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| **Assessment Task Portfolio** |
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Student Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| **ICAM LEAD INVESTIGATOR*** **BSBWHS515 Lead initial response to and investigate WHS incidents**
* **RIIWHS301E Conduct Safety and Health Investigations**
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| **Student’s Name:** |  |
| **Date of Course:** |  / / to / /  |
| **Course Location:** |  |
| **Date Submitted:** |  |
| **Student’s Signature:** |  |
| **Trainer’s Name:** |  |
| **Trainer’s Signature:** |  |



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**Sections**

Section 1 – ***Theory Assessment 3***

Section 2 – ***Practical Activity 18***

**Summary Sheet** **27**

**Assessment Requirements**

The assessment activities in this Assessment Task Portfolio assess all the elements, performance criteria, skills and knowledge of the following units of competency:

* **BSBWHS505 Investigate WHS Incidents**
* **RIIWHS301E Conduct Safety and Health Investigations**

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To demonstrate competence in these units you must undertake all tasks in this Assessment Task Portfolio and complete them satisfactorily. If you do not answer some questions or perform some tasks, you will be deemed ‘Not Competent’, and your trainer / assessor may ask you supplementary questions to determine your competence. In addition to completing all tasks satisfactorily, you will also be required to demonstrate satisfactory communication skills during some practical activities. Once you have demonstrated successful completion and consistency in performance, you will be awarded these units.

Should you still be deemed *Not Yet Competent* you will have the opportunity to undertake a supplementary assessment or appeal the result.

As part of the assessment process, all students must abide by any relevant assessment policies as provided during induction. If you feel you are not yet ready to be assessed or that this assessment is unfair please contact your assessor to discuss your options.

You must submit the assessment either to your trainer or email them to icamtraining@ohsa.com.au. The office contact number is 1300 647200 for any assistance.

* **Please tick this box if you understand the assessment instructions and requirements, and consent to being assessed. By signing this acknowledgement, you will also be verifying and assuring the RTO that the work you submit is your own work.**

Student’s Name:

Signature: Date: **Section 1 – Theory Assessment – RIIWHS301E Conduct Safety and Health Investigations / BSBWHS515 Lead initial response to and investigate WHS incidents**

**Instructions to the Student**

Please read all the information given to you before you start any assessment task. If you do not understand some or all the questions, please ask your trainer / assessor for assistance. If you are uncomfortable with any of these questions, please contact your assessor who will make alternative arrangements. Attempt to answer **ALL** questions in your own words on the assessment paper provided, or by selecting the correct response where there is no space to write an answer. The questions are designed to assess your understanding of the unit as well as your underpinning knowledge.

To satisfactorily complete this assessment task, you are required to complete the whole assessment. To do this you will need to answer all questions correctly and demonstrate you have achieved the required knowledge to industry standards. This assessment is intended to be equitable, fair and flexible. If you feel that we should change any aspect of this assessment to be fair, equitable or flexible, immediately contact your assessor who will attempt to make alternative arrangements.

**Please Note:**

1. This assessment may be re-assessed upon appeal
2. Upon notification of your assessment results, your trainer/assessor will provide you with additional information on interpreting the assessment outcomes and guide you on your future options.

**SECTION 1:**

***Theory Assessment (Underpinning knowledge)***

**Question 1:**

Why is it important to know the ‘Jurisdiction’ of the incident scene?

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**Question 2:**

List two Work / Occupational Health and Safety (or Mining) Acts that are relevant for incident investigations.

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**Question 3:**

What is the maximum penalty of a WHS breach in your jurisdiction?

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**Question 4:**

Refer to the relevant legislation in your jurisdiction and list two (2) Enforcement Notices a WHS Inspector may issue when they attend the scene of a WHS Incident.

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**Question 5:**

Refer to the relevant legislation in your jurisdiction and list two (2) Powers & Functions / General Powers Upon Entry a WHS inspector has when they attend the scene of an incident.

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**Question 6:**

Explain the difference between the WHS Act, a WHS Regulation and a Code of Practice.

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**Question 7:**

Explain the difference between a WHS policy and a WHS procedure.

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**Question 8:**

List four (4) key features a WHS Incident Investigation procedure might include?

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**Question 9:**

What is a notifiable incident in your jurisdiction and when must you notify the regulator? State the legislative reference sections.

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| **Legislative section reference in your jurisdiction?** |

**Question 10:**

What section of the legislation in your jurisdiction states that the scene should not be interfered with without permission?

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**Question 11:**

What is a non-disturbance notice, who issues it and what should you do upon receiving it?

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**Question 12:**

On notification of the incident which of the following should be some of the initial responses by the site?

1. Ensuring site emergency response plans have been initiated
2. Assisting ERT to make the scene safe and victims are rescued
3. Initial classification of incident and notification to site management
4. All of the above

**Question 13:**

Which of the following should be considered prior to visiting the scene of the incident?

1. Identifying the scope of the investigation and location of the incident.
2. Ensuring the correct tools and equipment are gathered.
3. Ensuring that you are physically and emotionally prepared.
4. All of the above

**Question 14:**

List three (3) energies to consider for WHS management?

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**Question 15:**

Name the Australian Standard for Workplace Injury and Disease Recording.

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**Question 16:**

List three (3) mechanisms of injury/diseases from the Australian Standard for Workplace Injury and Disease Recording.

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**Question 17:**

List four (4) things you must consider when ensuring the integrity of the site?

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**Question 18:**

Explain what an Active and Latent Error is according to Professor Reason. List 2 examples of each?

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**Question 19:**

Explain the Swiss Cheese Model and what the slices of cheese represent.

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**Question 20:**

Discuss what a ‘Just Culture’ is.

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**Question 21:**

Discuss the origins of the ICAM model.

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**Question 22:**

What are the objectives of an ICAM investigation?

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**Question 23:**

List the five (5) contributing factors of ICAM.

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**Question 24:**

Explain what an absent / failed defence is.

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**Question 25:**

Describe what an organisational factor is.

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**Question 26:**

What are the two (2) main types of human failure?

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**Question 27:**

List one (1) type of unintended human error and explain.

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**Question 28:**

List two (2) actions you must consider in an immediate action for an incident. List each point and briefly describe what your behaviour should be.

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**Question 29:**

List four (4) categories of people you may involve in investigating a WHS incident (i.e. WHS / ICAM Lead etc.)

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**Question 30:**

What tools or resources could you use to collect, test or verify evidence? List three (3) items.

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**Question 31:**

What barriers might you encounter in an incident investigation? List two (2) and explain.

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**Question 32:**

The characteristics and composition of the workforce may contribute to WHS incidents. Discuss how the following characteristics might be relevant in an incident investigation.

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| *Workplace Diversity (i.e. race, ethnicity, gender, age, religion, ability, and sexual orientation):* |
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| *Language, literacy and numeracy levels:* |
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| *Organisational structure, including employment status, shifts:* |
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| *Geographical location:* |
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**Question 33:**

What things could you do to ensure the investigation is conducted in an ethical manner and that the evidence isn’t altered or tainted?

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**Question 34:**

Why is it important to plan for an investigation and what are the important items you should include in your Action Plan?

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**Question 35:**

The ‘Terms of Reference’ of an investigation should detail the Objective of the Investigation, Roles and Authority of the Investigation team, Task and timeframe, Access to relevant areas, documentation and personnel, Scope and boundaries / limits, Site requirements, Report Format and Recipient/s of Report.

**True / False**

*(Cirle correct Answer)*

**Question 36:**

What are the five (5) categories of the PEEPO data collection process?

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**Question 37:**

List at least two (2) things you may wish to know in each of the five (5) PEEPO Categories.

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| People | *i.e. List of people involved.* |
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| Environment |  |
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| Equipment |  |
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| Procedures |  |
|  |
| Organization |  |
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**Question 38:**

Why are sketches and measurements important?

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**Question 39:**

Physical evidence at the incident scene could include which of the following?

1. Names of injured persons and witnesses
2. Equipment being used at the time
3. Housekeeping at the time
4. Environmental conditions
5. All of the above

**Question 40:**

Which of the following might be considered signs/symptoms a worker might show indicating Post Traumatic Stress Disorder?

1. Abnormal behavior
2. Nausea
3. Aggressive irrational behavior
4. All of the above

**Question 41:**

When interviewing a witness, list 3 things you should avoid doing**.**

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**Question 42:**

**Give an example of the following questioning techniques?**

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| *Free Recall/Narrative Question:* |
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| *Open Ended Question:* |
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| *Leading Question:* |
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**Question 43:**

## Why is it important to understand the sequence of events that led to the incident?

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**Question 44:**

Describe the five (5) layers of defence and list an example for each in your workplace.

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**Question 45:**

What is an individual/team action, task /environment condition and an organisational factor?

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| *Individual / Team Action:* |
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| *Task / Environment Condition:* |
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| *Organisational Factor:* |
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**Question 46:**

ICAM classifies system failures into Organisational Factor Type (OFT’s) categories. List and explain three (3).

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**Question 47:**

List the six (6) steps that are recommended when facilitating incident analysis.

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**Question 48:**

The report recommendations should be S.M.A.R.T.E.R. What does this mean?

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**Question 49:**

In the hierarchy of controls process which control is the most effective?

1. Elimination
2. PPE
3. Training / Administration
4. Separation / Isolation

**Question 50:**

What headings should the incident report include?

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**Section 1 – Theory Assessment - RIIWHS301E Conduct Safety & Health Investigations / BSBWHS515 Lead initial response to and investigate WHS incidents– Results Sheet**

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| **Question** | **Answered Correctly** | **Comments** |
| **Question 1** | Y [ ]  |  |
| **Question 2** | Y [ ]  |  |
| **Question 3** | Y [ ]  |  |
| **Question 4** | Y [ ]  |  |
| **Question 5** | Y [ ]  |  |
| **Question 6** | Y [ ]  |  |
| **Question 7** | Y [ ]  |  |
| **Question 8** | Y [ ]  |  |
| **Question 9** | Y [ ]  |  |
| **Question 10** | Y [ ]  |  |
| **Question 11** | Y [ ]  |  |
| **Question 12** | Y [ ]  |  |
| **Question 13** | Y [ ]  |  |
| **Question 14** | Y [ ]  |  |
| **Question 15** | Y [ ]  |  |
| **Question 16** | Y [ ]  |  |
| **Question 17** | Y [ ]  |  |
| **Question 18** | Y [ ]  |  |
| **Question 19** | Y [ ]  |  |
| **Question 20** | Y [ ]  |  |
| **Question 21** | Y [ ]  |  |
| **Question 22** | Y [ ]  |  |
| **Question 23** | Y [ ]  |  |
| **Question 24** | Y [ ]  |  |
| **Question 25** | Y [ ]  |  |

**Section 1 – Theory Assessment - RIIWHS301E Conduct Safety & Health Investigations / BSBWHS515 Lead initial response to and investigate WHS incidents – Results Sheet Cont.**

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| **Question** | **Answered Correctly** | **Comments** |
| **Question 26** | Y [ ]  |  |
| **Question 27** | Y [ ]  |  |
| **Question 28** | Y [ ]  |  |
| **Question 29** | Y [ ]  |  |
| **Question 30** | Y [ ]  |  |
| **Question 31** | Y [ ]  |  |
| **Question 32** | Y [ ]  |  |
| **Question 33** | Y [ ]  |  |
| **Question 34** | Y [ ]  |  |
| **Question 35** | Y [ ]  |  |
| **Question 36** | Y [ ]  |  |
| **Question 37** | Y [ ]  |  |
| **Question 38** | Y [ ]  |  |
| **Question 39** | Y [ ]  |  |
| **Question 40** | Y [ ]  |  |
| **Question 41** | Y [ ]  |  |
| **Question 42** | Y [ ]  |  |
| **Question 43** | Y [ ]  |  |
| **Question 44** | Y [ ]  |  |
| **Question 45** | Y [ ]  |  |
| **Question 46** | Y [ ]  |  |
| **Question 47** | Y [ ]  |  |
| **Question 48** | Y [ ]  |  |
| **Question 49** | Y [ ]  |  |
| **Question 50** | Y [ ]  |  |

**Section 2 – Practical Activity**

This assessment requires you to complete the below activities. If you are uncomfortable with any aspect of the assigned tasks, please contact your assessor who will try to make alternative arrangements. This assessment is intended to equitable, fair and just. If you feel that we should change any aspect of this assessment to be fair, equitable or just, immediately contact your assessor who will attempt to make alternative arrangements.

**Additional context of the Assessment:** (As part of this assessment your assessor will provide you with additional instructions subject to the available project.)

**Assessment Requirements**

**Task 1 – Incident Investigation Practical Activity- Simulated Role Play 1 Fred’s Broken Leg**

You are required to conduct an interview of Fred (in the Fred’s Broken Leg Case Study). Your trainer will be reviewing your communication strategies and questioning styles. Upon completion of the simulated Role Play you are to complete an Incident Report (see attached herewith) and also answer the Practical Questions attached herewith.

**Task 2 – Incident Investigation Practical Activity- Simulated Role Play 2 – Fork Truck Incident**

You will also then be required to participate in the Fork Truck Incident Incident Simulated Role Play working as a team in small groups to decide what the scope and objective of the investigation would be, how you would respond to this incident, how you would maintain site integrity, what your action plan might be, how you would determine the type of incident, identify the initial emergency response / first aid requirements, how you would prepare and conduct the incident investigation, what tools, people and resources you would need to carry out a safe, effective and efficient investigation, how you would collect, test, verify and record the evidence, create the PEEPO chart, create a Timeline Sequence of Events, Event and Condition chart and Incident Tree, conduct an ICAM Causal Analysis and Identify the Contributing Factors and prepare an incident report and identifying the causes and recommendations and significant learnings. Upon completion of the simulated Role Play you are to complete an Incident Report (see attached Template Report provided by your trainer) and also answer the Practical Questions.

**Incident Investigation Practical Exercise - Task 1 – Class Scenario**

**FRED’S BROKEN LEG**

**Scenario:**

Fred Biggs is a 63yo maintenance fitter at a local sugar mill, Fairymead Sugar at Bundaberg.

You are the site safety officer for the contracting labour hire firm which you are employed by on site. Fred also is employed by your company. Fred has worked at this sugarmill since starting as a 16yo apprentice however the maintenance contract was outsourced almost 3 years ago and most workers now only receive approximately 70% of their previous salary due to this outsourcing.

Upon arrival at site, you have been approached by management who seem quite distressed, as apparently Fred was discovered outside the crib room (where the weekly Monday morning pre-start was occurring) limping and in dazed and confused state. Fred was driven to the local hospital by a worker and is currently in A&E. He was diagnosed with a Greenstick fracture (crack up the bone), which the Doctor seems somewhat confused by as this type of fracture does not really match up with the way he fell and is usually a fracture associated with young children due to their bone flexibility. Dr. Holiday has issued a 6 week Not Fit for Work (no work capacity) medical certificate and stated that the injury doesn’t seem consistent with the reported cause i.e. falling backwards.

Fred is just waiting to get a discharge from A&E so he can now go home.

Your site contract management is concerned as the contract is a performance based contract and a substantial bonus is awarded each quarter if the Key Performance Indicators are met. The main KPI’s include Production, Environmental, Social, Community and also Safety! The safety KPI is zero Lost Time Injuries (LTI’s) for the quarter. You have had zero LTI’s to date and you are 3 days from the end of the Quarter (3 month period). However now you have a potential LTI with Fred’s injury. The issue with this is that your company has been financially struggling with other contracts and this contract is the main contract that has been keeping your company profitable. There is a rumour that if you don’t get this bonus then there could be significant ramifications to the ability of your business to continue operating. You have been instructed (in quite forceful tones) to get to hospital and find out what happen and make sure it’s not an LTI! You aren’t overly happy with the directions given to you, however you have agreed to go and have a chat with Fred to commence an incident investigation. The Rehabilitation and Return to Work Co-ordinator has already seen Fred and taken care of the Rehab process and paperwork. You get approval from the receptionist, nurse and Fred to have a chat with him about the incident. You are now conducting a brief interview with him whilst he awaits his discharge.

You are to interview Fred about the injury / incident. Fred appears to be quite tired and dishevelled.

**Practical Questions to be Completed by Student for Incident Investigation Practical Activity**

**Role Play Task 1 – Fred’s Broken Leg**

\*\*(If completed in class or as a group you are still required to write your responses below)\*\*

***NOTE: This can be conducted as a classroom or small group exercise initially either on a white board or butcher’s paper and then written into this section.***

1. List two (2)specific documents that might be applicable to this incident i.e. Acts / Regulations / SOP’s / JSA’s / Policies or Procedures.

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2. What would the scope and objective of this investigation be?

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3. Would this incident be a notifiable incident?

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4. What should have been the initial actions at the scene of the incident (i.e. safety and first aid)?

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5. What planning / organising might be required for this investigation to gather evidence?

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6. What further investigation or research might be required to investigate this incident?

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7. List four (4) categories of people you might engage to investigate this incident.

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8. What methods could you use to collect and maintain the evidence so that it isn’t altered or tainted?

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9 What tools, resources or processes would you use to collect, test or verify relevant evidence?

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10. List one (1) factor for each of the main causal factors including: Absent or failed Defences (DF), Individual or Team Actions (IT), Task or Environment Factors (TE)and Organisational Factors (OF) that you think contributed to this incident.

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| DF: |
| IT: |
| TE: |
| OF: |

11. List one (1) internal and one (1) external source of information or data that may be relevant in an incident investigation.

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12. List three (3) recommendations you would make to prevent this incident from recurring.

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**Incident Investigation Exercise – Class Scenario Task 2**

**FORK TRUCK INCIDENT**

**SCENARIO:**

A delivery truck was making a delivery of goods to the inbound work area at the T&T Richlands Depot on Monday, June 5th 2018 6.55am. On arrival the driver Mr Rex Thump was told there would be a substantial wait due to a shift change over. The delivery driver asked a casual fork truck operator for T&T, Mr. David Roberts, if he could unload his truck, as he was on a time schedule as well. The operator returned with the Raymond 7700 High Reach forklift truck which had 11000 hrs on it. The operator lifted the first pallet and whilst reversing, the load fell off the fork truck tynes and injured the truck driver who was standing nearby causing him 2 fractured ribs, fractures to both lower legs and a fracture to his T6 vertebrae. First aid was applied to the truck driver until emergency services turned up. On inspecting the high reach truck, a hydraulic hose had blown due to the bulge in the hose. A logbook was found on the machine and the last entry was over 6 months ago.

You are to conduct an ICAM Investigation on this simulated incident by forming your team, creating an Action Plan, creating your PEEPO, interviewing witnesses, creating your organisation data diagrams, conducting a causal analysis, creating an ICAM Chart, developing recommendations and significant learnings, presenting what you consider to be the immediate cause of the incident etc. You will conduct this in small groups under direction by your trainer. Additional data will be provided during the exercise.

**Practical Questions to be Completed by Student for Incident Investigation Practical Activity**

**Role Play Task 2 –Fork Truck Incident**

\*\*(If completed in class or as a group you are still required to write your responses below)\*\*

***NOTE: This can be conducted as a classroom or small group exercise initially either on a white board or butcher’s paper and then written into this section.***

1. List two (2)specific documents that might be applicable to this incident i.e. Acts / Regulations / SOP’s / JSA’s / Policies or Procedures.

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2. What would the scope and objective of this investigation be?

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3. Would this incident be a notifiable incident?

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4. What should have been the initial actions at the scene of the incident (i.e. safety and first aid)?

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5. What planning / organising might be required for this investigation to gather evidence?

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6. What further investigation or research might be required to investigate this incident?

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7. List four (4) categories of people you might engage to investigate this incident.

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8. What methods could you use to collect and maintain the evidence so that it isn’t altered or tainted?

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9 What tools, resources or processes would you use to collect, test or verify relevant evidence?

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10. List one (1) factor for each of the main causal factors including: Absent or failed Defences (DF), Individual or Team Actions (IT), Task or Environment Factors (TE)and Organisational Factors (OF) that you think contributed to this incident.

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| --- |
| DF: |
| IT: |
| TE: |
| OF: |

11. List one (1) internal and one (1) external source of information or data that may be relevant in an incident investigation.

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12. List three (3) recommendations you would make to prevent this incident from recurring.

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**Section 2 – Practical Activity Assessor Observation - RIIWHS301E Conduct Safety & Health Investigations / BSBWHS515 Lead initial response to and investigate WHS incidents Results Sheet**

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| **Marking Criteria** | **Completed** | **Comments** |
| **Task 1 & 2 – Incident Investigation Practical Activities** | **Tick** |  |
| **Did the Student?** |
| 1 | Prepare, plan, conduct (or explain how they would have conducted) two (2) simulated incident investigations at the level expected of an ICAM Lead. | Y [ ]  |  |
| 2 | Appropriately locate, review and apply relevant legislation, documentation, policies and procedures during the investigation.  | Y [ ]  |  |
| 3 | Identify measures required to ensure safety and security of the incident scene. | Y [ ]  |  |
| 4 | Adequately plan (or explain how they would plan) this investigation in order to conduct the investigation in a safe, ethical and effective manner including preservation of the scene and collection, testing and maintaining integrity of the evidence. | Y [ ]  |  |
| 5 | Identify what further investigations, testing or research would need to be conducted to identify relevant causal factors. | Y [ ]  |  |
| 6 | Appropriately identify an effective investigation team and determine / discuss roles and responsibilities of the respective team members. | Y [ ]  |  |
| 7 | Identify relevant data and information and establish an action plan and timeframe for the investigation.  | Y [ ]  |  |
| 8 | Discuss scope of investigation, objective of the investigation and terms of reference for the investigation. | Y [ ]  |  |
| 9 | Conduct witness interview/s in an appropriate and sensitive manner. | Y [ ]  |  |
| 10 | Appropriately identify, collect and document causal factors, timeline/sequence of events and recommend appropriate recommendations/corrective actions ensuring team members understand and follow required processes. | Y [ ]  |  |
| 11 | Prepare and present adequate incident investigation report including documenting report recipients, relevant references / appendices. | Y [ ]  |  |
| 12 | Conduct a review of the report to ensure that it is complete and accurate.  | Y [ ]  |  |

Student Comments – Specify any improvement you could recommend relating to this assessment.

 Assessment Results (circle one)

Satisfactory / Not Satisfactory

Assessors Comments about the assessment (include any details of reasonable adjustment or other consideration)

Feedback to student on their assessment

**ICAM Lead Investigator Competency Summary Record Sheet**

* **BSBWHS515 Lead initial response to and investigate WHS incidents**
* **RIIWHS301E Conduct Safety and Health Investigations**

Student Name:

Date of Assessment:

|  |  |  |
| --- | --- | --- |
| **Assessment** | **S / NS** | **Date** |
| 1. Theory Assessment
 |  |  |
| 1. Practical Activities
 |  |  |

**A competent result cannot be granted until all assessment tools have been completed**

Overall Result (circle one)

Competent / Not Competent

Assessor’s Name:

Signature: Date:

**Do not sign this section until after the assessment has been marked and you are satisfied with the result.**

Student’s Name:

Signature: Date: