres Records of rain gauge Works schedule Photographs / Maps / diagrams
Procedures	Documented procedures for conducting operation Content / quality / evident Audit of risk assessments / identified hazards / task observations Audit of daily weekly documentation
Organisation	Organisational structure People management / supervision Provision and quality of tools and equipment Commercial and operational pressures Planning documentation

	Maintenance of facilities and equipment
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Question 4:

What systems or strategies do you plan to use to minimise backtracking or timewasting during the investigation process?

For each strategy or system listed provide an explanation on why it is effective.

Initial Witness / site arrival	Document and witness statements Photographs / Maps / diagrams Secure site
Action Plan	Formulate action plan
Establish Investigation Team	Delegate tasks from action plan Set timelines
Communication	Establish clear communication channel Maintain with updates / progress Team regroup / review of action plan / updates / updating of action plan if required
Data collection	Ensure care is taken to preserve data as it is collected. Log and securely preserved to allow for retrieval at a later date. Collate logically and sequentially Develop an Incident Tree to assist team in investigation process
Review	

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

ACTIVITY 4

You are now required to use the information you have gathered to create an incident investigation report. The report must remain impartial and clearly address all set objectives with findings, conclusion and recommendations/ actions to minimise the chance of incident re-occurrence.

The incident investigation report must include:

6. Outline of the scope of the investigation.
7. Clear and achievable objectives
8. An incident timeline.
- 9.

Outcome for Activity 4

- ☐ Satisfactory
☐ Not satisfactory

Trainer/Assessor comments

ACTIVITY 5**Create 2 more incident investigation reports:**

Using the process you have developed over the previous activities, create 2 more incident investigation reports for two separate incidents relevant to your industry.

The incident investigation reports must include:

1. Outline of the scope of the investigation.
2. List of achievable objectives.
3. Incident timeline.
4. Investigation findings
5. Conclusion
6. Recommendations including both corrective and preventative actions.

Note: Both incident investigation reports must be attached to your assessment portfolio.

Outcome for Activity 5	☐ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	

ACTIVITY 6**Make a presentation.**

You must now select one of the incident investigation reports completed in the previous activities to present to your work group, class or trainer/ assessor.

The presentation must include all incident particulars outlined in your report and draw plausible conclusions as to the cause of the incident by relying on facts, evidence, reasoned arguments and balance of probability.

Outcome for Activity 6	☐ Satisfactory ☐ Not satisfactory
Trainer/Assessor comments	

ACTIVITY 7

1.

Response

A)

B)

C)

D)

Outcome for Activity 7☐ Satisfactory☐ Not satisfactory**Trainer/Assessor comments**