

ICAM LEAD INCIDENT INVESTIGATION | ASSESSMENT



OHSAA
Industry Leaders

ASSESSMENT TASK PORTFOLIO

STUDENT NAME:



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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:

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

The Assessment for the ICAM course (and to receive a Statement of Attainment for these two units) require the following to be satisfactorily demonstrated:

- Completion of the Pre-Course Theory Questions (within this document)
- Completion of the One (1) Page Incident Report and Case Study Questions (within this document)
- Attending the One (1) Day Face to Face session (or Zoom session) returning a completed ICAM Investigation Report, and completing the associated questions attached to the report template.

All assessment tasks must be completed within six (6) weeks of your Face-to-Face (or Zoom) Practical course.

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

Should you still be deemed *NotYetCompetent*, you can undertake a supplementary assessment or appeal the result.

As part of the assessment process, all students must abide by any relevant assessment policies 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 acknowledgment, you will also verify and assure the RTO that the work you submit is your own work.**

Student's Name:

Date:

Signature:



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 and your underpinning knowledge. If you are handwriting the answers, please use a black PEN and initial any edits you make.

To complete this assessment task satisfactorily, you must complete the whole assessment. To do this, you must answer all questions correctly and demonstrate that you have achieved the required industry-standard knowledge. This assessment is intended to be equitable, fair, and flexible. If you feel 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:*****Pre-Course Theory Assessment (Underpinning knowledge)*****Question 1:**

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

Question 2:

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

Question 3:

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

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.

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.

Question 6:

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

**Question 7:**

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

Question 8:

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

Question 9:

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

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?

<i>Name of the legislation:</i>
<i>Section Number stating scene should not be interfered with:</i>

Question 11:

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

**Question 12:**

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

- a. ☐ Ensuring site emergency response plans have been initiated.
- b. ☐ Assisting ERT to make the scene safe and ensure victims are rescued.
- c. ☐ Initial classification of incident and notification to site management.
- d. ☐ All of the above.

Question 13:

Which of the following should be considered before visiting the incident scene?

- a. ☐ Identifying the scope of the investigation and location of the incident.
- b. ☐ Ensuring the correct tools and equipment are gathered.
- c. ☐ Ensuring that you are physically and emotionally prepared.
- d. ☐ All of the above.

Question 14:

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

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.

Question 17:

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



Question 18:

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

Question 19:

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

Question 20:

Discuss what a 'Just Culture' is.

Question 21:

Discuss the origins of the ICAM model.

Question 22:

What are the objectives of an ICAM investigation?

**Question 23:**

List the five (5) elements which the ICAM process organises the findings into.

Question 24:

Explain what an absent / failed defence is.

Question 25:

Describe what an organisational factor is.

Question 26:

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

Question 27:

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

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.

**Question 29:**

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

Question 30:

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

Question 31:

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

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.

Workplace Diversity (i.e. race, ethnicity, gender, age, religion, ability, and sexual orientation):

Language, literacy, and numeracy levels:

Organisational structure, including employment status, shifts:

Geographical location:

**Question 33:**

What could you do to ensure the investigation is conducted ethically and that the evidence isn't altered or tainted?

Question 34:

Why is it important to plan for an investigation, and what are three (3) important items you should include in your Action Plan?

Why is it important to plan for an investigation?
List three (3) items that should be included in an action plan
1.
2.
3.

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. ☐

Question 36: List at least two (2) things you may wish to know in **each** of the five (5) PEEPO Categories.

People	<i>E.g. List of people involved.</i>
Environment	
Equipment	



Procedures	
Organization	

Question 37:

Why might sketches and measurements be important?

Question 38:

Physical evidence you could gather, observe, or identify at the incident scene could include which of the following?

- a. ☐ Names of injured persons and witnesses.
- b. ☐ Equipment being used at the time.
- c. ☐ Housekeeping at the time.
- d. ☐ Environmental conditions.
- e. ☐ All of the above.

Question 39:

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

- a. ☐ Abnormal behaviour.
- b. ☐ Nausea.
- c. ☐ Aggressive irrational behaviour.
- d. ☐ All of the above.

Question 40:

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

**Question 41:**

Give an example of the following questioning techniques.

Free Recall/Narrative Question:

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Open Ended Question:

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Leading Question:

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Question 42:

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

Question 43:

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

Question 44:

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

Individual / Team Action:

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Task / Environment Condition:

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--

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Organisational Factor:

Question 45:

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

Question 46:

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

Question 47:

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

**Question 48:**

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

- a. ☐ Elimination.
- b. ☐ PPE.
- c. ☐ Training / Administration.
- d. ☐ Separation / Isolation.

Question 49:

List two (2) items/actions the team should consider when concluding the investigation.

Question 50:

What headings should the incident report include?

Please also refer to the Case Study questions and the One (1) page Incident Report for the Forktruck Incident, which you must also complete (located on pages 18-20 of this document).



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

Question	Answered Correctly	Comments
Question 1	Y <input type="checkbox"/>	
Question 2	Y <input type="checkbox"/>	
Question 3	Y <input type="checkbox"/>	
Question 4	Y <input type="checkbox"/>	
Question 5	Y <input type="checkbox"/>	
Question 6	Y <input type="checkbox"/>	
Question 7	Y <input type="checkbox"/>	
Question 8	Y <input type="checkbox"/>	
Question 9	Y <input type="checkbox"/>	
Question 10	Y <input type="checkbox"/>	
Question 11	Y <input type="checkbox"/>	
Question 12	Y <input type="checkbox"/>	
Question 13	Y <input type="checkbox"/>	
Question 14	Y <input type="checkbox"/>	
Question 15	Y <input type="checkbox"/>	
Question 16	Y <input type="checkbox"/>	
Question 17	Y <input type="checkbox"/>	
Question 18	Y <input type="checkbox"/>	
Question 19	Y <input type="checkbox"/>	
Question 20	Y <input type="checkbox"/>	
Question 21	Y <input type="checkbox"/>	
Question 22	Y <input type="checkbox"/>	
Question 23	Y <input type="checkbox"/>	
Question 24	Y <input type="checkbox"/>	
Question 25	Y <input type="checkbox"/>	

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

Question	Answered Correctly	Comments
Question 26	Y <input type="checkbox"/>	
Question 27	Y <input type="checkbox"/>	
Question 28	Y <input type="checkbox"/>	
Question 29	Y <input type="checkbox"/>	
Question 30	Y <input type="checkbox"/>	
Question 31	Y <input type="checkbox"/>	
Question 32	Y <input type="checkbox"/>	
Question 33	Y <input type="checkbox"/>	
Question 34	Y <input type="checkbox"/>	
Question 35	Y <input type="checkbox"/>	
Question 36	Y <input type="checkbox"/>	
Question 37	Y <input type="checkbox"/>	
Question 38	Y <input type="checkbox"/>	
Question 39	Y <input type="checkbox"/>	
Question 40	Y <input type="checkbox"/>	
Question 41	Y <input type="checkbox"/>	
Question 42	Y <input type="checkbox"/>	
Question 43	Y <input type="checkbox"/>	
Question 44	Y <input type="checkbox"/>	
Question 45	Y <input type="checkbox"/>	
Question 46	Y <input type="checkbox"/>	
Question 47	Y <input type="checkbox"/>	
Question 48	Y <input type="checkbox"/>	
Question 49	Y <input type="checkbox"/>	
Question 50	Y <input type="checkbox"/>	



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 be equitable, fair, and just. If you feel 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 Overview.

Task 1– Incident Investigation Practical Activity- Simulated Role Play 2 – Fork Truck Incident

Complete the fork truck incident (David Roberts) case study questions and the one-page sample incident report form for this incident (on the following pages). The online videos discuss this case in more detail. Scroll through the videos until you see David Robert's Intro.

Task 2 – ICAM Report based on a practical day session

You will also be required to participate in the One (1) Day Practical Session tasks. This will involve a simulated role-play, working as a team through many tasks.

- Deciding what the scope and objective of the investigation would be,
- how you would respond to the incident,
- how you would maintain site integrity,
- what your action plan might be,
- how would you 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 would you need to carry out a safe, effective, and efficient investigation,
- how would you 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
- prepare an incident report and identify the causes, recommendations, and significant learnings.

Upon completing the simulated Role Play, you are to complete an ICAM Incident Report (see Template Report provided by your trainer or available in the course information online).



Incident Investigation Exercise – Class Scenario Task 1

FORK TRUCK INCIDENT (David Roberts incident)

SCENARIO:

A delivery truck was delivering goods to the inbound work area at the T&T Richlands Depot on Monday, 23 October, at 6.55 am. On arrival, the driver, Mr Rex Thump, was told there would be a substantial wait due to a shift changeover. The delivery driver asked a casual fork truck operator for T&T, Mr David Roberts if he could unload his truck, as he was also on a time schedule. The operator returned with the Raymond 7700 High Reach forklift truck with 11000 hrs on it. The operator lifted the first pallet, and whilst reversing, the load fell off the fork truck tyres 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.

Additional case information can be found in the course videos (scroll through the videos until you see David Robert's Intro). More information is also located in the online portal under Step 2 Download assessment materials. They include role-play information for the manager and injured worker, and a more detailed incident description.

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, i.e., Acts / Regulations / SOPs / JSA's / Policies or Procedures.

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

3. Would this incident be a notifiable incident in your jurisdiction? Explain your decision by reference to the legislative section.

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



5. List two items you should implement to ensure the investigation is conducted in a safe manner.

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

6.1 List two witnesses/people you would interview or get statements from for this incident.

6.2 Give an example of what video or audio recordings you might obtain for this investigation relating to the scene, plant or equipment.

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

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

6.5 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.

One (1) internal source of information

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One (1) external source of information.

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7. List four (4) categories of people you might engage to investigate this incident. (e.g., line supervisor)

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

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

10. List three (3) barriers that may occur during the investigation and explain how you could respond to those

Potential Barrier	How to control or address the potential barrier
1.	
2.	
3.	

**Sample Incident Investigation Report (Fork truck incident -David Roberts)**

Type of incident (Can only be <u>ONE</u> of the following) – refer to relevant section in your jurisdiction’s legislation as to whether it is a notifiable incident.				
<input type="checkbox"/> <i>Death, Serious Injury, Dangerous Incident (WHS)</i>	<input type="checkbox"/> <i>High Potential Incident / Serious Accident (Qld. Mining)</i>	<input type="checkbox"/> <i>Injury</i>	<input type="checkbox"/> <i>Near Miss</i>	<input type="checkbox"/> <i>Hazard</i>
Details of injured person				
Given Names		Surname		
Nature of Injury:				
Incident/Accident Details				
Date:		Time: <div style="text-align: right;">am/pm</div>		
Location:				
Plant & Equipment Involved:				
Notified and received assistance of (please TICK)				
Emergency Response Team	Site Paramedic / Nurse	First Aid Officer	Not Necessary	
First Aid (that was or would have been provided)				
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*

Name	Position	Organization	Signature

Forwarded to: *(please also refer to your legislation / company policy etc about who you might forward this incident report to.*

	Agency / Body	Date Forwarded
	<i>Inspector / Regulator</i>	
	<i>Employer / PCBU</i>	
	HSR	

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

Marking Criteria		Completed	Comments
Incident Investigation Practical Activities		Tick	Add extra page if needed
Did the Student for two incidents?			
1	Use the provided case information, class documents and policies and procedures and identify the required initial response	Y <input type="checkbox"/>	
2	Implement and confirm the initial response was suitable according to legislative requirements and site requirements and document in the follow up questions	Y <input type="checkbox"/>	
3	Determine appropriate scope and objective of the investigation and test objectives via consulting with others	Y <input type="checkbox"/>	
4	Identify appropriate duty holders (noted in reports) according to relevant statutory requirements, systems, or policies/procedures.	Y <input type="checkbox"/>	
5	Identify, secure and document resources (people and material) including expert advice as needed and document in the report and follow up questions	Y <input type="checkbox"/>	
6	Identify (and address) appropriate barriers and document in the follow up questions	Y <input type="checkbox"/>	
7	Document appropriate planning throughout the follow up questions to the case studies	Y <input type="checkbox"/>	
8	Incorporate eliminating hazards to an appropriate investigation plan for the incidents and review the plan against objectives	Y <input type="checkbox"/>	
9	Consult/communicate plan with stakeholders to confirm agreed processes and ways to address potential barriers as documented in follow-up questions	Y <input type="checkbox"/>	
10	Conducted research to identify and access relevant sources of incident information (Case studies, additional guidance material, policies, and industry protocols) to develop a suitable causation model in consultation with others	Y <input type="checkbox"/>	
11	Use the case study information and role play scenarios to simulate a site/equipment inspection	Y <input type="checkbox"/>	
12	Confirm (via the incident report) the pre and post incident timeframes are consistent with site and legislative requirements and document a timeline in the ICAM report	Y <input type="checkbox"/>	
13	Coordinate events/conditions/circumstances to ensure understanding of contributing factors	Y <input type="checkbox"/>	
14	Maintain site and data security and integrity of evidence and plan for the collection of information and data and discussed with team and trainer	Y <input type="checkbox"/>	



15	Confirm methods used to collect, test and examine data/information met requirements via consultation with others and the trainer	Y <input type="checkbox"/>	
16	Evaluate information sourced for the investigation to assist decision making	Y <input type="checkbox"/>	
17	Undertook additional research as required and documented in the follow up questions	Y <input type="checkbox"/>	
18	Analysed all evidence to determine appropriate root cause/s which resulted in applicable conclusion against the original investigation plan	Y <input type="checkbox"/>	
19	Confirm findings with team to ensure validity, accuracy, confidentiality and objectivity.	Y <input type="checkbox"/>	
20	Presented options to the investigation team and confirm options met requirements and were understood	Y <input type="checkbox"/>	
21	Collate course of action to ensure future prevention and documented as per incident report	Y <input type="checkbox"/>	
22	Prepare clear and concise incident reports and present graphical findings (e.g. timeline) appropriately and concisely in an appropriate format	Y <input type="checkbox"/>	
23	Communicate outcomes and recommendations via documenting who report copies would be given to for record keeping and follow up	Y <input type="checkbox"/>	

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

Overall Result (mark one)

☐ Competent / Not Competent ☐



Assessor 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		
2. Practical Activities		

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

Overall Result (mark 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: _____