



**CIVILSAFETY**  
SAFETY AND TRAINING

# S123 (Mining Supervisor)

RIICOM301D Communicate information

RIIRIS301D Apply risk management processes

**RIIWHS301D Conduct safety and health investigations**



## Learner Guide



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## Introduction – Conduct Safety and Health Investigations

The information in the last unit of this cluster, is based on the unit of competency **RIIWH301D: Conduct safety and health investigations.**

This unit covers conducting safety and health investigations in resources and infrastructure industries.

Throughout this unit we will be looking at:

- Determining the investigation objectives.
- Gathering information.
- Evaluating information.
- Identifying courses of action.
- Preparing and presenting investigation reports.



**This unit is appropriate for those working in operational roles or on safety committees, at worksites within:**

- Civil construction.
- Coal mining.
- Drilling.
- Extractive industries.
- Metalliferous mining.

## Why Do We Need Safety and Health Investigations?

Health and safety investigations need to occur when an accident or incident has occurred that has either:



Theoretically, health and safety investigation, research and analysis allows you to define exactly what has caused the accident and allow you put measures in place to prevent the incident happening again.

Every investigation should have prevention of a repeat incident as one of the main goals. However, sometimes the causes of an incident are a combination of factors that would not have led to an accident by themselves.

The investigation should determine all the actions and how each individual action worked together to cause the incident.



## Problem Solving

Throughout the process of conducting a safety and health investigation you will need to use your problem-solving skills in order to achieve the set objectives.

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In order to determine the causes of an incident and identify appropriate courses of action to solve the problem you may be required to use the following problem solving steps:

- Identify the problem.
- Set goals.
- Explore the problem.
- Look at alternatives.
- Select a possible solution.
- Implement a possible solution.
- Evaluate the solution for effectiveness.



The above presents a guide to effective problem solving. Your organisation will have specific procedures for investigations, which must be followed.

## Site Risk Management Processes

**Risk management is defined as the process of reducing or managing the risks when working with a hazard or in a hazardous situation.** It should take into consideration the context of the organisation and worksite.

- The risk management process aims to:
  - Identify the risks or hazards.
  - Estimate the likelihood of an incident, situation or accident.
  - Identify the consequences.
  - Calculate the severity of the consequences.
  - Prioritise the identified risks.
  - Select risk or hazard treatment measures.



## Compliance Documentation

Documentation is essential to planning all aspects of the worksite, setting out the what, when, how and who of everything that needs to be done.

All work activities, including safety and health investigations, must be guided by and comply with relevant compliance documentation. These are documents that require you to undertake tasks in a particular way or to meet a given standard.

A range of compliance requirements binds health and safety investigations. Each of these requirements will be outlined in a wide variety of documentation.

**Worksites need to meet the requirements of a range of compliance documents, which may include:**

- Legislative, organisational and site requirements and procedures, e.g. for Work Health & Safety (WHS), environmental protection.
- Manufacturer's guidelines and specifications.
- Australian Standards.
- Codes of Practice.
- Employment and workplace relations' legislation.
- Equal Employment Opportunity and Disability Discrimination legislation.



**WHS Legislation and Regulations must be abided by as they are the laws and guidelines that help keep all personnel on a worksite safe. It is important to understand your obligations under the different types of compliance documentation, as follows:**

### Legislation

Legislation is made under Acts of Parliament and sets out legal requirements that must be followed in the performance of work. All personnel/workers are required to comply with all legislation that applies to them. Persons or organisations failing to comply with legislation can be prosecuted under the law.

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## Regulations

Regulations are a form of "subordinate legislation" made under an Act. They provide a lot of the detail that expands on the framework of the legislation. Regulations are regularly reviewed and remade as appropriate to reflect current practice. They must be complied with.



## Codes of Practice

Codes of Practice state ways to manage exposure to risks. While you are not obligated to comply with a Code, if you take a different course of action you will need to be able to justify this in the event of an accident or incident.

## Australian Standards

Australian Standards are published documents setting out specifications and procedures designed to ensure products, services and systems are safe, reliable and consistently perform the way they were intended to. Standards are not legal documents but many, because of their rigour, are called up into legislation by government and become mandatory.

## Harmonisation of Work Health & Safety Legislation



In response to industry calls for greater national consistency, the Commonwealth, states and territories have agreed to implement nationally harmonised Work Health & Safety (WHS) legislation to commence on 1 January 2012. While not all states and territories have actually implemented the model WHS legislation as of the start of 2012, it is important to be aware of these changes, as all states and territories will eventually implement them. Harmonisation aims to develop consistent, reasonable and effective safety standards and protections for all



Australian workers through uniform WHS laws, regulations and codes of practice.

## Key Elements of The Work Health & Safety Legislation

The following key elements of the WHS legislation will impact the way you do your job, and the responsibilities of your workplace:

- 1

There is a primary duty of care requiring **persons conducting a business or undertaking (PCBU)** to ensure, so far as is **reasonably practicable**, the health and safety of **workers** and others who may be affected by the carrying out of work.
- 2

A requirement that **officers** of corporations and unincorporated bodies exercise **due diligence** to ensure compliance.
- 3

**Workers** must exercise reasonable care that their acts or omissions do not adversely affect the health and safety of persons at a workplace.

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The legislation also outlines requirements for:

- The reporting requirements for notifiable incidents.
- Licences, permits and registrations (e.g. for persons engaged in high risk work or users of certain plant or substances).
- Provision for worker consultation, participation and representation at the workplace.
- Provision for the resolution of health and safety issues.
- Protection against discrimination.



Many specific details relating to WHS will be negotiated within the workplace in accordance with the legislation.

It is important that you speak with your Health and Safety Representative or supervisor for more information on how these elements will affect your day-to-day operations, or if you have any concerns relating to health and safety.

*A list of common WHS terms and their definitions can be found in Appendix 1F.*

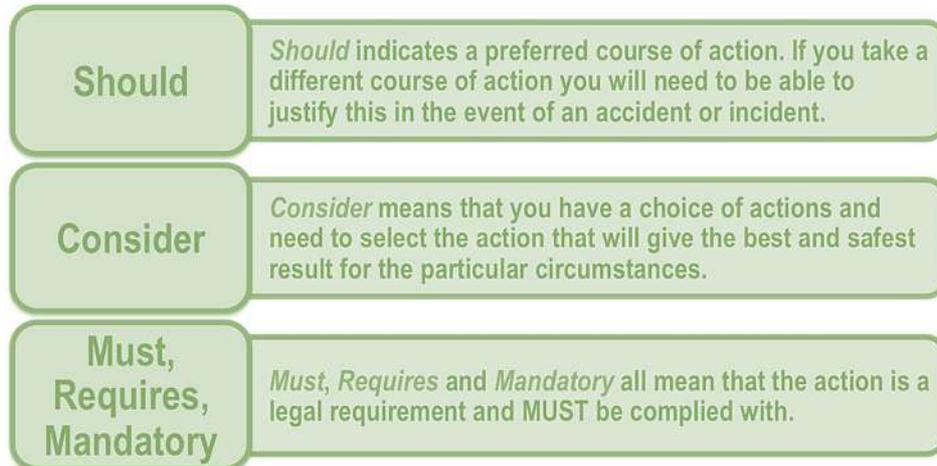
## Interpreting and Applying Compliance Documentation

Being able to access, interpret and apply the requirements of the documents is vital to carrying out your responsibilities for conducting safety and health investigations.

Research may be necessary to ensure you are aware of all aspects of the compliance documentation and how these may impact your workplace or tasks and activities.

Interpretation of compliance documentation will allow you to make the right decisions for each situation or task. It means understanding what is required of you and how you are expected to perform the tasks.

When interpreting documents, it is vital that you understand the difference between words such as 'should', 'consider' and 'must'.



If you are in any doubt as to what you should do after reading the documentation, it is essential you speak with your site manager or other designated person, for further instructions or clarification.



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## Determine the Scope of the Investigation

The scope of the investigation relates to determining exactly what you are investigating in addition to the accident or incident. While this may be obvious, you could be required to investigate surrounding factors that have only been brought to light because of an accident or incident.

Areas within the scope of investigations include:

- **Near Misses** – Although no injury or damage occurred a near miss is a warning that something is not working as well as it could be. Investigate a near miss as diligently as you would investigate a fatality.
- **Systems** – A systems health and safety investigation involves looking at the WHS management system to determine if the underpinning structures, processes or procedures are in place to minimise the chances of an accident or incident.
- **Equipment Investigations** – This includes looking at the safety of the equipment, the equipment specifications, performance issues and if the equipment is the best option to complete the tasks as safely as possible.
- **Technical Processes and Procedures** – A health and safety investigation of these will determine how safe the processes and procedures in the workplace are and if the processes and procedures are being used correctly.



### Scope of the Investigation

Determining the scope of an individual investigation will allow all personnel/workers involved to plan and organise the requirements for the investigation.

This will include being able to plan the steps required, organising your time and that of the investigation team, and the resources available to you.

Determining the scope of an investigation could also include:

- Reading or preparing background information.
- Preparing or reading briefing notes.
- Reviewing legislation and regulations.
- Compiling documentation.
- Reviewing procedures and processes.
- Identifying industry standards, requirements and desirable outcomes.

Determining the scope of the investigation will also assist you to ensure that the pre and post-incident timeframe is considered, and that this is consistent with legislative requirements and site standards.

## Determine Proposed Investigation Objectives

Once you have determined the scope of the investigation, you will need to determine the objectives of the investigation. To do this, you will need to conduct an analysis of the available information, and other surrounding factors. There are 5 main areas of information that must be analysed:

<b>People</b>	Management, the people in the workplace, sub-contractors, visitors, general public, and others involved.
<b>Environment</b>	The work environment or the way that people interact with their work surroundings. Sometimes the ergonomics of the work area may be looked at.
<b>Procedures</b>	The way tasks are formulated and applied in the workplace. This can range from simple instructions through to complex directives.
<b>Equipment</b>	Any plant, machinery or tools that may be required in the workplace. Investigations may extend to the design of such equipment and the manufacture.
<b>Organisation</b>	The structural make-up of the organisation, how supervision is applied, the nature of operations and other factors.

As each workplace is different, there is no predefined set of objectives that can be applied to an investigation. It is important to analyse the information given from these key areas and develop appropriate objectives.

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## Test the Proposed Objectives

Once you have defined the scope of the investigation and determined the objectives, you need to test those proposed objectives and clarify that the scope is appropriate for the investigation as well as the type of incident or accident. **By testing prior to starting the investigation, you are able to ensure you are on track to achieving the goals of the investigation.**



## Ensure Objectives and Scope Are Achievable

When testing the objectives and scope of the investigation, you need to ensure that both the objectives and scope are achievable with the available:

- Legislative or regulatory restraints.
- Resources.
- Timeframes.
- Level of authority.
- Workplace.



While every workplace will need to conduct an investigation into accidents, it is likely that the workplace investigation cannot occur until other investigations have been completed, resources sourced or the authority to gain access has been granted. You should never assume that just because the incident or accident has occurred in your workplace that you automatically have priority over resources to investigate, or the authority to investigate. Other agencies that may conduct investigations, which will take priority, could include:

- Police.
- Fire.
- WorkCover.
- Work safe authority.
- Environmental protection authority.

## Maintain Site Security and Integrity of Evidence

The site of an accident or incident will need to be protected to ensure the safety of others onsite. It will also need to be protected to ensure the integrity of any evidence. You can establish and maintain site security through the use of:

- Barricades.
- Temporary fencing.
- Signage.
- Security staff preventing access to area.
- Evacuation of personnel/workers from the area.

Once the area has been protected you may need to provide comfort or first aid to any witnesses, victims or participants in the accident or incident. A trained first aid officer or area warden should do this, if they are available.

Once the site has been secured, the witnesses dealt with, and the area evacuated, you may now need to organise engineering measures to ensure the long-term safety of the site.

Engineering measures could include:

- Removal of noxious or toxic materials and substances.
- Stabilisation of ground.
- Shoring of support beams.



Initial responses to emergencies should follow a pre-determined plan that encourages the protection of people, prevention of spread, and protection of the environment.

If preserving a life, or preventing an injury is only achievable by damaging evidence try to remember and document what was moved or altered and when.



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## Prepare for The Collection of Information

Collection of information is the primary task of an investigative team. **To ensure this information is collected effectively, it is necessary to plan how you will collect the information.**

Your choices will be determined by the conditions on the site you are investigating, and the preferred manner of planning favoured by the investigative team.

Prior to collecting information, several questions must be asked:

- Is the information valid and relevant?
- Is the source reliable?
- Can the information be replicated if someone else collects the information?
- Is the information based on fact not hearsay?



## Sources of Information

Information can come from multiple sources. Any reliable and relevant source should be considered when determining sources of information for the investigation.

Some commonly used sources of information include:

- Manufacturer's handbooks and operation's manuals.
- Legislation, codes of practice, and industry standards relating to dangerous and hazardous goods, environmental protection and WHS.
- Quality assurance procedures, workplace operating procedures and policies, and individual and work area procedures and practices.
- Safety Data Sheets (SDS).
- Emergency procedures and rescue service publications.
- Worksite safety management systems, communications and inventory systems.



## Methods of Obtaining Information

Different methods of obtaining the information can include:

- **Interviews** – Individuals are questioned verbally as part of the investigation process. The questions may be generic or specific depending on the circumstances.
- **Statements** – Actual witness accounts of the events. These could be verbal or written.
- **Audio Recordings** – These are often used in conjunction with interviews or verbal statements, but may also be used by an investigator as a voice prompt for later.
- **Photographs** – Photographs are very useful for demonstrating specific aspects of the situation and can be relied on in court if necessary. Date and time stamps should be used wherever possible.
- **Scale Diagrams** – Diagrams of the scene should be as accurate as possible to avoid confusion or misrepresentation.
- **Accessing Other Formal Information Sources** – This could include research, referencing documentation, examining records or any other method that is suitable in obtaining information.



The collection of information must use the appropriate sources and methods, and be systematic in its approach.

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## Scheduling Information Collection

As part of the planning process for the systematic collection of evidence and information, it is important to schedule the information collection and completion.

**Effective scheduling of information collection ensures a minimum of backtracking and eliminates the need to repeat actions, activities or tasks.**

When creating a schedule, higher priority should be given to crucial information, information that must be collected immediately, or to information that needs to be collected with specific resources.



## Ensure Information Collection Methods Meet Requirements

**Before commencing an investigation, you need to ensure the methods used to collect and examine information will meet standards and legislative requirements.**

### Ensuring Interviews and Recording Meet Requirements

A large part of investigative processes involve interviewing witnesses and recording the interviews.

You must ensure that your interviewing is conducted in accordance with legal and organisational procedures and requirements.

**In order to meet requirements, your interviews:**



When conducting interviews, and communicating with the other personnel/workers involved, it is essential that you speak clearly and in plain English.

Actively listen to the responses you are given and ask questions to obtain further information.

**The clearer and more in-depth your interview recordings are, the easier it will be to analyse the information and extract the details required.**

If you are unsure of the standards and legislative requirements surrounding information collection on your worksite, speak with your supervisor or other appropriate personnel/workers.

## Post-Traumatic Stress in an Investigation Situation

As an incident investigator, you may find that some of the witnesses are suffering from various degrees of critical incident stress (also known as post-traumatic stress).

Critical incident stress is a valid, relatively common reaction to incidents and accidents. It can affect anyone in the workplace and will impact different people in different ways.

Due to the wide-ranging effects and complications which can lead to critical incident stress attacks it is a good idea to ensure you have access to professionals who can help mitigate the severity of the attack.

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### Common immediate effects of critical stress include:

- Emotional instability i.e. hostility, rage, fear, irritability, impulsiveness, guilt, mistrust, phobias.
- Difficulties in concentration, memory and following instructions.
- Avoidance of people and places they associate with the incident.
- Apathy or detachment from others.

If you do identify someone who is suffering from critical incident stress stop the interview and arrange immediate assistance for the witness.

## Collect, Organise and Test Information

Once you have fully prepared for collecting the information, you are now able to initiate the information collection.

When collecting information it is important to use multiple sources where possible to construct a more complete picture of what has occurred.

**In order to be able to collect information accurately you must be aware of common industry terminology used, and the general processes and procedures followed on the worksite.**

This is why it is essential that you can apply your technical literacy skills to the collection of information.

**It is important to remember that the collection of information should follow all legislative and industry standards.**



### Organise Information

Once all information has been collected, you will have a wide range of information from a number of sources.

This information will need to be organised and structured so that relevant and essential information is retained, and extraneous information is excluded.

Most organisations prefer to categorise information into primary and secondary sources.

**Information may also need to be sequenced in a timeline of events relating to the incident, from pre-incident information through to post-incident information.**

At any time if you are unsure of how to organise the information, speak with the investigative team leader.



### Test Information

Information must be verified for accuracy, validity and usefulness. This can be done by:

- Asking questions of other investigative team members.
- Asking questions of the witnesses.
- Further research.
- Compiling multiple sources of information.

The entire process and purpose of collecting, organising and testing information is to attempt to bring order to an intrinsically disordered situation. This allows for the evaluation of the evidence and for accurate conclusions to be drawn.

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## Assess and Evaluate Information

**Assessing and evaluating information is necessary for you to be able to check it for validity and reliability.** When looking at information, it is important to not discount any piece of information too soon. Keep an open mind about information and assess its usefulness to the investigation before discarding any piece of information.

When assessing information, you need to be checking it against known and trusted sources where possible. These trusted sources could include policies, procedures, recurrence statistics, previous investigation records and other site records.

### Identify Links Between Factors

**Information can reveal or confirm the links, or common threads between certain factors and outcomes of the incident or accident. This can assist in determining cause and effect for the investigation.**

**When examining information, you should be looking for any link between factors and outcomes and applying this to cause and effect.** You should also be looking for direct or indirect causal relationships. Direct causal relationships are easier to determine (e.g. action “a” resulted in response “b”).

Indirect causal relationships are harder to determine, as the relationship between the action and the response may not be immediately obvious.

When looking for linkages you are trying to determine if systemic problems or trends are developing, or have developed. If trends are identified, you should attempt to determine where the trend is likely to develop and how it can be reversed.

Once you have assessed and evaluated the information and believe the information is valid and reliable, you will need to reorganise it as evidence for the investigation. The reorganised evidence can then be reliably used throughout the investigation to aid in the decision-making process.

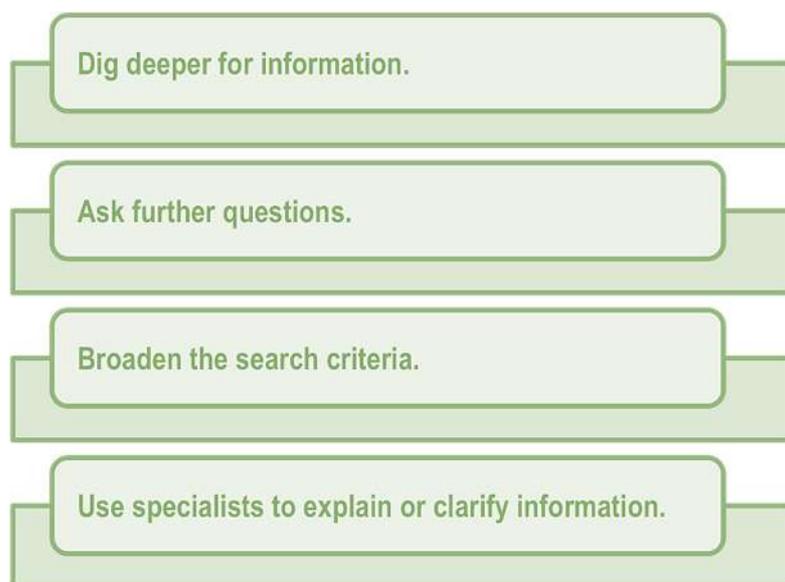


### Undertake Further Research If Required

As you sort through the information to determine its validity and reliability it may come to light that some information may be unclear or inadequate.

**If the information is inadequate for your needs, you will need to conduct further research to ensure you are able to clarify the information or gain further information.**

Conducting further research allows you to:



When conducting, research ensure you keep an objective focus on the information, identify reliable sources and do not prejudge or have expectations of the information.

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## Analyse Evidence to Determine Causes

Once you have collected all information, assessed its validity, organised it into evidence, and conducted further research where required, you will need to analyse the evidence in-depth.

**The main objective in collecting, organising and analysing the evidence is to try to find the reason or cause of the incident or accident.**

A root cause analysis aims to determine what happened, why it happened, what factors were involved and what can be done to ensure those factors are controlled to stop the incident or accident happening again.

It should be noted that there might be more than one cause of an incident or accident.

When conducting a root cause analysis, it must be performed systematically.

The focus of your task is to ask the questions: Why? How? Who? When? Where?

**The main focus is to ask “Why?”. You will need to identify the causes associated with each piece of evidence or step in the sequence, and classify the causes into causal factors.**

During the analysis phase of the investigation you may also need to draw upon the knowledge of experts in a particular field.



## Draw Conclusions

Through conducting an analysis of evidence, you are able to draw accurate conclusions as to the cause or causes of the incident.

Conclusions need to be drawn so recommendations can be made for corrective actions that will prevent the incident from recurring.

**Often the conclusions that an investigative team reach will be based on more than just the evidence presented.**

Conclusions may also be based on:

- Reasoned arguments.
- Factual information.
- Balance of probability.
- Previously agreed standards.
- Negotiations, discussions or group decisions.

People will see every situation differently, and have differing points of view. It is for this reason that conclusions drawn must be based on evidence and reasoned argument.

It is important to realise that as an investigative team, you may not be able to determine 100% the cause of an incident or accident.

Ensure that the investigative team is working as a unit, using the evidence presented to determine the balance of probability.

## Ensure Findings Address Established Objectives

**Once you have drawn conclusions based on the relevant evidence, it is necessary to ensure that the findings address the objectives established at the beginning of the investigation.**

You are able to do this by linking each objective to a finding. Some objectives may link to more than one finding.

When checking findings, you should also be trying to identify any inconsistencies or unexplained findings.

Findings will form the basis of recommendations and suggestions. Therefore each finding needs to be accurate and explainable.



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## Frame Options for Courses of Action

Once you have completed your investigation and drawn your conclusions, it is necessary for you to frame your options for the courses of action to be recommended or implemented.

**The courses of action chosen must aim to address or respond to the findings of the investigation. Normally there are two broad categories of options or actions:**

- **Preventative actions.**
- **Corrective actions.**

Preventative actions are aimed at ensuring the incident does not happen again while corrective actions are aimed at fixing the situation.

Most investigations will include a combination of both types of actions.

Options for courses of action should be directly related to the conclusions and findings drawn from evidence.



They should also be determined by factors such as:

- Environmental requirements.
- Cultural requirements.
- Organisation requirements.
- Industry standards and requirements.

Your course of action options should only be determined after examining all possible options and should reflect what is best for your organisation.

## Format Options Based on Requirements

Once you have framed a range of possible courses of action to be implemented, this information may need to be presented to relevant managers, stakeholders and other personnel/workers. This is to ensure that the course of action decided upon meets appropriate standards.

While you have many options for presenting your investigative results and options, the most commonly used format is to document these options.



### Presentation of Documents

Each organisation will have standards for formatting and presenting documents that will need to be adhered to.

These requirements could have been made due to industry or enterprise practices or could have been developed on site to meet the needs of the people and groups working with the documentation.

**The documentation requirements that need to be met will be found in your organisational style guide, documentation policies or procedures.** If your site does not have these documents, you should be able to gauge the requirements by looking at copies of similar documents.

Presentation of the document can be in many formats but the two most common are printed and bound, or digital.

When creating for printing ensure page numbering is accurate. If creating for onscreen reading make sure hyperlinks are working and adequate white space is used to reduce the impact of onscreen reading on the eyes of your reader.

**By ensuring you are meeting the standards for your organisation, you are presenting your documents in a format that your audience can easily understand, which assists in the selection of the most appropriate course of action.**

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## Ensure Effectiveness of Action Selected

After you have identified and presented a range of courses of action, this will be narrowed down to the selection of one or more courses of action that will meet your needs.

**You need to ensure the course of action that has been selected will resolve the issues or problems that you have identified as the cause of the incident or accident.**

**The course of action selected must also aim to reduce the probability of recurrence of the incident.**

This can be done by testing the solution or possible course of action with the 'what if?' test.



Selected and invited members of the management team sit down with the investigative team and brainstorm 'what if?' questions of the selected course of action.

The answers provided should be realistic and as accurate as possible.

Other methods of testing the courses of actions have been developed by many organisations. If your organisation has an established method of ensuring the course of action will resolve the issues, this should be used.

Once a course of action has been selected, you should determine the training and management changes that may need to be made, to ensure the actions are widely accepted and implemented within the business.

## Ensure Course of Action Meets Standards

**Once you have determined an effective course of action, you will need to ensure that the course of action can be implemented in accordance with the national, state/territory and industry standards.**

This will require gaining access to, and applying the relevant legislative and organisational documentation that applies.

If your organisation is not able to implement the action in accordance with standards and requirements, you have two options:

1. Acquire the resources to allow you to implement the action to the required standard.
2. Select a different course of action.

Most organisations will examine the required standards and double check on the resources required to implement a course of action before deciding how to proceed.

This allows them to select a course of action that they are able to implement not only effectively, but meeting the required standards.

## Prepare Investigation Reports

An investigation is not complete until the investigative reports have been written.

When writing an investigative report, you will need to format the report based on the site requirements.



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## Investigation Report Format

Your site will have specific requirements for report formatting.

The format of your reports will likely include:	
Objectives of the report.	<input type="checkbox"/>
General overview.	<input type="checkbox"/>
Research and information collection methodology used and why this methodology was chosen.	<input type="checkbox"/>
Analytical criteria used during the investigation.	<input type="checkbox"/>
Findings. These findings will be in two categories, essential findings and contributing factors.	<input type="checkbox"/>
Any recommendations.	<input type="checkbox"/>
Required or suggested follow up actions.	<input type="checkbox"/>
Appendices that detail and examine relevant evidence.	<input type="checkbox"/>

Other aspects that may be included in your report may include:

Report Aspect:	Description:
<b>Title page.</b>	With the name of the report and name of the person creating the report.
<b>Summary or executive summary.</b>	Summarises the entire report.
<b>Table of contents.</b>	Outlines the report and indicates pages.
<b>Introduction.</b>	Can be called the scope statement or the terms of reference statement.
<b>Main body of the report.</b>	Making use of tables, graphs, diagrams, photos and other graphics.
<b>References, acknowledgements and bibliography.</b>	Acknowledgement of and sources and references that may have been used to create the report.

No report should be written to a strict formula because each report should meet the needs of the reader and the information contained in the report.

**If you are unsure of how to prepare an investigation report for your organisation, refer to examples of other reports in your organisation, or speak to other experienced personnel/workers.**



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## Present Clear Reports

As you have followed the whole process of conducting an investigation into an incident, it is essential that when presenting the reports, they are clear and easily understood by the target audience.

**When you present reports it is essential that it is in a format that ensures the findings, causes, available options and courses of action are clearly set out and will be readily understood by the audience.**

There are a variety of presentation methods that may be viable for presenting reports. These include:

- **Written reports** – your best option due to the ability of the report to examine in detail all available options.
- **Presentations** – this could include a PowerPoint presentation, a group discussion, lecture or meeting. This is a less preferred option because of the likelihood of miscommunications or misunderstandings.

You should make your presentation in accordance with your plan but be prepared to deviate if necessary to answer questions from the audience or respond to feedback.

Your presentation plan is the framework you are working within, but it should be a flexible framework that is able to adapt and change to meet the needs of the audience and the situation you are facing.



## Report Presentation Guidelines

When creating and presenting a report, particularly a technical report, it is important to remember a few simple guidelines:

### Presentation

Keep everything clearly laid out and easy to read. Use headlines, paragraph headings, labels for tables and diagrams.

White space – the space that surrounds the report text – is crucial to readability of reports. It gives the impression that the report is clean, uncluttered and easily read.

### Reduce Errors

Errors in your report reduce the credibility of yourself, your information and your organisation (if the report is intended for distribution outside of the business).

Always check for errors such as:

- Spelling.
- Typing.
- Information inconsistencies.
- Formatting.
- Illogical placement of photos, tables, graphs or other graphic or information.

The spell checker on your computer will not pick up misused words, incorrect words, technical jargon that is badly used or sentence structure and construction problems.

### Language

**Style, tone and language choices need to be appropriate for the audience and the subject.** Use clear and concise language. Always use plain English sentences, that say exactly what you want them to say, with the fewest words possible.



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## Present Reports to Required Audience

Once you have completed your report, you will need to present the report to the required audience.

**Required audiences could include:**

- **Management.**
- **Team members.**
- **External agencies.**
- **Other involved personnel/workers.**

You must ensure that the presentation of the report includes the finding and recommendations for action. Recommendations could include improvements to:

- Working environment or conditions.
- Safety management systems.
- Processes or procedures.
- Actions, behaviours, workplace culture.
- Equipment, materials and substances.

**Before you start your presentation, you should ensure:**

- **Your report is complete, and appropriate for the audience.**
- **Audio-visual resources are appropriate for the presentation if they are required.**
- **The report is formatted according to needs and required standards.**
- **Enough copies of the report or additional information are available for the expected number of participants.**

Before you determine how to present the report findings, you will need to speak with the investigative team leader to confirm the requirements.



## Review Investigation Process

Once the investigation is completed, it is necessary to evaluate and review the investigation process itself.

This will include determining if the process achieved the required outcomes, goals and objectives. It will also include looking at each step of the process separately, and determining if it was effective or ineffective.

If parts of the process are found to be ineffective, you will need to discuss with your investigative team the reasons why, and how these areas might be changed or improved.

**The purpose of the evaluation review is to identify problems or issues with the investigation process, and identify recommendations for process changes and improvements.**

Once the investigative team has completed the review of the investigation process, recommendations for changes to the process should be made.

As a member of the investigative team, you need to participate as fully as possible to help identify problems or issues with the process.

**You may also need to engage and involve your supervisors or employers/PCBUs in the team process in order to gain other points of view regarding process improvements.**

The recommendations for changes to the investigative process will then need to be presented by your team leader to the appropriate authorities.



*An example of a Safety and Health Incident Investigation Report can be found in Appendix 1G.*

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## Appendix 1F – Work Health & Safety Common Terms and Definitions

<b>Person Conducting a Business or Undertaking (PCBU)</b>	<p>A 'person conducting a business or undertaking' (PCBU) replaces the term 'employer'. A PCBU includes all employers, sole traders, principal contractors, unincorporated associations, partnerships and franchisees. Volunteer organisations that also employ people will be PCBUs.</p> <p>A PCBU's primary duty of care is to ensure the health and safety of everyone in the workplace, so far as is reasonably practicable.</p>
<b>Officers</b>	<p>An 'Officer' is a person who makes, or participates in making, decisions that affect the whole or a substantial part of a corporation. This includes Health and Safety Representatives (HSR).</p>
<b>Workers</b>	<p>'Worker' replaces the term 'employee'. It is defined broadly to mean a person who carries out work in any capacity for a PCBU.</p> <p>A 'worker' covers employees, contractors, sub-contractors (and their employees), labour hire employees, outworkers, apprentices, trainees, work experience students and volunteers.</p>
<b>Reasonably Practicable</b>	<p>Reasonably Practicable is defined as action that is, or was at a particular time, reasonably able to be done to help ensure health and safety based on the following factors:</p> <ol style="list-style-type: none"> <li>Chances of the hazard or risk occurring (likelihood).</li> <li>The degree of harm (consequence).</li> <li>The knowledge of persons involved in the situation relating to the hazard or risk and methods of eliminating or controlling it.</li> <li>The availability and suitability of ways to eliminate or control the hazard or risk.</li> <li>The costs involved in taking action to eliminate or control the hazard or risk including consideration of whether the cost involved is inconsistent to the level of risk.</li> </ol>
<b>Due Diligence</b>	<p>The Work Health and Safety Act 2011 (the WHS Act 2011) imposes a specific duty on officers of corporations to exercise due diligence to ensure that the corporation meets its work health and safety obligations. In short, they have a responsibility to ensure that the PCBU is doing everything it should to ensure health and safety.</p> <p>The duty requires officers to be proactive in ensuring that the corporation complies with its duty.</p> <p>Due diligence may be demonstrated through the following courses of action:</p> <ol style="list-style-type: none"> <li>Acquiring knowledge of health and safety issues.</li> <li>Understanding operations and associated hazards and risks.</li> <li>Ensuring that appropriate resources and processes are used to eliminate or minimise risks to health and safety.</li> <li>Implementing processes for receiving and responding to information about incidents, hazards and risks.</li> <li>Establishing and maintaining compliance processes.</li> <li>Verifying the provision and use of the resources mentioned in 1-5.</li> </ol>

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**Appendix 1G – Safety and Health Incident Investigation Report [Template Example]****SAFETY AND HEALTH INCIDENT INVESTIGATION REPORT**

Use this template to record your investigation findings and outline your recommendations. The extent of detail will be dependent on the severity of the incident.

INVESTIGATION TEAM LEADER	SIGNATURE
ROLE (e.g. Supervisor, Team Leader, Safety Officer, etc.)	DATE
	/ /
COMPANY	CONTACT NUMBER

**ADDRESS OF INCIDENT / INVESTIGATION**

--

**SUMMARY OF INVESTIGATION FINDINGS**

The summary should outline the event, who was involved, what happened, the scope of the investigation, the analysis and outcomes and any recommendations to prevent or minimise the recurrence of the incident.

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## Safety and Health Incident Investigation Report [Example Template] [Continued...]

### INVESTIGATION ANALYSIS

All other information (e.g. witness statements, details, photographs, diagrams, registers, etc.) should be attached to this report. This report template is designed to capture your analysis and outcome findings of your investigation.

**What were the events that contributed to the incident?**

*(You may find it helpful to construct a timeline of the events leading up to the incident.)*

**What were the identified or possible cause/s of the incident?**

*(You may find it helpful to ask why an event occurred on the event timeline to establish possible causes.)*

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**Safety and Health Incident Investigation Report [Example Template] [Continued...]****INVESTIGATION ANALYSIS CONTINUED**

**Which of the identified or possible cause/s are within control of the workplace?**

*(Outline which causes are within control of the workplace and provide explanations.)*

**What corrective action (solution/s) could be implemented to eliminate or reduce the risk of the identified cause/s?**

*(Provide explanations why the implemented control would eliminate or reduce the risk.)*

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## Safety and Health Incident Investigation Report [Example Template] [Continued...]

### INVESTIGATION OUTCOMES

Outline any controls that were put into place immediately after the incident to eliminate or reduce the risk of recurrence of the incident.

*(Outline the controls and who was responsible for implementing them.)*

### RECOMMENDATIONS

Outline recommended corrective action/s (i.e. solutions) to prevent the recurrence of the incident.

*(Number the recommendations from most effective to least effective, i.e. Hierarchy of Controls.)*

#### Hierarchy of Controls

##### **ELIMINATION**

*Complete the elimination of the risk.*

##### **SUBSTITUTION**

*Replace the item / process with a less dangerous one.*

##### **ISOLATION**

*Isolate the hazard by enclosure, hoarding or barriers.*

##### **ENGINEERING**

*Redesign the work process or equipment.*

##### **ADMINISTRATION**

*Provide training and / or procedures.*

##### **PPE**

*Use personal protective equipment.*

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**Safety and Health Incident Investigation Report [Example Template] [Continued...]****ADDITIONAL INFORMATION AND NOTES**

A large, empty rectangular box with a thin black border, intended for additional information and notes.

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