

**RIIWHS301E**

# Conduct safety and health investigations (Release 1)



## Mapping

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## Assessment Mapping

<b>Knowledge Evidence</b>	
<b>Requirement</b>	<b>Assessment Reference</b>
The candidate must demonstrate the following knowledge to effectively complete the tasks outlined in the elements and performance criteria of this unit. This includes:	
commonwealth and state or territory legislation relevant to conducting safety and health investigations	Q. 1
internal and external sources of work related health and safety information and data relevant to investigations	Q. 2
applicable organisational work related health and safety policies, procedures, processes and systems relevant to work role	Q. 3
topic or subject area which is the target for the investigation	Q. 4
theory of safety and health investigative research and analysis	Q. 5
symptoms and possible immediate effects of post-traumatic stress in an investigation situation	Q. 6
industry context to incidents and investigations	Q. 7
methods for collecting and analysing safety and health information and data	Q. 8
site procedures and conventions related to work related health and safety investigations	Q. 9
site risk management processes and their applications	Q. 10
conventions and requirements for written communications, including report writing.	Q. 11

## Performance Evidence

Requirement	Assessment Reference			
	Element Assessment	Practical Assessment	Performance Evidence Observation	Performance Criteria Observation
The candidate must demonstrate the ability to complete the tasks outlined in the elements and performance criteria of this unit.	✓	✓		✓
The candidate must demonstrate evidence of completion of participating in work related health and safety investigations that safely, effectively and efficiently follows workplace procedures to carry out work activity on at least two occasions. This includes:	1.1 – 5.3	1.1 – 5.3	✓	1.1 – 5.3
determining objective and authority of the investigation	1.2	1.2	✓	1.2
creating an investigation plan	1.2	1.2	✓	1.2
planning and organising activity to gather evidence and data, including but not limited to:	2.2 2.3	2.2 2.3	✓	2.2 2.3
lists of witnesses	2.2	2.2	✓	2.2
interviews	2.2	2.2	✓	2.2
statements	2.2	2.2	✓	2.2
audio recordings	2.2	2.2	✓	2.2
photographs	2.2	2.2	✓	2.2
scale diagrams of area	2.2	2.2	✓	2.2
undertaking research to gather evidence and data	3.2	3.2	✓	3.2
engaging others in the investigation process	1.6	1.6	✓	1.6
questioning and actively listening to those involved in the investigation	2.5	2.5	✓	2.5
correctly collecting and maintaining the integrity of evidence and procedural fairness	2.1 2.4 2.5	2.1 2.4 2.5	✓	2.1 2.4 2.5
identifying and/or confirming the linkages between factors and outcomes, causes and effects and direct/indirect causal relationships	3.3	3.3	✓	3.3
drawing conclusions and identifying appropriate course of action to resolve issue	3.4	3.4	✓	3.4
communicating outcomes to relevant individuals and/or parties	5.3	5.3	✓	5.3
writing clearly, concisely and effectively report investigation outcomes and presenting the outcomes to others.	5.1 5.2	5.1 5.2	✓	5.1 5.2
In the course of the above work, the candidate must also:	-	-	✓	-
locate and apply relevant legislation, documentation, policies and procedures.	1.1 2.4	1.1 2.4	✓	1.1 2.4

## Performance Criteria

Requirement	Assessment Reference		
	Element Assessment	Practical Assessment	Performance Criteria Observation
1.1 Identify, access and interpret work related health and safety investigation documentation, policies and procedures	1.1	1.1	1.1
1.2 Determine the scope of the investigation to create an investigation plan according to workplace policies and procedures	1.2	1.2	1.2
1.3 Confirm pre- and post-incident timeframe is consistent with all site and legislative requirements	1.3	1.3	1.3
1.4 Determine the need for eliminating safety hazards and address the needs of those involved in the incident and incorporate into investigation plan	1.4	1.4	1.4
1.5 Test the proposed objectives to clarify the scope of the investigation	1.5	1.5	1.5
1.6 Consult individuals and/or parties in accordance with workplace policies and procedures	1.6	1.6	1.6
1.7 Review investigation plan to check it includes agreed timelines, objectives, responsibilities, roles, documentation, actions and outcomes	1.7	1.7	1.7
1.8 Communicate investigation plan to relevant individuals and/or parties in accordance with own role and responsibilities	1.8	1.8	1.8
2.1 Maintain site security and integrity of evidence in accordance with site and legislative requirements	2.1	2.1	2.1
2.2 Plan and prepare for the systematic collection of information and data	2.2	2.2	2.2
2.3 Schedule information and data collection and completion to ensure minimum backtracking or repeat actions	2.3	2.3	2.3
2.4 Confirm methods used to collect and examine information, including interviewing and recording, meet site and legislative requirements	2.4	2.4	2.4
2.5 Collect, test and organise all appropriate information according to workplace policies and procedures	2.5	2.5	2.5
3.1 Assess and evaluate information and data for validity and reliability to aid decision making	3.1	3.1	3.1
3.2 Undertake further research where information or data is unclear or inadequate, and rectify in accordance with investigation plan	3.2	3.2	3.2
3.3 Analyse the evidence to determine causes of the incident in accordance with own role and responsibilities	3.3	3.3	3.3
3.4 Draw investigation conclusions in accordance with investigation plan, workplace policies and procedures	3.4	3.4	3.4
3.5 Confirm findings and consider objectivity, confidentiality, validity and accuracy	3.5	3.5	3.5
4.1 Frame options and articulate findings to investigation team, in accordance with own role, responsibilities and workplace policies and procedures	4.1	4.1	4.1

4.2 Confirm options are provided in a form which meets the audience requirements, can be easily understood and enables selection of the most appropriate courses of action	4.2	4.2	4.2
4.3 Collate courses of action to identify actions for future prevention, in accordance with own role, responsibilities and workplace policies and procedures	4.3	4.3	4.3
4.4 Confirm courses of action are implemented and evaluated in accordance with investigation plan and workplace policies and procedures	4.4	4.4	4.4
5.1 Prepare investigation reports according to own job role, responsibilities and workplace policies and procedures	5.1	5.1	5.1
5.2 Present written and graphical reports using a clear and concise structure and format appropriate to audience	5.2	5.2	5.2
5.3 Communicate outcomes to relevant individuals and/or parties according to workplace policies and procedures	5.3	5.3	5.3

## Foundation Skills

Requirement	Assessment Reference		
	Element Assessment	Practical Assessment	Foundation Skills Observation
<b>Writing:</b> <ul style="list-style-type: none"> <li>Documents procedures, plans and outcomes using appropriate organisational formats and industry specific terminology</li> </ul>	1.2 2.2 5.1 5.2	1.2 2.2 5.1 5.2	✓
<ul style="list-style-type: none"> <li>Develops reports using structure, format and language appropriate for purpose and audience</li> </ul>	5.1 5.2	5.1 5.2	✓
<b>Oral communication:</b> <ul style="list-style-type: none"> <li>Uses appropriate language and non-verbal features to provide support, give instructions or request information</li> </ul>	1.6 1.8 2.5 4.1 5.3	1.6 1.8 2.5 4.1 5.3	✓
<b>Interact with others:</b> <ul style="list-style-type: none"> <li>Identifies and uses appropriate conventions and protocols when communicating with parties involved in various investigation stages</li> </ul>	1.6 1.8 2.5 4.1 5.3	1.6 1.8 2.5 4.1 5.3	✓
<ul style="list-style-type: none"> <li>Collaborates with others to achieve joint outcomes, playing an active role in facilitating effective group interaction</li> </ul>	1.6 4.1	1.6 4.1	✓
<ul style="list-style-type: none"> <li>Takes a role in helping develop team understanding of investigation requirements</li> </ul>	1.8	1.8	✓

## Assessment Conditions

Requirement	Strategy
Mandatory conditions for assessment of this unit are stipulated below. The assessment must:	<b>RTO TO COMPLETE</b>
include access to:	
an incident (live, or simulated based on historical incidents)	
site investigation plans	
be conducted in a safe environment; and,	
be assessed in the context of this sector's work environment; and,	
be assessed in compliance with relevant legislation/regulation and using policies, procedures and processes directly related to the industry sector for which it is being assessed; and,	
confirm consistent performance can be applied in a range of relevant workplace circumstances.	
Where personal safety or environmental damage are limiting factors, assessment may occur in a simulated work environment* provided it is realistic and sufficiently rigorous to cover all aspects of this sector's workplace performance, including environment, task skills, task management skills, contingency management skills and job role environment skills.	
Assessor Requirements	
Assessors must be able to clearly demonstrate current and relevant industry knowledge and experience to satisfy the mandatory regulatory standards as set out in the Standards for Registered Training Organisations (RTOs) 2015/Australian Quality Training Framework mandatory requirements for assessors current at the time of assessment and any relevant licensing and certification requirements. This includes:	
vocational competencies at least to the level being delivered and assessed	
current industry skills directly relevant to the training and assessment being provided	

current knowledge and skills in vocational training and learning that informs their training and assessment	
formal relevant qualifications in training and assessment	
having knowledge of and/or experience using the latest techniques and processes	
possessing the required level of RII training product knowledge	
having an understanding and knowledge of legislation and regulations relevant to the industry and to employment and workplaces	
demonstrating the performance evidence, and knowledge evidence outlined in this unit of competency, and	
the minimum years of current** work experience after competency has been obtained as specified below in an industry sector relevant to the outcomes of the unit.	
It is also acceptable for the appropriately qualified assessor to work with an industry expert to conduct assessment together and for the industry expert to be involved in the assessment judgement. The industry expert must have current industry skills directly relevant to the training and assessment being provided. This means the industry subject matter expert must demonstrate skills and knowledge from the minimum years of current work experience after competency has been obtained as specified below, including time spent in roles related to the unit being assessed:	

Industry sector	AQF indicator level***	Required assessor or industry subject matter expert experience
Drilling, Metalliferous Mining, Coal Mining, Extractive (Quarrying) and Civil Infrastructure	1	1 year
	2	2 years
Drilling, Coal Mining, Extractive (Quarrying), Metalliferous Mining and Civil Infrastructure	3-6	3 years
Other sectors	Where this unit is being assessed outside of the resources and infrastructure sectors assessor and/or industry subject matter expert experience should be in-line with industry standards for the sector in which it is being assessed and where no industry standard is specified should comply with any relevant regulation.	

<p>*Guidance on simulated environments has been stipulated in the RII Companion Volume Implementation Guide located on VETNet.</p>	
<p>**Assessors can demonstrate current work experience through employment within industry in a role relevant to the outcomes of the unit; or, for external assessors this can be demonstrated through exposure to industry by conducting a minimum number of site assessments as determined by the relevant industry sector, across various locations.</p>	
<p>*** While a unit of competency does not have an AQF level, where a unit is being delivered outside of a qualification the first numeric character in the unit code should be considered as the AQF indicator level for assessment purposes.</p>	