

Title	Produce an occupational health and safety incident investigation		
Level	4	Credits	6

Purpose	People credited with this unit standard are able to explain why workplace accidents need to be reported and investigated; explain the concepts of multiple causation and root-cause analysis; detail an incident investigation process using a hypothetical incident; and produce an incident investigation report based on a documented incident.
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Classification	Occupational Health and Safety > Occupational Health and Safety Practice
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Available grade	Achieved
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Guidance Information

Definitions

Accident refers to an event that causes any person to be harmed, or in different circumstances, might have caused any person to be harmed.

Incident refers to a set of events that may have or did result in an accident. The term is intended to assist the investigation process by avoiding common meanings attributed to an accident.

Legislative requirements include but are not limited to compliance with the – Health and Safety at Work Act 2015 (HSWA), and any applicable Approved Codes of Practice created under the primary Act or related guidelines.

Organisational requirements refer to instructions to staff on policy and procedures which are documented in memo or manual format and are available in the workplace. These requirements may include but are not limited to – site specific requirements, company quality management requirements, approved codes of practice and guidelines, and legislative requirements.

Outcomes and performance criteria

Outcome 1

Explain why workplace accidents need to be reported and investigated.

Performance criteria

1.1 The prime purpose of incident investigation and the legislative and organisational requirements for reporting are explained.

Range preventing re-occurrence, HSWA requirements.

- 1.2 Barriers to accident reporting and techniques to overcome these barriers are identified.

Range barriers may include but are not limited to – hassle, fear, paper work, peer pressure, no understanding of purpose; solutions may include but are not limited to – training, good feedback, encouragement, ‘no blame’ policy.

Outcome 2

Explain the concepts of multiple causation and root-cause analysis.

Performance criteria

- 2.1 The concepts of multiple causation and root-cause analysis are explained in relation to an incident causation model.

Range may include but is not limited to – immediate causes, underlying causes, link between immediate and underlying causes, underlying causes need to be addressed to genuinely prevent recurrence.

Outcome 3

Detail an incident investigation process using a hypothetical incident.

Performance criteria

- 3.1 The company process for dealing with an incident is detailed in terms of initial response and information gathering.

Range may include but is not limited to – prevention of escalation, administering assistance, notifying other parties, isolation of the scene, establishing and recording the events of the incident.

- 3.2 The required level of investigation is determined in relation to the incident potential.

Range incident potential may include but is not limited to – potential harm to personnel, plant and environment, public; level of investigation includes but is not limited to – department management, site management, regional management, national management.

- 3.3 The investigation process is undertaken according to organisational requirements.

- 3.4 Control measures to prevent re-occurrence are specified based upon the outcome of the investigation.

Outcome 4

Produce an incident investigation report based on a documented incident.

Performance criteria

- 4.1 The level of investigation is determined in relation to incident potential and in accordance with organisational requirements.
- 4.2 Information concerning the incident is gathered from primary and secondary sources in accordance with organisational requirements.
- 4.3 Incident information is sorted into chronological order, and cause and effect, in relation to organisational requirements.
- 4.4 Root-cause of the incident is determined in relation to data gathered and possible corrective actions formulated in accordance with organisational requirements.
- 4.5 Incident investigation report is finalised and circulated in accordance with organisational requirements.
- 4.6 Corrective action implementation is monitored and reported in accordance with organisational requirements.

Planned review date	31 December 2022
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Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	25 November 2000	N/A
Revision	2	16 May 2005	N/A
Review	3	25 May 2007	N/A
Rollover and Revision	4	22 May 2014	N/A
Rollover and Revision	5	22 August 2019	N/A
Rollover and Revision	6	25 March 2021	N/A

Consent and Moderation Requirements (CMR) reference	0121
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This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.

Comments on this unit standard

Please contact The Skills Organisation reviewcomments@skills.org.nz if you wish to suggest changes to the content of this unit standard.