# A picture containing text, electronics Description automatically generated

**Sections**

Section 1 – ***Theory Assessment – Knowledge Evidence***

Section 2 – ***Practical Activity – Performance Evidence***

Section 3 ***– ZOOM / Facetime Discussion with Assessor***

**Summary Sheet**

**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:

## **BSBWHS416 Contribute to workplace incident response**

* **RIIWHS301E Conduct Safety and Health Investigations**

The assessment consists of 35 theory questions and two case studies both with follow up questions. To demonstrate competence in these units you must undertake all questions/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 questions and 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](mailto: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 / BSBWHS416 Contribute to workplace incident response**

**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 by contacting the office during business hours (ph.1300 647 200). 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.

**Question 1:**

**List two relevant WHS/OHS SAFETY Acts that might be applicable to an incident in your industry.**

|  |
| --- |
|  |
|  |

**Question 2:**

**List three (3) types of WHS / OH&S incidents in a workplace that must be reported to the regulator / inspectors (i.e., death). NOTE: Some jurisdictions, for example mining in Queensland only have two (2) types of incidents that need to be reported (i.e. High Potential Incident), therefore you would only need to list 2 types for Qld Mining.**

|  |
| --- |
|  |
|  |
|  |

**Question 3:**

**Why is it important to understand the jurisdiction when planning an investigation?**

|  |
| --- |
|  |
|  |
|  |

**Question 4:**

**What might be in a site WHS Incident Investigation procedure? List five (5) items / features / steps.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 5:**

**What is the maximum penalty in your jurisdiction for a workplace incident (which might include Industrial Manslaughter)? Please list either value of the fine ($$) or penalty units or period of imprisonment.**

|  |
| --- |
|  |
|  |
|  |

**Question 6:**

**State the legislative reference which requires the site of a serious incident to be preserved by the PCBU/Employer/SSE (this can be from any of the WHS/OH&S/Mining Acts).**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 7:**

**List three (3) types of energies to consider for WHS management (i.e., chemical)?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 8:**

**What must you consider when ensuring site security and the integrity of the evidence in accordance with site and legislative requirements?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 9:**

**Explain what an Active and Latent Error is according to Professor Reason. List 1 example of each.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 10:**

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

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 11:**

**Discuss what a just culture is.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 12:**

**Discuss the origins of the ICAM model.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 13:**

**What are the objectives of an ICAM investigation?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 14:**

**List the five (5) contributing factors of ICAM.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 15:**

**Explain what an absent / failed defence is.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 16:**

**Describe what an organisational factor is.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 17:**

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

|  |
| --- |
|  |
|  |

**Question 18:**

**List three (3) actions you must consider in an immediate action for an incident. List each point and briefly describe what your behaviour should be and how you might advise / communicate it to the necessary site and external agencies.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 19:**

**List 3 items that are recommended to be in an investigator’s toolkit.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

**Question 20:**

|  |
| --- |
| a) **Explain why it is important to plan the investigation (& review the investigation plan) to check it includes agreed timelines, objectives, responsibilities, roles, documentation, actions, and outcomes for the systematic collection of information and data.** |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
| **b) How would you communicate this investigation plan to the relevant individuals and / or parties?** |
|  |
|  |
|  |
|  |

**Question 21:**

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

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 22:**

**Discuss briefly what must we focus on for the PEOPLE data collection process?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 23:**

**Discuss briefly what must we focus on for the ENVIRONMENT data collection process?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 24:**

**Discuss briefly what must we focus on for the ORGANISATION data collection process?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 25:**

**Why are sketches and measurements important?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 26:**

**List three (3) considerations when taking photos / video / audio of the investigation scene, site evidence, interviewing of witnesses (i.e., time and date stamp on photos).**

|  |
| --- |
|  |
|  |
|  |

**Question 27:**

**Explain the importance of the interview process and discuss the principles of good interviewing.**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 28:**

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

|  |
| --- |
| **Free Recall/Narrative Question:** |
|  |
|  |
| **Open Ended Question:** |
|  |
|  |
| **Closed End Question:** |
|  |
|  |
| **Double-barrelled Question:** |
|  |
|  |
| **Forced Choice Question:** |
|  |
|  |

**Question 29:**

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

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 30:**

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

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 31:**

**What headings should a good incident investigation report include?**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |

**Question 32:**

**Complete the following table.**

|  |  |
| --- | --- |
| **Source of information relating to incident response/management/reporting** | **How to access this information** |
| **External Sources (List 2)** | |
|  |  |
|  |  |
|  |  |
| **Internal Sources (List 2)** | |
|  |  |
|  |  |
|  |  |

**Question 33**

**Access and review your sites incident response policy or procedure and write three subjects/headings that are used in the document.**

|  |
| --- |
|  |
|  |
|  |

**Question 34**

**What might be considered signs/symptoms a worker might show indicating Post Traumatic Stress Disorder?**

|  |
| --- |
|  |
|  |
|  |

**Question 35**

**In the hierarchy of controls process which control is the most effective when looking at developing recommendations after an incident?**

|  |
| --- |
|  |

**Section 1 – Theory Assessment Results Sheet (Office Use Only)**

|  |  |  |
| --- | --- | --- |
| **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 | Office Use Only |
| **Question 13** | Y |  |
| **Question 14** | Y |  |
| **Question 15** | Y |  |
| **Question 16** | Y |  |
| **Question 17** | Y |  |
| **Question 18** | Y |  |
| **Question 19** | Y |  |
| **Question 20a** | Y |  |
| **Question 20b** | Y |  |
| **Question 21** | Y |  |
| **Question 22** | Y |  |
| **Question 23** | Y |  |
| **Question 24** | Y |  |
| **Question 25** | Y |  |

|  |  |  |
| --- | --- | --- |
| **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 | Office Use Only |
| **Question 34** | Y |  |
| **Question 35** | Y |  |

**Section 2 – Practical Activity (Performance Evidence)**

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 be 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.

As one of the units of competency requires certain tasks to be demonstrated on more than one occasion you are therefore required to complete the following task for two incidents, notably Task 1 Fred’s Broken Leg and then Task 2 Fork truck incident. Obviously, many of your responses will be applicable to both scenario’s practical questions.

**Assessment Requirements Overview**

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

You are required to observe an interview of Fred (in the Fred’s Broken Leg Case Study). You will be asked about the incident / role play by your Trainer / Assessor during your brief ZOOM / Facetime Discussion 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. You will also be asked who and how you would distribute / communicate the report to and how you would ensure that the recommendations are implemented and monitored. You will also be questioned on your completed Incident Report Form (attached herewith) and ICAM origins, investigation objectives, Swiss Cheese, Active and Latent Errors, Types of Human Error, Five Layers of Defence, Causal Analysis, Just Culture and Hierarchy of Controls. Your trainer will be reviewing your communication strategies and questioning styles. Upon completion of the observation of the simulated Role Play you are to complete an Incident Report Form (see attached herewith) and answer the Practical Questions attached herewith.

Refer to the Practical Observer Sheet – Role Play Task 1 & 2 attached herewith towards the end of this document for the full areas of observations in which the assessor must deem you competent in.

**Assessment Requirements**

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

You will also then be required to observe the Fork Truck Incident Simulated Role Play. You will be asked about the incident / role play by your Trainer / Assessor during your brief ZOOM / Facetime Discussion 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. You will also be asked who and how you would distribute / communicate the report to and how you would ensure that the recommendations are implemented and monitored. You will also be questioned on your completed Incident Report Form (attached herewith) and ICAM origins, investigation objectives, Swiss Cheese, Active and Latent Errors, Types of Human Error, Five Layers of Defence, Causal Analysis, Just Culture and Hierarchy of Controls. Your trainer will be reviewing your communication strategies and questioning styles. Upon completion of the observation of the simulated Role Play you are to complete an Incident Report Form (see attached herewith) and also answer the Practical Questions attached herewith.

Refer to the Practical Observer Sheet – Role Play Task 1 & 2 attached herewith towards the end of this document for the full areas of observations which the assessor must deem you competent in.

**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, Racecourse Sugar Mill near Mackay QLD.

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 sugar mill 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.

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

**‘FRED’S BROKEN LEG’**

**Information gathered from Interview with Fred Biggs (injured person)**

* Today’s Date: 17 November 2022
* Interview Time / Date: 8.30am, 17 November 2022
* Incident Date: 17 November 2022
* Time of incident: Approx 06:05
* Injury: Fractured right lower leg and minor bruising to rear of his head.
* Incident Location: Racecourse Sugar Mill, on designated footpath between Maintenance Workshop and Boiler house, 10m from Maintenance Workshop Entrance.
* Incident Worksite Address: Racecourse Sugar Mill, Peak Downs Highway Racecourse via MACKAY Queensland 4741 Australia, Phone +61 7 4953 8300, Fax +61 7 4953 8340, Email [info@mkysugar.com.au](mailto:info@mkysugar.com.au)
* Injured Persons Details: Mr. Fred Biggs, Age 63, DOB 18/10/1959, Address: 26 Douglas St, West Mackay 4740 QLD, Email: [Sharonbiggs@gmail.com](mailto:Sharonbiggs@gmail.com); Mobile: 0401 123456, Next of kin / Prime contact: Sharon Biggs (Wife) M: 0401 123456
* No machinery/plant involved – occurred on freshly painted designated walkway
* No immediate first aid provided, assistance given by unknown person, who drove Fred to the Accident & Emergency at Mackay Base Hospital in a Blue XR6 Ford Utility.

Fred Biggs is a 63yo maintenance fitter at Racecourse Sugar Mill, near Mackay in Queensland. Fred has worked at this sugar mill since starting as a 16yo apprentice, however the maintenance contract was outsourced almost 3 years ago to One Staff Labour Hire and most workers now only receive approximately 70% of their previous salary due to this outsourcing.

Fred arrived late to work this morning at approximately 6.10am (normal hours are 6am to 2pm Monday to Friday) as he had a big night last night and didn’t get any sleep and was a bit sore from yesterday afternoon Masters (over 55yo) AFL Round Robin competition. The once-a-year social club function is run by the four other sugar mills and is organised by the respective Sugar Mills Social Clubs. Fred, played quite well and got best on ground, however he had sustained a soft tissue injury to his upper right leg – a corked / bruised thigh. This affected his ability to ride as quickly to work this morning on his E-bike (electronic push bike). He was carried off in the last quarter due to the impact, however after Cheryl the first aid trainer from the football club and the weighbridge operator at the sugar mill, applied some of that magic cold spray onto his bruise and he was able to go back on and run the bruise out. As his team won the grand final they went back to the Clubhouse and enjoyed themselves, and when the bar closed at 11pm, most of them then went onto the local nightclub – he had heard that they were there until about 3am and some had up to 13 Jager bombs (Jägermeister alcohol and red bull). Fred reported he had about 12 drinks last night. Due to his religious beliefs, he doesn’t drink alcohol and when the other team members went to the nightclub, he went to a midnight Church service where they were conducting an all-night prayer vigil. He left there at about 3am and rode home to his house. When he got home, his wife had packed up the house and left him as she was suspicious, he may have been having an affair with someone from his workplace. He decided to stay up and watch TV and have some coffee and no-doze pills and then rode to work at about 5.40am for his usual 20min bike ride to work.

Upon arriving to work (10mins late at 6.10am) he swiped his ID card at the turnstile and then proceeded to walk past the crib room where his supervisor Bill Bloggs was running the usual Monday morning pre-start meeting. Fred reported that he doesn’t go to them as he had a falling out with your supervisor and have refused to attend these meetings. Fred had received verbal and written warnings about his non-attendance; however, Management know how important and valuable Fred is to the sugar mill contract so they have decided not to discipline him. Fred used to be the WHS Representative and because he had such a passion for WHS he was promoted to WHS Chairman and then Site Safety Officer about 10 years ago, but he relinquished all of his WHS roles when he became frustrated with the companies lack of tangible commitment to WHS. He reported that he believed that the company has a very superficial interest in safety, with production being the main and often seemingly only focus. A few years ago, the company brought in a safety program which involved the workers writing safety ideas up and placing them in a safety box in the crib room. The Supervisor, Bill, was required to read them and write them up on the whiteboard on the Friday and discuss them at the Monday pre-start meeting however Fred observed Bill throwing them in the rubbish bin, so Fred confronted Bill and relinquished all of his safety roles. Fred continued to attend the shift pre-start meetings though. The company introduced a behavioural safety program about 5years ago called P.A.S.S (Positive Attitude Safety System) which involved the Supervisor holding a safety discussion with the team and then rating the previous shift on the Safe Shift Board as an A, B or C shift. Bill didn’t think this was a good program and talked quite negatively about it in front of the workers at the pre-start meetings, so Fred confronted him about his lack of commitment to safety, and after a heated conversation, Fred decided he would not attend his pre-start meetings any further.

Upon arrival at site, Monday morning at 6.10am, Fred reviewed his outstanding maintenance tasks and gathered a few small tools and proceeded to walk over to the boiler house on the designated concrete footpath, however he recollects slipping backwards on what he believed to be an oil spill (although he didn’t actually see it), falling backwards, hitting his head, being a bit dazed and confused and being escorted by an unknown person whilst he limped from site out to the car park and into a blue XR6 utility and then driven to the local Mackay Base Hospital’s Accident and Emergency Department. Fred reports he did not see any oil this morning, however he believed it to be oil as he had identified it in the same location last Friday whereby, he deployed a spill kit and put-up safety hazard cones. He then reported the spill to his supervisor Bill. Bill said he would get the weekend shift crew to fix it up. Fred reported he didn’t have time to clean it up as it was at the end of the shift on Friday and working overtime has been stopped by the company due to budget constraints. The spill is coming from a slowly leaking pipe over the walkway, which has been known about by the company for some time. This was on Fred’s to-do maintenance list, but it wasn’t the highest priority as he was currently overwhelmed with work, as the trade’s assistants were all laid off 6 weeks ago due to budget constraints and there is now insufficient number of maintenance staff to do even the basic maintenance on the plant and the maintenance is getting way behind. The rumour is that Management have been taking out too much cash out of the business for personal reasons, and it has created a cash flow problem, which is apparently why they laid off the Trade Assistants approximately 6 weeks ago.

At the time of the incident, it was low light, it had been raining lightly throughout the night and the path was moist. The path had also been painted with fresh yellow paint over the weekend as part of some NOSA 5 Star International Safety Program, which required all pedestrian paths to be completely painted yellow. Fred didn’t actually see any oil this morning and there doesn’t appear to be any oil on his clothes, however he assumed that he had slipped and fell due to oil, as it was in the same location as where he had identified the oil spill last Friday (the witch hats had been removed).

Fred now works for a labour hire maintenance contractor as the maintenance contract was outsourced to One Pac almost three (3) years ago. None of the maintenance workers are happy about this as they all took a 30% pay cut when this happened for doing the same job. One Pac haven’t done any real inductions or training as they assume that because most of the workers have been here for 10+ years they don’t need to be provided with any inductions in HR/WHS etc. One Staff have been talking about introducing Fitness for Work and Drug and Alcohol Testing and there is a breathalyser at the front gate, but it is not mandatory at present as it is still being negotiated with the Australian Workers Union as part of the Enterprise Bargaining Agreement. Fred doesn’t wish to provide a breath sample, and currently it isn’t mandatory as he didn’t have an accident on the road, wasn’t operating high risk plant or at a mine, where it would be mandatory. As he doesn’t drink alcohol, he feels it is offensive and against his beliefs so he has refused to provide any breath sample. His company One Pac don’t yet have a Fitness for Work & Drug and Alcohol Management Plan & Policy implemented and no-one at this stage has been inducted in this draft policy still being negotiated with the AWU.

Dr. Holiday asked Fred about whether he could do light duties at work, but he told him in no uncertain terms that he needed his leg and that he wouldn’t be sweeping any floors or counting nuts and bolts on a light duties program, so Dr. Holiday has issued a 6 week Not Fit for Work (no work capacity) medical certificate. Fred has had numerous injuries over the past few years and had received a large common law payout for his most recent injury and is hoping that this injury might see him out to retirement with another payout. He is quite unhappy with his current employer and management. He is refusing to allow anyone to talk to his Doctor and refusing to sign the authorisation form for the Doctor to release any relevant medical information to the employer. Fred has already contacted Workcover to lodge a claim for Worker’s Compensation.

**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. You will need to watch the course videos and the role-play interviews to complete this correctly) \*\*

*Please note: You will also need to complete the Incident Notification Report Form which has been developed to facilitate the role play, in your professional work you will need to use the relevant regulators approved form.*

1. List two (2) specific documents that might be applicable to this incident including any WHS Act / Regulation / SOP’s / JSA’s / Policies or Procedures (i.e., WHS Act 2011).

|  |
| --- |
|  |
|  |

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

|  |
| --- |
|  |
|  |

3. Would this incident be a notifiable incident to the relevant regulatory authority in your jurisdiction?

|  |
| --- |
|  |

4. What WHS Risk Management requirement would you communicate to ensure all parties who are responding to/investigating the incident do so in a safe manner?

|  |
| --- |
|  |
|  |
|  |
|  |

5. List what the key duties might be for the following duty holders / authorities in an incident response at your site and outline what their actions should be (i.e., yourself – Report Incident).

|  |
| --- |
| Supervisor: |
|  |
| Emergency Response Team: |
|  |

6. As part of the investigation plan, please respond to the following questions.

6.1 List two (2) people you might obtain interview / get statements from with regards to this incident, in accordance with your workplace incident investigation policies and procedures?

|  |
| --- |
|  |
|  |

6.2. There are a variety of different questioning techniques. List one question you would ask for each of the following questioning techniques. NOTE: It should be about this incident.

|  |
| --- |
| Free Recall: |
| Open Ended: |
| Closed Ended: |
| Forced Choice: |
| Leading Question |

6.3. Give an example of what photographic, video, audio, written recordings you might obtain for this investigation relating to this incident (i.e., written witness statement)?

|  |
| --- |
|  |
|  |
|  |

6.4. List three (3) items you might photograph/video for this incident.

|  |
| --- |
|  |
|  |
|  |

6.5. List 5 things you should consider when taking photos / video / audio recordings of the incident, location or people (i.e., time and date stamp on the photos)?

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

6.6. List one (1) sketch, diagram or scale drawing you would include as part of the investigation.

|  |
| --- |
|  |

6.7. What further information or research might you investigate to assist in this incident investigation? List one (1) internal source of information within the workplace and one (1) external source of information outside the workplace.

|  |
| --- |
| Internal Source: |
| External Source: |

6.8. What methods could you use to collect and maintain the evidence so that it isn’t altered or tainted, and that procedural fairness is maintained (i.e., secure scene, gather witness statements etc)?

|  |
| --- |
|  |
|  |
|  |

6.9. What tools, resources or processes would you use to collect, test or verify relevant evidence from the incident, scene or people involved?

|  |
| --- |
|  |
|  |
|  |

7. List one (1) factor for each of the four 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.

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

8. List three (3) recommendations you would make that considers objectivity, confidentiality, validity, and accuracy to prevent this incident from recurring?

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

9. How would you communicate these recommendations to the relevant stakeholders?

|  |
| --- |
|  |
|  |

10. What things could you do to ensure the recommendations are implemented and or evaluated?

|  |
| --- |
|  |
|  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Incident Investigation Report Form (Fred’s Broken Leg)** | | | | | | | |
| **Type of incident (Can only be ONE of the following) – refer to the 4relevant section in your jurisdiction’s legislation as to whether it is a notifiable incident.** | | | | | | | |
| *□ Death, Serious Injury, Dangerous Incident (WHS)* | | *□ High Potential Incident / Serious Accident (Qld. Mining)* | | | *□ Injury* | *□ Near Miss* | *□ Hazard* |
| **Details of injured person** | | | | | | | |
| **Given Names** | | | **Surname** | | | | |
| **Nature of Injury/s:** | | | | | | | |
| **Incident/Accident Details** | | | | | | | |
| **Date:** | | | **Time: am/pm** | | | | |
| **Location:** | | | | | | | |
| **Plant & Equipment Involved:** | | | | | | | |
|  | | | | | | | |
| **Notified and received assistance of (please circle)** | | | | | | | |
| **Emergency Response Team Site Paramedic / Nurse First Aid Officer Not Necessary** | | | | | | | |
| **Immediate First Aid Provided** | | | | | | | |
|  | | | | | | | |
| **Incident Description:** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Timeline of Events before, during, after (can be either text, simple timeline, diagram, flow chart etc)** | | | | | | | |
|  | | | | | | | |
| **Contributing Factors (List at least 4-5 factors):** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Essential Factor/s (Immediate Cause):** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Recommendations (Address each contributing factor):** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Investigation Team Members: *(please list all the relevant team members you would expect to be involved in this incident – names, their position, organisation they would be from etc) – hint should have at least 4 team members on this investigation – you can make up the names if you don’t have them)*** | | | | | | | |
| **Name** | | **Position** | | **Organization** | | | |
|  | |  | |  | | | |
|  | |  | |  | | | |
|  | |  | |  | | | |
|  | |  | |  | | | |
| **Forwarded to: *(please also refer to your legislation / company policy etc about who you might forward this incident report to including both internal and external bodies).*** | | | | | | | |
|  | **Agency / Body** | | | | | **Date Forwarded** | |
|  | ***Inspector / Regulator*** | | | | |  | |
|  | ***Employer / PCBU / Mine Manager / Principal Contractor (please circle)*** | | | | |  | |
|  | **Health & Safety Representative** | | | | |  | |
|  | ***Other (please list who else you would distribute to i.e., OCE / Contractor)*** | | | | |  | |
| **Your Signature: Review the incident report and sign once you are satisfied all elements are completed**  **Signature:** | | | | | | | |

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

**‘Fork truck Incident’**

**Scenario**

A delivery truck was making a delivery of goods to the inbound work area at the T&T Richlands Depot QLD on Monday 8th November 2022 at approx. 6.30am. On arrival the driver Mr Rex Thump was told there would be a substantial wait due to a shift change over meeting going overtime. 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 CAT Order Picker Fork Truck Model NOH12PH which had 11000 hrs on it. The operator lifted the first pallet weighing 1,300kg and reversed up a 10% (approx. 8.5 degrees) ramp slope. The CAT Order Picker maximum gradient is 6.2% / 3.55 degrees ramp slope with a maximum lifting capacity of 1250kg. 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 Fork Truck, a hydraulic hose had blown possibly 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 including interviewing persons involved and witness to complete your Incident Investigation Report.

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

**‘Fork truck Incident’**

**Information gathered from Interview with Mr. David Roberts (Fork truck Operator)**

* Today’s Date: 8 November 2022
* Interview Time / Date: 9am, 8 November 2022
* Incident Date: 8 November 2022
* Time of incident: Approx 6:55am
* Injury: Rex Thump - 2 fractured ribs, fractures to both lower legs and a fracture to his T6 vertebrae
* Incident Location: Entry ramp, Inbound area of T&T, Richlands 4077 Qld Distribution Centre
* Incident Worksite Address: T&T, **Richlands** Distribution Centre, 234-256 Bidder Rd, Richlands 4077 Qld, Phone: +61 (0)732345678
* Fork truck Operator’s Details: Mr. David Roberts, Age 19, DOB 12/1/09/2003, Address: 2 Pooncarrie Rd, Woodridge QLD 4207, Email: [davy.roberts2003@gmail.com](mailto:davy.roberts2003@gmail.com) , Mobile: 0411 123456, Next of kin / Prime contact: Rebecca Johnstone – Fiancé - 0432123456
* Injured Persons Details: Mr. Rex Thump, Age 57, DOB 11/09/1965, Address: 26 Douglas St, Beenleigh QLD 4114, Email: [rexy65@gmail.com](mailto:rexy65@gmail.com), Mobile: 0411 987654, Next of kin / Prime contact: Cerys Thump (Wife) M: 0411 567234
* Plant Involved: CAT Order Picker Fork Truck Model NOH12PH
* Frist aid rendered on scene by Site Emergency Response Team followed up by stabilization and transfer to Logan Hospital by Queensland Ambulance service.

David had been unemployed from 16-18yo since he left high school. He worked casually at previous employer Toll Fox recently for 5 months operating a forklift in Distribution Centre at Crestmead QLD from February to June 2022. He lost his job due to absenteeism and a couple of near misses whilst operating the fork truck. TollFox only had counterbalance forklifts at their worksite.

David has been as casual worker for T&T as fork truck operator for past 3 months. He holds Forklift Truck (LF) Licence / Statement of Attainment (TLILIC2001 Licence to operate a forklift truck) dated June 7, 2022, and a Verification of Competency VOC issued by Toll Fox June 1, 2022. He does not hold an order picking fork truck (LO) Verification of Competency, Statement of Attainment or a Certificate of Competency for the Unit of Competency (TLILIC2002 – Licence to operate an order picking forklift truck). He provided a copy of Fork Truck High Risk License & VOC to T&T on day 1 of the site induction Monday 22 August 2022. David’s induction included a 4-hour online induction that covered general safety hazards and HR type content, he also did a two (2) hour induction with HR and then a two (2) hour walk through induction in the Distribution Centre with his Warehouse Supervisor Mr. Fred Jones which mainly covered layout, toilets, fire and evacuation, lunch room location etc. Fred did not do any training or induction with David on the Order Picker or Counter Balance Fork trucks as David stated that Fred was just a ‘paper-pusher’ administration type of guy and he had no experience or competency with forklifts. David received no formal training, induction, or verification of competency on any fork trucks by T&T.

David has had a few near-misses due to congested loading docks and hectic pace. Often had issues with truck drivers getting annoyed that they had to wait to get unloaded due to shift handover. He has been given a few warnings by the supervisor to slow down and wait for people to clear the exclusion zones before attempting to unload the trucks.

David reports often come to work fatigued. Had a few arguments with other operators as they think he is overconfident as an operator. David does not always conduct pre-starts or wear his seatbelt. He has been given a previous verbal warning by the supervisor. He has had two incidents where he has dropped loads whilst unloading the trucks. His excuse was that the pallets failed, however it was due to working too quickly, not properly inserting the fork tynes fully into the pallet and reversing up ramps.

David is unable to remember the speed limits but think they are 10km. There are no speed signs posted at the Distribution Centre, which is a requirement by the Head Offices Generic Traffic Management Plan.

David occasionally uses the Order Picker in the unloading area, he usually uses the counterbalance fork truck as it is more stable, stronger and handles slopes much better than the Order Picker. His supervisor has seen him use the Order Picker in the unloading area and on ramps and has not told him not to use it. David didn’t know that you needed another ticket for it.

Trucks were often unloaded outside of the loading bay due to a backlog of trucks although it doesn’t conform to the traffic management plan. This was a common occurrence within the facility and a known practise, which does not conform to the Head Office generic traffic management plan. Each site is supposed to tailor the TMP according to their respective site factors, however this had not been completed at T&T Richlands. Apparently a new procedure had been introduced the previous Friday that required the security contractors to prevent additional trucks into the Distribution Centre if there were no available loading docks or designated parking bays. New CCTV cameras had been installed above each dock with monitors in the security house at the boom gate. However, this change had not been communicated to the casual security contractor Nigel Nobody from Chubb that Monday morning and he was unaware of that change in procedure.

When the contract was taken on Management knew they needed 10 loading docks to meet the main client’s contract On Time Performance (OTP) Key Performance Indicator (KPI), however they had hoped that the contract would be really profitable and then could create further loading bays / docks during the term of the contract, however due to the congestion it has created lots of bottlenecks, people and plant interactions and the company are struggling to even meet the minimum 70% OTP KPI by the client. It seemed to David that that was all the pre-start shift meetings discussed by the Warehouse Supervisor Mr. Fred Jones. Fred constantly showed the workers how far they were falling behind on the chart. It seemed like the line management were okay with certain unsafe practices occurring providing they could work quicker. David felt pressured to do a good job and be fast so that he didn’t let the team down, especially as he was a casual and wanted to get full time appointment after 3months.

David had yelled at other truck delivery drivers previously to get out of the way when unloading trucks as they often come within the 3m standoff rule.

The Warehouse Supervisor was required throughout the week to do a Safety Walk as part of a Behavioral Safety Program doing Safe Act Observations (SAO). If workers were observed to do the wrong thing they would get a warning, but nothing really ever came of it. David explained it was more of a tick and flick exercise the Supervisor had to do to achieve his KPI’s. The Supervisor apparently thought it was stupid. David reported that if you got a SAO violation it was almost like a badge of honor and the workers often joked who had received the most. David said he was coming third with 3 SAO’s. The Supervisor usually just wrote them up in his little black book and put it back in his pocket and that was the last the operators usually heard about it.

The pallet weights on the driver’s docket were 1,300kg. Loaded capacity for the order picker was 1250kg for a maximum 6.2% (3.55 degree) slope. The ramp slope was 10% (approx. 8.5 degrees). David was unsure of the maximum capacity and maximum grade of the order picking truck. He had relied on the side panel decal number of ‘18’ which he thinks means 1.8T. Didn’t read the data plate to confirm the capacity of the machine when at full reach.

David wasn’t sure of the gradient for the ramp, although there was a bit of a slope, but he had reversed up ramps previously with the order picker and had not dropped the pallets.

David picked up the pallet and reversed up the 10% slope backwards, load raised about 1.2m, with tynes extended away from mast, when halfway up the slope he noticed the order picker was struggling to get up the ramp and the wheels were slightly lifting off the ground and the order picker was rocking and shaking, when he suddenly felt hot oil on his neck. This caused the tynes to drop a little and that caused the load to shift on the tynes and the pallet fell and hit Rex Thump the Delivery Driver.

David was unsure why Rex was on the ramp as it was an exclusion zone. Apparently, Rex could see what was happening and ran up onto the ramp to try and push / hold the pallet onto the order picker tynes. Rex sustained serious injuries including 2 fractured ribs, fractures to both lower legs and a fracture to his T6 vertebrae.

David believes the cause of the incident is due to the hydraulic mast hose blowing due to poor and missed plant servicing. Apparently, the contractor Forklift servicing company usually serviced the fork trucks every 250 hours or 3 months, but that Order Picker had missed its last 2 three monthly inspections and the hose should have been replaced some time ago.

First aid was applied to the truck driver by the site Emergency Response Team until the Queensland Ambulance Service arrived and stabilised Rex and transported him to Logan Hospital. 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.

**FORKLIFT / ORDER PICKER INFORMATION**

Forklift: Three Wheel Electric Counterbalance

Manufacturer: Toyota TMH 7FBE18 with a 3 stage 6500mm mast

Attachments: Side shift

Maximum Capacity: 1750kg



Forklift: CAT ORDER PICKER

Manufacturer: CAT

Maximum Capacity: 1451Kg



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

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

1. List two (2) specific documents that might be applicable to this incident including any WHS Act / Regulation / SOP’s / JSA’s / Policies or Procedures (i.e., WHS Act 2011).

|  |
| --- |
|  |
|  |

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

|  |
| --- |
|  |
|  |

3. Would this incident be a notifiable incident to the relevant regulatory authority in your jurisdiction?

|  |
| --- |
|  |

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

|  |
| --- |
|  |
|  |
|  |
|  |

5. List what the key duties might be for the following duty holders / authorities in an incident response at your site and outline what their actions should be (i.e. Worker – Report Incident).

|  |
| --- |
| Supervisor: |
|  |
| Emergency Response Team: |
|  |

6. As part of the investigation plan, please respond to the following questions.

6.1 List two (2) people you might obtain interview / get statements from with regards to this incident, in accordance with your workplace incident investigation policies and procedures?

|  |
| --- |
|  |
|  |

6.2. There are a variety of different questioning techniques. List one question you would ask for each of the following questioning techniques. NOTE: It should be about this incident.

|  |
| --- |
| Free Recall: |
| Open Ended: |
| Closed Ended: |
| Forced Choice: |
| Leading Question |

6.3. Give an example of what photographic, video, audio, written recordings you might obtain for this investigation relating to this incident (i.e., written witness statement)?

|  |
| --- |
|  |
|  |
|  |

6.4. List three (3) items you might photograph/video for this incident.

|  |
| --- |
|  |
|  |
|  |

6.5. List 5 things you should consider when taking photos / video / audio recordings of the incident, location or people (i.e., time and date stamp on the photos)?

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

6.6. List one (1) sketch, diagram or scale drawing you would include as part of the investigation.

|  |
| --- |
|  |

6.7. What further information or research might you investigate to assist in this incident investigation? List one (1) internal source of information within the workplace and one external source of information outside the workplace.

|  |
| --- |
| Internal Source: |
| External Source: |

6.8. What methods could you use to collect and maintain the evidence so that it isn’t altered or tainted, and that procedural fairness is maintained (i.e., secure scene, gather witness statements etc)?

|  |
| --- |
|  |
|  |
|  |

6.9. What tools, resources or processes would you use to collect, test or verify relevant evidence from the incident, scene or people involved?

|  |
| --- |
|  |
|  |
|  |

7. List one (1) factor for each of the four 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.

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

8. List three (3) recommendations you would make that considers objectivity, confidentiality, validity, and accuracy to prevent this incident from recurring?

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

9. How would you communicate these recommendations to the relevant stakeholders?

|  |
| --- |
|  |
|  |

10. What things could you do to ensure the recommendations are implemented and or evaluated?

|  |
| --- |
|  |
|  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Role Play Task 2 Fork Truck Incident - Incident Investigation Report Form** | | | | | | | |
| **Type of incident (Can only be ONE of the following) – refer to the relevant section in your jurisdiction’s legislation as to whether it is a notifiable incident.** | | | | | | | |
| *□ Death, Serious Injury, Dangerous Incident (WHS)* | | *□ High Potential Incident / Serious Accident (Qld. Mining)* | | | *□ Injury* | *□ Near Miss* | *□ Hazard* |
| **Details of injured person** | | | | | | | |
| **Given Names** | | | **Surname** | | | | |
| **Nature of Injury/s:** | | | | | | | |
| **Incident/Accident Details** | | | | | | | |
| **Date:** | | | **Time: am/pm** | | | | |
| **Location:** | | | | | | | |
| **Plant & Equipment Involved:** | | | | | | | |
|  | | | | | | | |
| **Notified and received assistance of (please circle)** | | | | | | | |
| **Emergency Response Team Site Paramedic / Nurse First Aid Officer Not Necessary** | | | | | | | |
| **Immediate First Aid Provided** | | | | | | | |
|  | | | | | | | |
| **Incident Description:** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Timeline of Events before, during, after (can be either text, simple timeline, diagram, flow chart etc)** | | | | | | | |
|  | | | | | | | |
| **Contributing Factors (List at least 4-5 factors):** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Essential Factor/s (Immediate Cause):** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Recommendations (Address each contributing factor):** | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
|  | | | | | | | |
| **Investigation Team Members: *(please list all the relevant team members you would expect to be involved in this incident – names, their position, organisation they would be from etc) – hint should have at least 4 team members on this investigation – you can make up the names if you don’t have them)*** | | | | | | | |
| **Name** | | **Position** | | **Organization** | | | |
|  | |  | |  | | | |
|  | |  | |  | | | |
|  | |  | |  | | | |
|  | |  | |  | | | |
| **Forwarded to: *(please also refer to your legislation / company policy etc about who you might forward this incident report to including both internal and external bodies).*** | | | | | | | |
|  | **Agency / Body** | | | | | **Date Forwarded** | |
|  | ***Inspector / Regulator*** | | | | |  | |
|  | ***Employer / PCBU / Mine Manager / Principal Contractor (please circle)*** | | | | |  | |
|  | **Health & Safety Representative** | | | | |  | |
|  | ***Other (please list who else you would distribute to i.e., OCE / Contractor)*** | | | | |  | |
| **Your Signature: Review the incident report and sign once you are satisfied all elements are completed**  **Signature:** | | | | | | | |

**Practical Observer Sheet – Role Play Task 1 & 2**

**Office Use Only**

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **Performance Criteria / Task Demonstrated** | **Task 1** | **Task 2** |
|  | ICAM Origin Understood | Y | |
|  | ICAM Objectives Understood | Y | |
|  | Just Culture & No Blame Approach Explained | Y | |
|  | Active & Latent Error Understood | Y | |
|  | Types of Human Error Listed | Y | |
|  | Swiss Cheese Model Understood | Y | |
|  | Five Layers of Defence Identified & Examples Provided | Y | |
|  | Incidents Task 1 & 2 Role Plays Observed & Discussed | Y | Y |
|  | Identified appropriate immediate actions | Y | Y |
|  | Site & Regulatory WHS Notification correct, and key duty holders identified | Y | Y |
|  | Identified relevant legislation, documentation, site policies and procedures. | Y | Y |
|  | Explained what types of internal data / reporting / techniques / additional research could be used to assist in investigation | Y | Y |
|  | Investigation Preparation appropriate including objective, action plan, scope, team formation, roles & timeframes | Y | Y |
|  | Site integrity maintained | Y | Y |
|  | PEEPO completed (1 item for each category correctly identified)  Office Use Only | Y | Y |
|  | Key people, witnesses & plant identified | Y | Y |
|  | Asked and listened for response for 1 question each for free recall, open, closed, forced choice for role play | Y | Y |
|  | Listed correct way of conducting interview and setting up interview room | Y | Y |
|  | Discussed confidentiality requirements | Y | Y |
|  | Discussed what types of evidence would be gathered via audio, video, photographic, written including sketches, diagrams, maps etc | Y | Y |
|  | Discussed how to correctly collect and maintain the integrity of the evidence & procedural fairness | Y | Y |
|  | Discussed data organisation techniques i.e., timeline, event & condition chart, and incident tree correctly | Y | Y |
|  | Identified one contributing factor (ICAM Code) for Absent / Failed Defences, Individual Team Actions, Task & Environmental and Organisational Factors. | Y | Y |
|  | Discussed how they would identify & / or confirm links between factors, outcomes, causes and effects and direct / indirect causal relationships. | Y | Y |
|  | Listed 4-5 appropriate recommendations / conclusions | Y | Y |
|  | Identified appropriate report headings and how the report would be distributed and who would receive it. | Y | Y |
|  | Discussed risk management and safety features required during investigation. | Y | Y |
|  | Explained what internal and external resources might be required. | Y | Y |
|  | Presented report and explained how the investigation findings / recommendations would / should be implemented and monitored to ensure they are effective. | Y | Y |
|  | Completed Incident Report Form with clear, concise, and effective writing and distributed and presented appropriately. | Y | Y |
|  |  |  |  |
|  |  |  |  |

Office Use Only

**ICAM Facilitator (Basic) Competency Checklist**

* **BSBWHS416 Contribute to workplace incident response**
* **RIIWHS301E Conduct safety and health investigations**

|  |  |  |  |
| --- | --- | --- | --- |
| **Marking Criteria** | | **Completed** | **Comments** |
| **Incident Investigation Practical Activities** | | **Tick** | **Add extra page if needed** |
| **Did the Student for two incidents?** | | | |
| 1 | Accessed and use the provided case information, legislation and policies/procedures to answer questions and complete investigations | Y ☐ |  |
| 2 | Use the investigation plan to; *(Cross if not evident/observed/satisfactory)*   * Identify suitable scope and objective * Identify duty holders and their requirements for incident response * Confirm pre and post-incident timelines were appropriate for case * Plan for the systematic collection of data to ensure minimal backtracking * Identified the following elements and listed them in the plan;   + lists of witnesses for statements   + interview questions   Office Use Only   * + relevant audio recordings   + suitable photographs to assist in data collection   + appropriate scale diagrams of area * Ensure data collection methods were appropriate to the site/scenario and legislative requirements * Maintain WHS risk management protocols and the safety of the team * Test the initial scope and objective through causal analysis * Document relevant stakeholders for consultation * Review and communicate the plan in writing and verbally with the assessor | Y ☐ |  |
| 3 | Maintain site security and integrity of information collected | Y ☐ |  |
| 4 | Identify if the incident was a legislative notifiable incident and advised on reporting process | Y ☐ |  |
| 5 | Provide suitable assistance to those involved based on own skills through identifingy suitable first aid and care | Y ☐ |  |
| 6 | Collect, test and organise data using elements from the ICAM methodology | Y ☐ |  |
| 7 | Identify and accessed if needed other research that was or may have been needed | Y ☐ |  |
| 8 | Based on analysis of data/information, draw appropriate conclusions for the causes of the incident (Causal analysis) | Y ☐ |  |
| 9 | Engaged others (investigation team listed in the report and the assessor) | Y ☐ |  |
| 10 | Used appropriate questioning and listening skills (with the assessor and listening to the interviews) | Y ☐ |  |
| 11 | Confirm findings were objective/confidential/valid/accurate | Y ☐ |  |
| 12 | Based on the findings (root cause/contributing factors) identify recommendations appropriate to the scenario and listed in the report | Y ☐ |  |
| 13 | Recommendation (Courses of Action) identified would prevent future occurrence once implemented | Y ☐ |  |
| 14 | Planned for obtaining approval for and planned for the implementation of changes and discussed with the assessor | Y ☐ |  |
| 15 | Discussed implementation options with assessor | Y ☐ |  |
| 16 | Develop clear/concise reports appropriate to industry requirements including graphical element (eg timeline) | Y ☐ |  |
| 17 | Identify suitable stakeholders to receive the report/outcomes and also discuss the report outcomes with assessor | Y ☐ |  |

Office Use Only

Additional Comments

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**ICAM Facilitator (Basic) Competency Summary Record Sheet**

* **BSBWHS416 Contribute to workplace incident response**
* **RIIWHS301E Conduct safety and health investigations**

|  |  |
| --- | --- |
| **Student’s Name:** |  |
| **Date of Course:** |  |
| **Date of Assessment Submission:** |  |

|  |  |  |
| --- | --- | --- |
| **Assessment** | **S / NS** | **Date** |
| 1. Theory Assessment – Knowledge Evidence |  |  |
| 1. Practical Activities – Tasks 1 & 2 – Performance Evidence |  |  |
| 1. Practical Observation – Tasks 1 & 2 |  |  |

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

Overall Result (circle one)

Competent / Not Competent

|  |  |
| --- | --- |
| **Assessor’s Name:** |  |
| **Assessor’s Signature:** |  |
| **Date:** |  |
| **Do not sign this section until after the assessment has been marked and you are satisfied with the result.** | |
| **Student’s Name:** |  |
| **Student’s Signature:** |  |
| **Date:** |  |