



Australian Government

RIIWHS301 Conduct initial safety and health investigations

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Modification History

Release	Comments
1	This unit of competency was first released in RII Resources and Infrastructure Industry Training Package Release 12.0.

Application

This unit describes the skills and knowledge required to conduct initial work-related health and safety investigations, including initial response and contributing to evidence collection, scoping and findings in the mining, drilling, extractive and civil infrastructure industries.

This unit applies to those working in an operational or supervisory capacity who are required to contribute to initial work-related health and safety investigations as part of their responsibilities.

Licensing/Regulatory Information

Licensing, legislative and certification requirements that apply to this unit can vary between states, territories and industry sectors. Users must check the requirements with the relevant body before applying the unit.

Refer to the **RII Companion Volume Implementation Guide Addendum: Risk Management and Safety** for guidance on sector and jurisdictional context.

Pre-requisite unit(s)

No pre-requisite units

Competency field(s)

Risk Management

Work Health and Safety

Unit sector(s)

N/A

Elements and Performance Criteria

Element	Performance criteria
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<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1. Respond to the incident and establish the investigation	1.1 Implement immediate controls at the incident scene to prevent further harm, in accordance with workplace emergency and stop work procedures 1.2 Confirm the welfare of affected persons and ensure appropriate assistance has been provided 1.3 Secure and preserve the incident scene to prevent contamination of evidence 1.4 Complete an initial handover briefing of the incident scene to the relevant onsite authority 1.5 Report the incident to the relevant parties 1.6 Determine the scope of the investigation in accordance with own job role and level of responsibility
2. Gather evidence and information	2.1 Identify and apply appropriate methods to collect evidence, data and information in accordance with the investigation plan and site requirements 2.2 Collect and record evidence, data and information systematically to maintain its integrity and admissibility 2.3 Organise collected evidence, data and information
3. Examine and document investigation findings	3.1 Review collected evidence and information to assess its completeness and identify any gaps requiring further clarification 3.2 Confirm evidence is clear, complete and non-conflicting, in accordance with own role and responsibilities 3.3 Identify contributing factors to the incident based on the available evidence, in accordance with own role and responsibilities 3.4 Document findings clearly and accurately in accordance with the investigation plan
4. Contribute to recommended courses of action	4.1 Identify action items to address identified contributing factors and prevent recurrence, in accordance with own role and responsibilities 4.2 Communicate recommended action items to relevant parties in accordance with own role and responsibilities 4.3 Contribute to monitoring the implementation of agreed action items in accordance with own roles and responsibilities

5. Prepare and communicate investigation findings	5.1 Prepare a clear and accurate record of investigation findings in accordance with workplace reporting requirements and own role and responsibilities 5.2 Participate in the review of investigation findings with relevant parties, providing input in accordance with own role and responsibilities 5.3 Communicate investigation outcomes and recommended actions to relevant individuals and parties in accordance with own role and responsibilities
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Foundation skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

Skill	Description
Reading	- Locates, interprets and applies legislation, workplace procedures, investigation plans, incident information and supporting documentation to determine investigation requirements and responsibilities - Reviews evidence, records and data to identify relevant information and gaps requiring clarification
Writing	- Documents evidence, findings, action items and investigation outcomes using organisational formats, industry terminology and workplace reporting requirements - Prepares clear and accurate investigation records and reports appropriate to purpose and audience
Oral communication	- Uses questioning, active listening and clarification techniques to gather information from witnesses and other relevant parties - Communicates investigation requirements, findings and recommendations using language appropriate to the audience and situation - Participates effectively in investigation activities and discussions with relevant stakeholders
Numeracy	Interprets and organises quantitative information, measurements, timelines and other investigation data to support evidence-based findings
Technology	Uses workplace technologies and investigation systems to collect, record, store, organise and communicate evidence,

	information and investigation outcomes while maintaining data integrity and confidentiality
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Range of conditions

N/A

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Assessment Requirements for RIIWHS301 Conduct initial safety and health investigations

Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit.

The candidate must demonstrate participation in work-related health and safety investigations in accordance with their own role and responsibilities and the investigation plan on at least two occasions.

This includes:

- determining the objective and authority of the investigation
- holding the scene of a notifiable incident and maintaining scene security until released by the relevant regulator or authorised person
- following an investigation plan
- planning and organising activity to gather evidence and data, using at least three of the following:
 - lists of witnesses
 - interviews
 - statements
 - audio recordings
 - photographs
 - scale diagrams of the area
- undertaking research to gather evidence and data
- questioning and actively listening to those involved in the investigation
- correctly collecting and maintaining the security and integrity of evidence and procedural fairness
- contribute to identifying and/or confirming the linkages between factors and outcomes, causes and effects and direct/indirect causal relationships
- contribute to drawing conclusions and identifying appropriate action items to prevent future incidents
- communicating outcomes to relevant internal stakeholders and external parties
- contributing to writing clear, concise and effective reports of investigation findings
- contributing to presenting the findings to others, considering objectivity, confidentiality, validity and accuracy

In the course of the above work, the candidate must locate, apply and follow:

- relevant workplace documentation, including policies and procedures

- workplace risk management system(s)
- legislation, safety regulations, standards and Codes of Practice

Knowledge Evidence

The candidate must demonstrate the knowledge needed to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- Commonwealth and state or territory legislation relevant to securing incident scenes and conducting initial safety and health investigations and reporting requirements
- immediate response actions (including scene control, welfare confirmation, and handover briefing)
- internal and external sources of work-related health and safety information and data relevant to investigations
- applicable organisational work-related health and safety policies, procedures, processes and systems relevant to work role and responsibilities
- how to distinguish cause from correlation, techniques for identifying underlying system factors rather than surface-level observations
- topic or subject area that is the target for the investigation
- theory of safety and health investigative research and analysis
- symptoms and possible immediate effects of post-traumatic stress in an investigation situation
- industry context to incidents and investigations
- digital and analogue methods for collecting, storing and analysing evidence, and supporting information and data
- site procedures and conventions related to work-related health and safety investigations
- site risk management processes and their applications
- conventions and requirements for written communications, including report writing and recommendations
- requirements of an investigation plan, including:
 - timelines
 - objectives
 - privacy and confidentiality consideration
 - roles and responsibilities of involved parties
 - use of subject matter experts
 - evidence collection

- evaluation of evidence, background data and information
- process for findings and action items

Assessment Conditions

The assessment must:

- include access to an incident (live or simulated) and site investigation plans
- be conducted in a safe environment
- be assessed in the context of this sector's work environment
- be assessed in compliance with relevant legislation, regulation or standards and using policies, procedures and processes directly related to the industry sector for which it is being assessed
- confirm consistent performance can be applied in a range of relevant workplace circumstances.

This unit of competency may be assessed in the workplace or in a simulated environment. Workplace simulation criteria are stipulated in the RII Companion Volume Implementation Guide.

Industry Experts

An industry expert engaged by an RTO to wholly or partially conduct assessment, independently or together with another assessor, or be involved in an assessment judgement, must also satisfy the assessor requirements in applicable vocational education and training legislation, frameworks and/or standards.

In addition to the requirements in applicable vocational education and training legislation, frameworks and/or standards, assessors and industry experts must also have a minimum of three (3) years industry experience, directly relevant to the training and assessment being provided.

Mandatory Workplace Requirements

Assessment of performance evidence may be in a workplace setting or an environment that accurately represents a real workplace.

Unit Mapping Information

Previous Code and Title	Equivalence	Comments
RIIWHS301E Conduct safety and health investigations	Not equivalent	Revision and updates to elements, performance criteria, performance and knowledge evidence to better reflect current industry practice. Revision of assessment conditions in

		line with the Standards for RTOs 2025.
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Links

Companion volumes, including implementation guides, are found on the national training register - <https://training.gov.au/training/details/RII>.

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