

ICAM INCIDENT INVESTIGATION LEAD | 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) for Fred's Broken Leg
- Completing an ICAM investigation report and associated case questions in the ICAM report template which is available in Step 2 of the online course. If you choose to use a real-life case you must answer the theory questions in the case study ICAM report template to align with the requirements of the unit of competency. These can be completed based on your real-life case. If choosing the Forktruck incident (David Roberts) you may use the detailed information discussed in the course.

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:	
Student's Signature:	
Course Date:	
Trainers Name:	



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?

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 of 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 prior to visiting the scene of the incident?

- 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.

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.

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

**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?

Question 34:

Why is it important to plan for an investigation, and what are three (3) essential 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, or 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 behavior
- b. ☐ Nausea
- c. ☐ Aggressive irrational behaviours
- 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.

<i>Free Recall/Narrative Question:</i>
<i>Open Ended Question:</i>
<i>Leading Question:</i>

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?

<i>Individual / Team Action:</i>
<i>Task / Environment Condition:</i>
<i>Organisational Factor:</i>

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, when concluding the investigation, should consider.



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 Fred's Broken Leg, 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 ☐	
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.

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 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.

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 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, Fairy Mead 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 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 the site, you were approached by management, who seemed quite distressed, as apparently Fred was discovered outside the crib room (where the weekly Monday morning pre-start was occurring) limping and in a dazed and confused state, having apparently slipped in oil. 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. (i.e.. He has NOT been admitted as an inpatient)

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 KPIs include Production, Environmental, Social, Community and also Safety! The safety KPI is zero Lost Time Injuries (LTIs) for the quarter. You have had zero LTIs 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 a hospital and find out what happened 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 coordinator have 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.

Please complete the following follow-up questions and incident report based on the information you have obtained from Fred or from the video of Fred's interview.



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 whiteboard 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.

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
One (1) external source of information.

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 (Fred's Broken Leg)**

Type of incident (Can only be **ONE** of the following) – refer to 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
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Details of injured person**Given Names****Surname****Nature of Injury:****Incident/Accident Details****Date:****Time:**

am/pm

Location:**Plant & Equipment Involved:****Notified and received assistance of (please tick one)**

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
Inspector / Regulator	
Employer / PCBU	
HSR	

Incident Investigation Exercise – Class Scenario Task 2

FORK TRUCK INCIDENT – David Roberts

Use the following information, as well as the case study interviews and discussions presented in the online presentation for David Roberts (and the support documents located in step 2 about David Robert's Forktruck Incident), to fill in the theory case study questions and ICAM report for this case.

NOTE: If you are using your own real-life case, you will need to answer the theory questions in the front of the report template to align with the requirements of the Units of Competency.

SCENARIO:

A delivery truck was making a delivery of goods to the inbound work area at the Richlands Depot on Monday, 8th June 2020, 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 if they could unload his truck, as he was on a time schedule as well.

The driver approached the first forklift operator he saw, Mr David Roberts, a T&T casual employee fork truck operator and asked if he could unload his truck to the time schedule he was on. The forklift operator said he would find a forklift to unload the truck. The operator returned with the CAT Order Picker, which had 11000 hrs on it.

The truck was parked just outside the loading bay due to the backlog to trucks. This was a common occurrence within the facility and a known practice which does not conform to the traffic management plan. The area had a gradient of 4 degrees facing downhill towards the truck. The truck driver handed the delivery docket over to the driver stating the weight of the pallets. Each pallet weighed 1,500kg. The operator lifted the first pallet and drove backwards up the incline with the load still raised in the air. Once the high-reach truck got to the top of the incline, the operator applied his brakes to stop the machine as he felt hot liquid spraying towards him. In doing so, the machine fell forwards, raising the rear of the machine off the ground, and the suspended load crashed into the ground in front of him, hitting the driver of the truck and causing him 2 fractured ribs, fractures to both lower legs and a fracture to his T6 vertebrae.

The operator was thrown from the cabin onto the ground. 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.

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 ☐	
2	Implement and confirm the initial response was suitable according to legislative requirements and site requirements and document in the follow up questions	Y ☐	
3	Determine appropriate scope and objective of the investigation and test objectives via consulting with others	Y ☐	
4	Identify appropriate duty holders (noted in reports) according to relevant statutory requirements, systems or policies/procedures.	Y ☐	
5	Identify, secure and document resources (people and material) including expert advice as needed and document in the report and follow up questions	Y ☐	
6	Identify (and address) appropriate barriers and document in the follow up questions	Y ☐	
7	Document appropriate planning throughout the follow up questions to the case studies	Y ☐	
8	Incorporate eliminating hazards to an appropriate investigation plan for the incidents and review the plan against objectives	Y ☐	
9	Consult/communicate plan with stakeholders to confirm agreed processes and ways to address potential barriers as documented in follow up questions	Y ☐	
10	Conducted research to identify and access relevant sources of incident information (Case studies, additional guidance material, policies and industry protocols) to develop suitable causation model in consultation with others	Y ☐	
11	Use the case study information and role play scenarios to simulate a site/equipment inspection	Y ☐	
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 ☐	
13	Coordinate events/conditions/circumstances to ensure understanding of contributing factors	Y ☐	
14	Maintain site and data security and integrity of evidence and plan for collection of information and data and discussed with team and trainer	Y ☐	



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



PRACTICAL COMMENTS

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

Assessment Results (mark one)

☐ Satisfactory / Not Satisfactory. ☐

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

**Feedback to the 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: _____