BSBWHS406
Assist with Responding to Incidents

Student Study Guide
Acoustar and Noise Measurement Services Pty Ltd is a registered training organization (RTO Registration Identifier Code 41013) under the Australian Skills Quality Authority (ASQA) providing BSB41415 Certificate IV Work Health and Safety qualification and MSS11 Sustainability Training Package (noise and noise management) units of competency.

For Inquiries
Contact:
Acoustar ph. (7) 3355 9707
Brisbane

email: admin@acoustar.qld.edu.au
www.acoustar.qld.edu.au

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Acoustar WHS PO Box 2127 Brookside Centre, Qld 4053, Australia

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WELCOME!

The Acoustar course content is designed to be easy to understand. We provide practical work with theory to give a rounded understanding of a particular topic. Your trainers are practical people who work in industry and show you how to promote best practice in the workplace and avoid pitfalls in legislation, codes of practice and workplace guidelines.

Our projects relate to your work, and we guide you through each assignment so the key issues become clear and can be used in your workplace. Our study guides allow an easy progression from identifying basic issues to assessing complex solutions.

STUDY GUIDE

Your study guide has been carefully developed and customised for this unit of competency. Read and research the following information carefully. It is important not to limit your research to the sources provided.

Course Learning Guides

Acoustar BSBWHS406 Study Guide

Program recommended reading - WHS (not included)

- ACT WorkSafe
- Australasian Legal Information Institute
- Australian Chamber of Commerce and Industry
- Australian Communications and Media Authority (ACMA) 2012, calling the emergency call service from a mobile phone: FAQs
- Australian Council of Trade Unions
- COMECARE Australian (commonwealth public service)
- Department of commerce
- Department of education and training
- Department of justice workplace Tasmania
• ‘A basic introduction to managing risk using the Australian and New Zealand management standard AS/NZS 4360:1999’, standards Australia by Knight, KW, Homebush NSW, HB 142-1999
• Northern territory worksafe
• Safe work Australia 2011, how to manage work health and safety risks code of practice
• Safe work Australian, legislation fact sheet series – codes of practice, emergency plans, incident notification, work health and safety duties laws
• Safe work Australia
• St John 2010, first aid fact sheets
• The Australian institute of occupational hygienists (AIOH)
• The occupational dermatology research and education centre (ODREC)
• The printing industries association of Australia (PIAA) National office
• Victoria worksafe
• Workcover NSW 2001, OHS consultation code of practice 2001
• Workcover SA
• Worksafe Australian 1990, Australian standard as 1885.1:1990 workplace injury and disease recording standard
• Work safe Australian, interpretive guideline – model work health and safety act. The health and safety duty of an officer under section 27
• WorkSafe WA (2007), Tips for investigating Accident and Incidents,

Useful websites include

• www.safeworkaustralia.gov.au – Safe Work Australia: national government work health and safety body
• www.comcare.gov.au –Commonwealth workplace safety, rehabilitation and compensation Regulator
• www.amsa.gov.au – Australian Maritime Safety Authority – maritime safety Regulator
• www.arpansa.gov.au – Australian Radiation Protection and Nuclear Safety Agency - nuclear and radiation safety Regulator
• www.atsb.gov.au – National Independent Transport Accident Investigator - air safety, rail safety and marine safety investigation
• www.nopsa.gov.au – National offshore petroleum safety authority – oil and gas safety Regulator
• www.austlii.edu.au – Australian Legal Information Institute for Commonwealth, state and territory work health and safety acts and regulations
• www.standards.com.au – The Australian standards organisation
• www.saiglobal.com – For copies of Australian and international standards and codes
• ohs.anu.edu.au – Australian National University’s National Research Centre for OHS Regulation
STUDYING

Your Study materials consist of a set of documents:

- This Study Guide
- Reading materials
- The assessment tasks; and
- A face-to-face tutorial program

The training program is arranged over a tutorial program and assessment tasks to be completed. A trainer-assessor will be assigned to you to help you through the program. The program is weighted towards practical work. Theory and background readings will be made available.

The assessment tasks are in three groups:

- Learning the **knowledge** underpinning the real-world building, environmental and workplace acoustics and noise control. The assessment tasks will be discussed briefly in the tutorials and are completed at home.

- **Case scenarios** dealing with real-world situations.

- **Practical** assessments that are the heart of the training program. These are done at home.

The unit is based on a minimum of 40 hours tutorial and at-home / work related activity for a person without prior knowledge. A person with prior knowledge may complete the unit in less time.

There are strict rules governing study and factual evidence of your work. Please read your assessment questions carefully.

The next section presents an overview to the content and structure of the course.
BSBWHS406

Overview
Slide 1

BSBWHS406
Assist with responding to incidents

Slide 2

Element 1
Assist with identifying legislative and other requirements

Slide 3

- Incidents are work-related events that may occur and result in injury, harm, ill health or a fatality in the workplace.
- Duty holders have responsibilities:
  - persons conducting businesses and undertakings (PCBUs)
  - officers
  - workers
  - other people at a workplace.
A WHS incident response procedure should be tailored to the:
- industry
- type of products or services provided
- size and location of the organisation.

Incident response procedures may address:
- who to notify
- the seriousness of the incident
- the seriousness of the accident
- control of the incident site
- emergency evacuation procedures
- recording and reporting procedures.

For every incident, there is a cause.
Understanding the cause of incidents is vital to ensuring WHS safety in the workplace.
Slide 7

- Incident causation analysis methodology is a safety analysis method that attempts to identify factors and failures within the organisation that contributed to the incident.
- Examples would be ICAM and Root Cause Analysis

Slide 8

- Most causes of incidents may be attributed to:
  - organisational culture
  - human error
  - machinery and equipment.

Slide 9

- The hierarchy of control is a structured approach to reducing the risks associated with a hazard.
- The hierarchy of control:
  - Level 1
    - Elimination
  - Level 2
    - Substitution
    - Isolation
    - Engineering controls
  - Level 3
    - Administrative controls
    - Personal protective clothing and equipment
Organisations are obliged to inform and update workers on all WHS matters.

It is critical that all workers understand all aspects of incident response procedures.

Incident response procedures may be communicated through various methods, including:
- meetings
- demonstrations
- newsletters
- visual methods
- induction sessions.

Element 2
Assisting with implementing initial incident response procedures

A PCBU must ensure that first-aid kits are available, accessible and properly maintained.

There must be an adequate number of workers trained to administer first aid at the workplace.

The number of workers that need to be trained in providing first aid differs according to the type, location and size of the organisation.
Slide 13

- Incidents need to be reported and documented by the PCBU according to organisational policies and procedures, and appropriate notifications must be completed by law.

Slide 14

- Notifiable incidents are serious in nature and must be reported to the state or territory health and safety regulator immediately.
- The report about the incident should include as much detail as possible.
- Part 3 Section 35 of the Act states:
  - Death
  - Serious injury
  - A dangerous incident

Slide 15

- The notifier must keep a record of the notifiable incident for at least five years from the date of notification.
Element 3
Assisting with collecting WHS information and data relevant to an investigation

Analysing data information is a critical part of conducting a valid investigation of an incident.

The data enables examination of anything that may have contributed to the occurrence or severity of the incident.

You will need to use the following data collection techniques:
- Accessing information and statistics
- Conducting WHS inspections
- Engaging the services of consultants or WHS specialists
- Engaging personnel to conduct specialised testing
Slide 19

- There is a range of external and additional sources of information that may be accessed, including:
  - industry-based data
  - work-related statistics
  - numbers and types of work-related injury by sex/age
  - role and responsibilities when an injured worker returns to work
  - industry best practice standards.

Slide 20

Element 4
Assisting incident investigations

Slide 21

- Investigations in the workplace may be undertaken by internal or external parties, depending on the nature and severity of the incident that has occurred.
Investigations need to consider all of the factors associated with the incident, including the factors that contributed leading up to, during and after the incident.

When you are assisting with an investigation, you need to use appropriate techniques to ensure an effective and complete investigation is conducted.

Reports and documents provide data that can pinpoint problems, highlight patterns and mark progress in relation to work health and safety.

Comparing past performance to current performance helps assess the effectiveness of risk-control measures and determine whether a more detailed investigation is required.

The more information that is included in records and entered into the organisation’s database, the easier it is to identify areas of concern.

WHS records can also be used to compare the costs of risk-control measures with the effectiveness of the measure.
Communication methods for ensuring workers understand WHS include:
- information sessions
- internal memos and emails
- signage around the workplace.

Element 5
Assisting in implementing recommended measures and actions arising from investigations

When incident investigations are undertaken, it is essential to communicate the recommendations that result from investigations to all relevant parties.
Examples of information that may need to be communicated include:
- WHS policies and procedures
- safe working procedures
- instructions and maintenance manuals
- safety data sheets (SDSs)
- training courses and materials
- investigation results.

You can contribute to implementing incident response procedures by informing your supervisor of any changes to goods, equipment or tools that SDSs of manufacturer’s notifications require.

While the primary objective is to eliminate hazards and remove the chance of any incidents occurring, it is important to realise that no workplace will be totally free of risk.
Underpinning knowledge questions 1 - 32
  – Brief and Bullet points

Case Studies
  – Complete case study number 1 as per guidance

Practical assessment
  – Present a section on incident investigation that summarizes the incident investigation process. Use your case study as an example
BSBWHS406

Course Content
Course Content

This Study Guide describes the performance outcomes, skills and knowledge required to implement an organisation’s continuous improvement systems and processes. Particular emphasis is on using systems and strategies to actively encourage your participation in the process, monitoring and reviewing performance, and identifying opportunities for further improvements.

The BSB07 Business Services Training Package was developed by the Innovation and Business Skills Australia Industry Skills Council in consultation with industry stakeholders including employers, unions, peak bodies, professional associations, regulatory bodies, registered training organisations (RTOs) and other relevant parties. The training package specifies the skills and knowledge required to perform effectively in the workplace.

Individual units of competency are nationally agreed statements that describe work outcomes and can stand alone when applied in the workplace.

Q. What is ‘competency’?

A. Competency means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

Every job requires a specific set of knowledge and skills and this varies depending on the type and complexity of the job. Competency assessment is about providing a way of building the skills and knowledge people need to perform a job. It is a combination of work practice and knowledge learned through training programs or own study.

To be competent in a task you must have the necessary skills and knowledge to do so. This is the purpose of our training program.

This unit applies to those with responsibility for a specific area of work or who lead a work group or team. It addresses the knowledge, processes and techniques necessary to implement and monitor environmentally sustainable work practices, including the development of processes and tools, such as:

- identifying areas for improvement
- developing plans to make improvements
- implementing and monitoring improvements in environmental performance.

A person who demonstrates competence in this unit must be able to provide evidence of the ability to implement and monitor integrated environmental and resource efficiency management policies and procedures within an organisation. Evidence must be strictly relevant to the particular workplace role.
## Elements and Performance Criteria

*Elements* describe the essential outcomes of a unit of competency.

*Performance criteria* describe the performance needed to demonstrate achievement of the element. Assessment of performance is to be consistent with the *evidence* guide.

<table>
<thead>
<tr>
<th>Element</th>
<th>Performance Criteria</th>
</tr>
</thead>
</table>
| 1. Assist with identifying legislative and other requirements          | 1.1 Apply knowledge of WHS legislation to identify duty holders and legislative requirements regarding responding to incidents  
1.2 Apply knowledge of workplace policies, procedures and processes to identify workplace requirements regarding responding to incidents  
1.3 Communicate requirements to individuals and parties appropriate to own job role and work area |
| 2. Assist with implementing initial incident response procedures        | 2.1 Assist with providing first aid according to workplace procedures and processes, where necessary  
2.2 Assist with notifying, reporting and documenting incidents according to workplace procedures and processes  
2.3 Assist with meeting legislative requirements regarding incidents, where necessary |
| 3. Assist with collecting WHS information and data relevant to an investigation | 3.1 Assist with obtaining information and data from those involved, using appropriate data-collection techniques, about actions and events leading up to or occurring during or after an incident  
3.2 Assist with identifying and accessing sources of additional information and data related to an incident |
| 4. Assist incident investigations                                       | 4.1 Assist investigators and provide relevant information during investigations  
4.2 Use appropriate techniques when participating in workplace investigations  
4.3 Review reports on incidents, injuries and illnesses  
4.4 Contact responsible persons and relevant authorities when required |
| 5. Assist in implementing recommended measures and actions arising from investigations | 5.1 Communicate recommendations arising from investigations to relevant others  
5.2 Assist with measures and actions appropriate to own job role and work area |
## Definitions to assist in understanding the Performance Criteria

<table>
<thead>
<tr>
<th><strong>WHS legislation</strong> may include:</th>
<th>WHS Acts, regulations and codes of practice.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Duty holders</strong> may include:</td>
<td>• as specified in WHS Acts:</td>
</tr>
<tr>
<td></td>
<td> persons conducting businesses or undertakings (PCBUs) or their officers</td>
</tr>
<tr>
<td></td>
<td> workers</td>
</tr>
<tr>
<td></td>
<td> other persons at a workplace.</td>
</tr>
<tr>
<td><strong>Incidents</strong> may include:</td>
<td>accidents</td>
</tr>
<tr>
<td><strong>Individuals and parties</strong> may include:</td>
<td>• contractors and subcontractors</td>
</tr>
<tr>
<td></td>
<td>• health and safety committees</td>
</tr>
<tr>
<td></td>
<td>• health and safety representatives</td>
</tr>
<tr>
<td></td>
<td>• managers, supervisors and PCBUs or their officers</td>
</tr>
<tr>
<td></td>
<td>• unions</td>
</tr>
<tr>
<td></td>
<td>• WHS entry permit holders</td>
</tr>
<tr>
<td></td>
<td>• WHS inspectors</td>
</tr>
<tr>
<td></td>
<td>• WHS regulators</td>
</tr>
<tr>
<td></td>
<td>• workers.</td>
</tr>
<tr>
<td><strong>Meeting legislative requirements</strong> may include:</td>
<td>• compliance with a non-disturbance notice</td>
</tr>
<tr>
<td></td>
<td>• notification of notifiable incidents</td>
</tr>
<tr>
<td></td>
<td>• preservation of the incident site.</td>
</tr>
<tr>
<td><strong>Appropriate data-collection techniques</strong> may include:</td>
<td>• accessing information and statistics on accidents and dangerous occurrences</td>
</tr>
<tr>
<td></td>
<td>• conducting regular accident or special workplace WHS inspections</td>
</tr>
<tr>
<td></td>
<td>• engaging the services of an internal or external consultant or specialist WHS practitioner</td>
</tr>
<tr>
<td></td>
<td>• facilitating the engagement of personnel to conduct specialised testing on hazards in the workplace.</td>
</tr>
<tr>
<td><strong>Actions and events</strong> may include:</td>
<td>• anything that may have contributed to the occurrence or severity of the incident, including design decisions</td>
</tr>
<tr>
<td></td>
<td>• facts about the incident, such as:</td>
</tr>
<tr>
<td></td>
<td> systems; people</td>
</tr>
<tr>
<td></td>
<td> tools; equipment</td>
</tr>
<tr>
<td></td>
<td> materials; fixtures</td>
</tr>
<tr>
<td></td>
<td> time and nature of any injuries sustained.</td>
</tr>
</tbody>
</table>
| Sources of additional information and data may include: | • booklets and publications from statutory authorities  
• manufacturer manuals, specifications and instructions  
• records of:  
• hazards identified in the workplace  
• previous actions taken to control hazards  
• risk assessments  
• rights and responsibilities of those involved in WHS in the workplace  
• safe work procedures  
• WHS consultation and participation processes  
• WHS Acts, regulations, codes of practice, industry standards and guidelines  
• WHS-related websites  
• workplace WHS policies, procedures and agreements. |
| --- | --- |
| Investigators may include: | • external consultants  
• industry representatives, managers, supervisors and PCBUs or their officers  
• inspectors from statutory WHS investigative bodies or regulators  
• internal WHS specialists  
• WHS representatives conducting workplace investigations for issues raised in the workplace. |
| Appropriate techniques may include: | • examination of relevant information and data  
• inspections  
• interviews  
• simulations  
• timelines of actions and events. |
What skills and knowledge do I need to demonstrate?

**Skill set**
Every job requires a specific set of skills and knowledge and this varies depending on the type and complexity of the job. Competency assessment is about providing a way of building the skills and knowledge people need to perform a job. It is a combination of work practice and knowledge learned through training programs or own study.

**Improved skills & knowledge – improved performance capability**
The key to competency assessment is that it is based on actual skills and knowledge that a person can *demonstrate* in the workplace or other contexts. In this unit the competencies are benchmarked against a pre-set of performance criteria.

These are described the section “*Elements and Performance Criteria*” This is different to other approaches where there is no requirement to demonstrate knowledge and skills – like approaches where people just answer questions as a test of their general or specific knowledge and skills.

The problem with testing is that it doesn’t guarantee that a person will be able to *do* something – it just verifies that they know something. To assist you our approach is:

- Assess yourself against a set of competencies.
- Compile a list of evidence that shows your level of competency.
- Identify your development needs.
- Study the assessment questions (“Learning”) and work through the Project (“Understanding, Skill and Application of Knowledge”)
- Send your completed Project to your Trainer / Assessor for Assessment. You are awarded competence in this Unit if you can demonstrate the required level of skills and knowledge.
# Foundation Skills

*This section describes language, literacy, numeracy and employment skills incorporated in the performance criteria that are required for competent performance.*

<table>
<thead>
<tr>
<th>Skill</th>
<th>Performance Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Reading</strong></td>
<td>1.1, 1.2, 3.2, 4.2</td>
<td>- Interprets and analyses complex WHS legislative texts</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Analyses reports and other materials to determine required course of action</td>
</tr>
<tr>
<td><strong>Writing</strong></td>
<td>1.3, 2.2, 3.1, 4.1, 4.2 4.3, 5.1</td>
<td>- Completes workplace records, forms and documentation using correct format, accurate spelling and grammar and industry specific terminology</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Records key information for reference using register and language appropriate to audience</td>
</tr>
<tr>
<td><strong>Oral Communication</strong></td>
<td>1.3, 2.2, 3.1, 4.1, 4.2, 4.3, 5.1</td>
<td>- Presents information or advice using structure and language suitable for audience</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Uses questioning and listening techniques to obtain feedback from others and confirm understanding</td>
</tr>
<tr>
<td><strong>Navigate the world of work</strong></td>
<td>1.1-1.3, 2.1-2.3</td>
<td>- Takes responsibility for adherence to legal and regulatory responsibilities and organisational policies and procedures</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Keeps up to date on changes to WHS legislation and regulations and organisational policies and procedures</td>
</tr>
<tr>
<td><strong>Interact with others</strong></td>
<td>1.3, 2.2, 3.1, 4.1, 4.2, 4.4, 5.1</td>
<td>- Understands what to communicate, with whom and how in the context of incident investigations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Collaborates with others to achieve individual and team outcomes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Cooperates with others as part of incident investigations and contributes to specific activities requiring joint responsibility and accountability</td>
</tr>
<tr>
<td><strong>Get the work done</strong></td>
<td>2.1-2.3, 3.1, 3.2, 4.1-4.4, 5.2</td>
<td>- Applies formal processes to plan, sequence and prioritise tasks required for incident investigations showing awareness of time and resource constraints and needs of others</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Uses the main features and functions of digital tools to complete work tasks and access information</td>
</tr>
</tbody>
</table>
The required performance and knowledge for this Unit

During the Assessment your Trainer will be looking for evidence that you have achieved the required skills and knowledge. For most items the evidence can be presented in your Project.

Performance Evidence
Evidence of the ability to, as appropriate to job role and work area, assist with:
- identifying Work Health and Safety (WHS) legislative and organisational requirements and duty holders in relation to responding to WHS incidents
- communicating relevant WHS requirements clearly and accurately to individuals and parties
- providing first aid according to workplace procedures and processes
- reporting, notifying and documenting incidents, and meeting legislative requirements
- obtaining information about incidents using appropriate data collection techniques
- investigating incidents and
- communicating and implementing recommendations from investigations.

Knowledge Evidence
To complete the unit requirements safely and effectively, the individual must:
- explain hierarchy of control and considerations for choosing between different risk controls including possible inadequacies of particular risk controls
- identify internal and external sources of WHS information and data, and how to access
- outline the organisation’s WHS policies, procedures, processes and systems relevant to own job role or work area that relate to WHS incidents and accidents including initial response and first aid, investigations and reporting
- explain own role and role of duty holders in responding to incidents.
Skills self-assessment

In this section you are asked to make a realistic assessment of your skills BEFORE starting the Unit. If you are unsure mark the Level as ‘Low’. Your trainer will use this assessment to help you complete the Unit.

<table>
<thead>
<tr>
<th>1. Assist with identifying legislative and other requirements</th>
<th>Current Skill level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Apply knowledge of WHS legislation to identify duty holders and legislative requirements regarding responding to incidents</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>1.2 Apply knowledge of workplace policies procedures and processes to identify workplace requirements regarding responding to incidents</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>1.3 Communicate requirements to individuals and parties appropriate to own job role and work area</td>
<td>High Medium Low</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Assist with implementing initial incident response procedures</th>
<th>Current Skill level</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Assist with providing first aid according to workplace procedures and processes where necessary</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>2.2 Assist with notifying reporting and documenting incidents according to workplace procedures and processes</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>2.3 Assist with meeting legislative requirements regarding incidents where necessary</td>
<td>High Medium Low</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Assist with collecting WHS information and data relevant to an investigation</th>
<th>Current Skill level</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1 Assist with obtaining information and data from those involved using appropriate data-collection techniques about actions and events leading up to or occurring during or after an incident</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>Task</td>
<td>Current Skill level</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>3.2 Assist with identifying and accessing sources of additional information and data related to an incident</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>4. Assist incident investigations</td>
<td></td>
</tr>
<tr>
<td>4.1 Assist investigators and provide relevant information during investigations</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>4.2 Use appropriate techniques when participating in workplace investigations</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>4.3 Review reports on incidents injuries and illnesses</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>4.4 Contact responsible persons and relevant authorities when required</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>5. Assist in implementing recommended measures and actions arising from investigations</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>5.1 Communicate recommendations arising from investigations to relevant others</td>
<td>High Medium Low</td>
</tr>
<tr>
<td>5.2 Assist with measures and actions appropriate to own job role and work area</td>
<td>High Medium Low</td>
</tr>
</tbody>
</table>
What is evidence?

Evidence is a body of facts that proves or supports a belief or proposition to support your competency in this unit. An Assessment needs to contain evidence from your own work and understanding.

The rules of evidence are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure:

- Validity
- Sufficiency
- Authenticity
- Currency

Validity
The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

Sufficiency
The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgment to be made of a learner’s competency.

Authenticity
The assessor is assured that the evidence presented for assessment is the learner’s own work.

Currency
The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

What evidence do I need to provide?

The Evidence Guide provides advice on assessment and must be read in conjunction with the Performance Criteria, Required Skills and Knowledge, Range Statement and the Assessment Guidelines for the Unit.
# Evidence Guide

<table>
<thead>
<tr>
<th>Overview of assessment</th>
<th>Evidence of the following is essential:</th>
</tr>
</thead>
</table>
| Critical aspects for assessment and evidence required to demonstrate competency in this unit | • following the hierarchy of control  
• attention to detail  
• thoroughness in completion of documentation  
• knowledge of relevant commonwealth and state or territory WHS Acts, regulations, codes of practice, standards and guidance material. |

<table>
<thead>
<tr>
<th>Context of and specific resources for assessment</th>
<th>Assessment must ensure access to: relevant WHS information, such as:</th>
</tr>
</thead>
</table>
|                                                  | • organisational policies  
• standard operating procedures and plans  
• relevant Acts, regulations and codes of practice  
• licensing requirements  
• standards  
• appropriate office equipment and resources  
• relevant internal and external data files. |

<table>
<thead>
<tr>
<th>Method of assessment</th>
<th>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</th>
</tr>
</thead>
</table>
|                      | • analysis of responses to case studies and scenarios  
• assessment of documentation completed when contributing to WHS investigations  
• direct questioning combined with review of portfolios of evidence and third-party reports of on-the-job performance by the candidate  
• oral or written questioning to assess knowledge of basic principles of incident causation  
• review of reports on safety incidents, injuries and illnesses  
• evaluation of communications to relevant others about recommendations arising from investigations. |
<table>
<thead>
<tr>
<th>Guidance information for assessment</th>
<th>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</th>
</tr>
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</table>
What is an assessment?

**Assessment** is the process of checking your competence to perform to the standard detailed in each element’s performance criteria against a set of pre-determined benchmarks.

**Principles of assessment**
To ensure quality outcomes, assessment should be:

- Fairness
- Flexibility
- Validity
- Reliability

**Fairness**
The individual learner’s needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner’s needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.

**Flexibility**
Assessment is flexible to the individual learner by:

- reflecting the learner’s needs;
- assessing competencies held by the learner no matter how or where they have been acquired; and
- drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

**Validity**
Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires:

- assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
- assessment of knowledge and skills is integrated with their practical application;
- assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- judgment of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability
Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

How will I be assessed?

The assessment activities are in the Assessment Guide and designed to enable you to collect evidence for assessment and to assess your skills and knowledge.

Work through the activities. While the activities are listed separately they are designed to build up into an integrated project which is described at the end of the assessment guide.

You should clearly reference your work with full citations for any quotes or references, and list all materials that provided background information for completion of an activity.

While access to an actual workplace is desirable, part of the assessment may be through simulated project activity, scenarios, case studies, role-plays or actual activities.

The integrated project and presentation activity in each assessment guide provides you with an opportunity to consolidate your learning. Ideally the project will be an application of what you have learnt as applied to a workplace, thus providing evidence of your ability to transfer and apply skills and knowledge to new situations.

A mentor, or an appropriate third party familiar with your work, can help provide an independent evaluation of your ability to work consistently and effectively at the required level.

Underpinning Knowledge and Practical Assignments

This is where you show that you have achieved an acceptable level of competence in skills and knowledge for this Unit.

Confidentiality

When collecting material, please ensure that you protect the confidentiality of colleagues, workers and other persons, and block out any sensitive information.

All evidence and coursework you send to Acoustar will be treated in the strictest confidence by your Trainer / Assessor and not made available to any third party.
Assessments

There are three formal assessments:

1. Classwork and completing the Underpinning Knowledge questions with the help of others and your trainer
2. Completing the Case Scenarios in your own time but with the help of others and your trainer as needed
3. Completing the Practical Assessments in your own time and by yourself. You can ask your trainer for assistance.

In addition the Skills and Knowledge questions cover the range of topics in the Foundation Skills. These questions are in the ‘Underpinning Knowledge - Tutorials’ section.

Assessment Conditions

Information for assessors:

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals using interpersonal communication skills in the workplace and include access to:

- equipment, materials and business software packages for making a presentation
- business technology
- interaction with others.
BSBWH5176
Underpinning Knowledge
Underpinning Knowledge

Instructions to the student

- Read all of the questions for this unit of competency before commencing.

- Answer all the questions for this unit of competency. Keep in mind you are studying a Nationally Recognised Certificate IV unit of competency.

- Your answers must reflect the depth of knowledge and understanding expected of a person who can work without supervision, and demonstrate a level of judgement and decision making.

- This assessment is to be conducted in a supervised classroom environment. Computers may be used for the purpose of presenting the answers in a neat and professional manner.

- You must complete all your own work without assistance from other persons and/or sources:
  - The assessor will take steps / make arrangements to ensure students do not share their work and/or answers
  - The assessor will predetermine the timeframe for the assessment and advise the students
  - The assessor will make arrangements to receive the completed assessment via email, USB, printed or similar

- Unless otherwise specified, your answers should be 100 to 250 words.

- All questions and tasks must be true and correct to be assessed as satisfactory.

- Complete the assessment sign off sheet with your assessor.
Underpinning Knowledge Questions

**Question 1**
Identify the legislative duty holders within your organisation and explain the requirements each has regarding responding to incidents.

**Question 2**
Evaluate your workplace’s policies and procedures regarding responding to incidents. Identify how the policies and procedures:
- Comply with legislative requirements
- Delegate roles and responsibilities
- Are disseminated to workers
- Produced in consultation with relevant parties
- Define how an incident site will be controlled
- Define when and how emergency assistance will be sought

**Question 3**
Identify two (2) methods you can use to communicate legislative requirements to workers.

**Question 4**
Explain what the acronym DRSABCD refers to when providing first aid.

**Question 5**
Explain and evaluate your organisation’s policy / procedure for the application of first aid before and after a workplace incident.

**Question 6**
Identify the six (6) pieces of important information that must be recorded when documenting incidents.

**Question 7**
Explain and evaluate your organisation’s policy / procedure for notifying, reporting and documenting incidents.

**Question 8**
Define a ‘notifiable’ incident, according to WHS legislation.

**Question 9**
Explain the legislative requirements regarding the preservation of the site of a workplace incident.

**Question 10**
Nominate six (6) pieces of information you may need to collect when investigating an incident.

**Question 11**
Identify ten (10) sources of information you may access to investigate an incident.

**Question 12**
Explain the purpose of creating a timeline of events leading up to the incident.
Question 13
Identify four (4) sources of additional external information that may aid in the incident investigation.

Question 14
Identify four (4) pieces of key information you may need to provide to investigators during an incident investigation.

Question 15
Nominate three (3) possible persons who could be nominated as ‘investigator’ during an incident.

Question 16
Identify four (4) appropriate investigation techniques that may be used during an incident investigation.

Question 17
Explain why it is recommended that supervisors be involved in an incident investigation.

Question 18
Identify possible actions that may be recommended to avoid further incidents.

Question 19
When reviewing reports on incidents, injuries and illness, it is recommended to ensure that each statement is justified by data. How can you accomplish this?

Question 20
Nominate three (3) possible incidents that would require you to notify your state authority.

Question 21
Identify the information you will be required to provide when reporting a ‘notifiable’ incident.

Question 22
Identify three (3) relevant parties that you will need to communicate the recommendations made after an incident investigation.

Question 23
Identify four (4) areas that recommendations may relate to after an incident investigation.

Question 24
Nominate six (6) methods to communicate the recommendations to relevant parties.

Question 25
Identify four (4) requirements of effective communication.

Question 26
Explain all the levels of the hierarchy of control in priority order.

Question 27
Explain how the hierarchy of control is used to select risk control measures.
BSBWHS406

Case Scenarios
Case Scenarios

Instructions to the Student

These case scenarios will be discussed in tutorials with your tutor. Please read and attempt the tasks. There are no assignment answers required.

Case Scenario Questions

CASE SCENARIO 1

You have been engaged by the safety manager of the Hillcrest Mine to coordinate the investigation of a serious incident. You have been told that a heavy duty vehicle has rolled off its jack and pinned a young apprentice under it. The heavy duty vehicle had to be jacked up to free him. He was taken by ambulance to the Royal Perth Hospital.

You are met by the safety manager, who wasn’t present during the incident, but is able to inform you that Jason Smith, the injured worker, is 18 years of age. He is a conscientious 2nd year heavy duty mechanic, well liked by his peers and supervisors. The extent of his injuries are now known. Jason has suffered:

a. A fractured skull
b. A depressed skull causing a contusion of the right frontal lobe
c. A fractured nasal bone
d. Fractured ribs causing an associated hematoma
e. A lacerated head which required suturing by a plastic surgeon

There were five (5) workers on shift when the accident took place:

- Dave Brooks, the depot supervisor / head mechanic, 14 years experience, aged 34 years
- Ron Davey, mechanic and the depot’s health and safety representative, 33 years experience, aged 51 years
- Craig McSweeny, mechanic, 21 years experience, aged 39 years
- Mark Beutel, 3rd year mechanic, 3 years experience, aged 21 years
- Jason Smith, 2nd year apprentice, 2 years experience, aged 18 years

The safety manager is very concerned about the events and comments that he is getting pressure from management to reopen the depot tomorrow. The incident occurred at 3:20pm this afternoon and the depot closed immediately.

Scenario Task 1

As the first member of an investigation team at the scene of a workplace incident involving injured people and damaged equipment, outline your first actions.
Scenario Task 2
Explain how you will maintain site preservation until the investigation is complete.

Scenario Task 3
Establish the legal obligations that will apply to this incident. Outline the key legislative instruments and information publications that will apply in your jurisdiction.

Scenario Task 4
Who do you notify and why?

Scenario Task 5
Make a list of company policies or documentation that may assist in this investigation. Explain why such documentation would be of assistance.

Scenario Task 6
Make a list of the observations you will record when inspecting the incident site and other evidence.

CASE SCENARIO 2

You have just been employed in a support role within the safety team at a remote FIFO (fly in, fly out) mine site in the tropics. After specific and general induction of the site you are sitting alone in the safety office reading the policy and procedure manual, while your colleagues, including your supervisor, are out onsite.

At 2:40pm the phone rings. The man on the other end introduces himself as Michael Henry and advises you that he has just witnessed a light vehicle rollover on the mine access road that links the maintenance depot to the actual mine. He tells you that there were two (2) people in the vehicle and there is a fair bit of blood. He hangs up before you can ask any more questions.

Scenario Task A
Identify the legislative requirements in relation to this incident.

Scenario Task B
What steps will you take to assist in the initial incident response?

Assessment Task C
Once the safety of all parties is ensured, what WHS information and data will you collect relevant to the investigation?

Assessment Task D
Compile an initial list of the hazards that might be associated with this incident type and the controls you would expect to be in place.

Assessment Task E
Identify three (3) investigation techniques you can use during the incident investigation.
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BSBWH406

Practical Assessment
Practical Assessment

Instructions to the Student

- Read the study material included in your Study Guide. Read relevant texts from the list of suggested reading websites provided. Read each of the practical activity assessments for this unit of competency before commencing.

- Answer all of the requirements of the practical activities. Keep in mind you are studying a Nationally Recognised Unit of Competency. Your answers must reflect the depth of knowledge and understanding expected of a person who can work without supervision and demonstrate a level of judgement and decision making.

- The assessment tasks are to be completed in your own time.

- Notes, textbooks and computers may be used. Be prepared to:
  - View www.youtube.com
  - Utilise search engines like www.google.com.au
  - Research the websites of organisations specialising in business, management, technology and similar

- You must complete all your own work without assistance from other persons:
  - The assessor will take steps / make arrangements to ensure students do not share their work and / or answers
  - The assessor will predetermine the timeframe for the assessment and advise the student
  - The assessor will make arrangements to receive the completed assessment via email, USB, printed or similar
  - All aspects of your practical activities must be assessed as satisfactory in order to achieve a satisfactory result for this assessment.

- Save your work on your computer. Backup your work and secure the backup in an alternate, safe location. For example, save a backup copy on an external drive or another computer.

- Email your work to your assessor. Plan to present your work to your trainer / assessor at your next class tutorial.

- Complete the assessment sign off sheet with your assessor.
Practical Assessment Questions

Practical Activity 1

Scenario:
One of the recommendations arising from an investigation is to review the organisational policy on hazard identification and reporting, as the water hazard had not been officially reported. You have reviewed the policy and found it to be comprehensive and legally compliant. You realise that the failure within the company is communicating this policy to the workers.

You decide to call a meeting of the safety reps and managers to stress the importance of this policy.

Prepare a short presentation to be conducted in the classroom environment, with your assessor playing the role of a safety rep.

Ensure your presentation includes:
- Legal obligations of workers
- Communication chain to be used (use your own workplace processes as a guide)
- Paperwork to be utilised (use your own workplace processes as a guide)
- Importance of hazard identification and reporting, and how it can prevent incidents
- Outline of basic policy (use your own workplace processes as a guide)
- Practices of a systematic approach to managing WHS

Your presentation should take 3-5 minutes and should include scope for questions from the audience.

You are being assessed on your:
- Ability to communicate with various people regarding WHS information
- Attention to detail
- Thoroughness

Practical Activity 2

Research WHS legislation and define the following legislative terms:
- Reasonably practicable
- Due diligence
- Who are ‘duty holders’?

Practical Activity 3

Identify and explain the provision of first aid in your workplace.

Practical Activity 4

Explain the difference between a policy, procedure and code of practice.
Practical Activity 5
Explain what an emergency plan is and identify the information that should be provided on an emergency plan.

Practical Activity 6
Explain the role of level three (3) controls in hazard and risk minimisation.

Practical Activity 7
Identify the signs or symptoms of shock.

Practical Activity 8
Detail how someone suffering from shock should be managed.

Practical Activity 9
Explain what ‘non-disturbance notices’ are.

Practical Activity 10
Create an incident response procedure that can be used within your organisation. The procedure must be properly documented to current accepted best practice.

The procedure should contain the following sections:
1. Definitions
2. Objective
3. Scope
4. Procedure
5. First aid
6. Immediate action
7. Incident completion
8. Incident review

You will be assessed on your attention to detail and thoroughness in the completion of the document.

Practical Activity 11
Identify and evaluate the formal and informal communication processes used within your organisation. Define the key personnel related to communicating safety issues to the team.
ASSIGNMENTS SUBMITTED FOR ASSESSMENT

STUDENT DETAILS

Your assignments may be submitted by email. Please state whether the answers submitted are for:

- Underpinning Knowledge questions
- Practical questions

| Student Name: | ……………………………………………………… |
| USI: | ……………………………………………………… |
| Contact details: | Phone: ……………………………………………………… |
| | Email: ………………………………………………………………… |
| ASSIGNMENT | Underpinning Knowledge |
| | Practical |
| ASSIGNMENT QUESTIONS Nos. ANSWERED and SUBMITTED |
| Student Declaration | I declare that this work, when submitted, is my own work |
| | ………………………………………………………………… |
| Date: | |
| Assessor Only: Date assessed: | |

Email to: admin@acoustar.qld.edu.au
INSTRUCTIONS TO THE STUDENT

1. Read the study material included in this Study Guide. Read relevant texts and from the list of suggested reading websites provided. Read each of the practical activity assessments for this unit of competency before commencing.

2. Upon enrolment, you should have received an invitation to log into the Acoustar Student Portal. Go to your account on the Acoustar Student Portal:
   a. Visit acoustar.qld.edu.au
   b. Click Student Info and then Portal Login
   c. If you do not have a User Name or Password, please contact us.

3. Enter into your course by clicking the course that you have enrolled into. You now have access to the Student Resources and the Assignment Questions for each Unit.

4. Attempt the Assignment Questions; you must satisfactorily complete each Assignment.

If you require assistance, please contact us:

admin@acoustar.qld.edu.au

07 3355 9707 (Business hours)