ICTQual AB

Qualification Specification

ICTQual Level 3 Certificate in Incident / Accident Investigation

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ICTQual AB's

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Contents

Qualification Specification about

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About ICTQual AB's

ICTQual AB's Ltd. is a distinguished awarding body based in the United Kingdom, dedicated to fostering excellence in education, training, and skills development. Committed to global standards, ICTQual AB's provides internationally recognized qualifications that empower individuals and organizations to thrive in an increasingly competitive world. Their offerings span diverse industries, including technical fields, health and safety, management, and more, ensuring relevance and adaptability to modern workforce needs.

ICTQual AB's delivers high-quality educational solutions through a network of Approved Training Centres worldwide. Their robust standards and innovative teaching methodologies equip learners with practical knowledge and skills for personal and professional growth. With a mission to inspire lifelong learning and drive positive change, ICTQual AB's continuously evolves its programs to stay ahead of industry trends and technological advancements.

Course Overview

The ICTQual Level 3 Certificate in Incident / Accident Investigation is a comprehensive qualification designed to provide learners with the essential knowledge and technical skills required to conduct structured investigations into workplace incidents and accidents. It supports the development of competent professionals capable of identifying root causes, evaluating contributing factors, and implementing corrective measures to improve organisational safety performance. The course is built upon recognised standards and objectives that align with industry best practices in safety management, incident response, and root cause analysis. Learners will develop practical competencies in collecting evidence, conducting interviews, analysing data, and preparing professional investigation reports. Emphasis is placed on applying systematic approaches and critical thinking to prevent recurrence and promote a proactive safety culture. Through this qualification, individuals will become familiar with legal, procedural, and ethical considerations relevant to investigation activities. The course promotes a risk-based, fact-finding methodology to help organisations enhance compliance, reduce liability, and foster continuous safety improvement.

Course Aim

The aim of this course is to equip learners with a structured framework and the analytical techniques necessary to carry out effective incident and accident investigations in a variety of workplace settings. The course aims to build confidence and competence in handling incident scenes, gathering and preserving evidence, conducting interviews, and formulating preventive strategies.

Who This Course Is For

This qualification is ideal for:

- Health and Safety officers, supervisors, and coordinators
- Operational and line managers responsible for workplace safety
- Safety representatives and union delegates
- Individuals involved in compliance and quality assurance roles
- Those seeking foundational skills to progress into more advanced safety roles
- Anyone tasked with investigating near-misses, incidents, or accidents in the workplace
- No previous qualification in health and safety is required, though familiarity with basic workplace procedures is beneficial.

Standards & Objectives

Upon successful completion of the course, learners will be able to:

- Understand the principles and purpose of incident and accident investigation.
- Recognise legal obligations and organisational responsibilities related to investigations.
- Secure and manage an incident scene effectively.
- Collect, preserve, and evaluate evidence using a systematic approach.
- Conduct effective interviews with witnesses and involved personnel.
- Apply root cause analysis techniques to determine contributing factors.
- Prepare structured, factual investigation reports with appropriate recommendations.
- Promote learning from incidents and contribute to continuous safety improvement.

This course ensures learners are equipped with practical tools and professional judgement to lead or support investigations with integrity and effectiveness.

Certification Framework

Qualification title	ICTQual Level 3 Certificate in Incident / Accident Investigation
Course ID	HSE0113
Grading Type	Pass / Fail
Competency Evaluation	Coursework / Assignments / Verifiable Experience
Assessment	The assessment and verification process for ICTQual AB's qualifications involves two key stages: **Internal Assessment and Verification:** ✓ Conducted by the staff at the Approved Training Centre (ATC) to ensure learners meet the required standards through continuous assessments. ✓ Internal Quality Assurance (IQA) is carried out by the centre's IQA staff to validate the assessment process. **External Quality Assurance:** ✓ Managed by ICTQual AB's verifiers, who periodically review the centre's assessment and IQA processes. Verifies that assessments are conducted to the required standards and ensures consistency across centres

Entry Requirements

To enrol in the ICTQual Level 3 Certificate in Incident / Accident Investigation, learners must meet the following requirements:

- ✓ **Age Requirement:** Learners must be 18 years of age or older at the time of enrolment
- ✓ **Educational Background:** A Level 2 qualification (or equivalent) in a related field such as Health & Safety, Risk Management, or Workplace Supervision is recommended.
- ✓ **Experience:** Relevant workplace experience in a supervisory, safety, or incident response role may be considered in place of formal qualifications.
- ✓ **English Language Competency:** Learners should possess a good command of English to understand course materials and participate effectively in assessments.

Qualification Structure

This qualification comprises 5 mandatory units. Candidates must successfully complete all mandatory units to achieve the qualification.

Mandatory Units	
Unit Ref#	**Unit Title**
HSE0113-01	Introduction to Incident and Accident Investigation
HSE0113-02	Investigation Process and Techniques
HSE0113-03	Interviewing and Information Gathering
HSE0113-04	Root Cause Analysis
HSE0113-05	Investigation Reporting and Follow-Up

Centre Requirements

To ensure quality training delivery, centres must adhere to the following standards:

1. Centre Approval

- ✓ Centres must be formally approved by ICTQual AB's before delivering this qualification.
- ✓ Approval involves a review of facilities, policies, and staff qualifications.

2. Qualified Staff

- ✓ **Tutors:** must possess a recognised qualification in Health and Safety or a related field at Level 4 or above (e.g. Occupational Health and Safety, Risk Management, Environmental Health, or Engineering Safety).
- ✓ **Assessors:** Must hold a recognized assessor qualification (e.g., CAVA, AVRA) or equivalent)
- ✓ **Internal Quality Assurers (IQAs):** Must be appropriately qualified and experienced to oversee assessment standards.

3. Learning Facilities

Centre must offer:

- ✓ Private study areas and internet-enabled workspaces (for blended or physical delivery)
- ✓ Academic and pastoral support for learners
- ✓ Administrative support must be available to manage enrolment, tracking, and learner queries efficiently

4. Health and Safety Compliance

- ✓ All training facilities must comply with health and safety regulations.
- ✓ Centres must conduct regular risk assessments for practical activities.

5. Learning Resources

- ✓ **Course Materials:** Approved textbooks, study guides, and digital content must align with the qualification standards.
- ✓ **Assessment Tools:** Templates and guidelines must be provided to ensure standardized evaluation processes.
- ✓ **E-Learning Support:** Centres offering online or blended learning must implement an effective Learning Management System (LMS).

6. Assessment and Quality Assurance

- ✓ Centres must ensure assessments meet ICTQual AB's competency standards.
- ✓ Internal quality assurance (IQA) must be conducted to maintain consistency.
- ✓ External verifiers from ICTQual AB's will review assessment and training practices.

7. Learning Resources and Infrastructure

The centre must provide learners with access to adequate academic resources, including:

- ✓ Virtual Learning Environment (VLE) or Learning Management System (LMS)
- ✓ Engineering and safety case studies, simulation tools, and software.
- ✓ Access to digital libraries, e-books, and relevant professional standards (ISO, OSHA, HSE, etc.)

8. Policies and Compliance

Centres must uphold the following policies in accordance with ICTQual AB's standards:

- ✓ Equality, Diversity, and Inclusion Policy.
- ✓ Health and Safety Policy.
- ✓ Safeguarding and Learner Protection Policy.
- ✓ Complaints and Appeals Procedure.
- ✓ Data Protection and Confidentiality Policy.

9. Reporting Requirements

- Centres must provide ICTQual AB's with regular reports on learner registrations, progress, and certification outcomes.
- Assessment records must be maintained for external auditing and quality assurance purposes.

Support for Candidates

Centres should ensure that materials developed to support candidates:

- ✓ Facilitate tracking of achievements as candidate's progress through the learning outcomes and assessment criteria.
- ✓ Include information on how and where ICTQual AB's policies and procedures can be accessed.
- ✓ Provide mechanisms for Internal and External Quality Assurance staff to verify and authenticate evidence effectively.

This approach ensures transparency, supports candidates' learning journeys, and upholds quality assurance standards.

Assessment

This qualification is competence-based, requiring candidates to demonstrate proficiency as defined in the qualification units. The assessment evaluates the candidate's skills, knowledge, and understanding against the set standards. Key details include:

1. **Assessment Process:**

   - ✓ Must be conducted by an experienced and qualified assessor.
   - ✓ Candidates compile a portfolio of evidence that satisfies all learning outcomes and assessment criteria for each unit.

2. **Types of Evidence:**

   - ✓ Observation reports by the assessor.
   - ✓ Assignments, projects, or reports.
   - ✓ Professional discussions.
   - ✓ Witness testimonies.
   - ✓ Candidate-produced work.
   - ✓ Worksheets.
   - ✓ Records of oral and written questioning.
   - ✓ Recognition of Prior Learning (RPL).

3. **Learning Outcomes and Assessment Criteria:**

   - ✓ **Learning Outcomes:** Define what candidates should know, understand, or accomplish upon completing the unit.
   - ✓ **Assessment Criteria:** Detail the standards candidates must meet to demonstrate that the learning outcomes have been achieved.

This framework ensures rigorous and consistent evaluation of candidates' competence in line with the qualification's objectives.

Unit Descriptors

HSE0113-01- Introduction to Incident and Accident Investigation

This unit introduces the basic concepts of investigating incidents and accidents in the workplace. Learners will understand why investigations are important and how they help prevent future incidents. The unit explains key terms such as "incident", "accident", "near miss", and "unsafe act". It also covers legal responsibilities, including when an investigation must take place. Learners will explore the role of health and safety policies, how to recognise reportable incidents, and how investigations support continuous improvement in safety performance.

Learning Outcome:	Assessment Criteria:
1. Define key terms: incident, accident, near-miss, and hazard.	1.1 Provide correct definitions for each term. 1.2 Distinguish between an incident and a near-miss using real-life example. 1.3 Explain how a hazard can lead to an incident or accident. 1.4 Identify examples of hazards in various workplaces.
2. Understand the importance and objectives of investigating workplace incidents.	2.1 Explain the primary goals of an incident investigation. 2.2 Describe how investigations prevent recurrence. 2.3 Identify how investigations support a safety culture. 2.4 Illustrate how investigation findings improve risk management. 2.5 Discuss the role of learning from incidents in health and safety systems.
3. Identify legal, organizational, and ethical responsibilities related to investigations.	3.1 Summarise relevant legislation and regulatory duties. 3.2 Identify roles and responsibilities of employers and investigators. 3.3 Explain the ethical considerations during investigations. 3.4 Describe internal policies regarding incident reporting.
4. Recognize different types and classifications of workplace incidents.	4.1 List common categories of workplace incidents. 4.2 Differentiate between reportable and non-reportable incidents. 4.3 Provide examples of typical classifications (e.g., property damage, injury, environmental). 4.4 Classify incidents based on severity and consequence.

5. Explain how effective investigations contribute to continuous safety improvement.	5.1 Describe how investigations highlight gaps in control measures. 5.2 Explain how findings lead to improvements in procedures. 5.3 Identify ways in which learning is shared across teams. 5.4 Assess how corrective actions reduce future risks. 5.5 Discuss the value of trend analysis from multiple investigations.

HSE0113-02- Investigation Process and Techniques

This unit explains the step-by-step process used in investigating workplace incidents and accidents. Learners will explore how to plan an investigation, collect facts, and organise evidence. The unit highlights important techniques such as scene examination, documentation review, timeline creation, and evidence preservation. Learners will understand the importance of acting quickly and carefully, and the need to follow a structured method to find out what happened and why. It also covers how to assess risks, prioritise actions, and follow standard procedures.

Learning Outcome:	Assessment Criteria:
1. Describe the stages of a structured investigation process.	1.1 Outline the key stages from incident notification to reporting. 1.2 Describe the purpose of each investigation stage. 1.3 Identify tools used at each step of the process. 1.4 Sequence the steps in the correct order.
2. Secure and manage an incident scene appropriately.	2.1 Explain the need to preserve the scene. 2.2 Identify hazards at the scene that may require control. 2.3 Describe steps to cordon off or isolate an area. 2.4 List key roles involved in scene management. 2.5 Record initial observations without interference.
3. Identify and collect different types of evidence (physical, documentary, photographic).	3.1 Describe physical evidence examples (e.g., broken tools, PPE). 3.2 Identify documentary sources such as training records or permits. 3.3 Capture photographic evidence with date/time accuracy. 3.4 Compare different types of evidence for reliability.
4. Use standard tools and techniques to support investigation (e.g., checklists, diagrams).	4.1 Apply checklists to structure the investigation process. 4.2 Create basic sketches or diagrams of the scene. 4.3 Use templates to record observations and findings. 4.4 Apply timelines to reconstruct events.
5. Maintain the integrity and chain of custody of collected evidence.	5.1 Define the term "chain of custody". 5.2 Document the transfer and handling of evidence. 5.3 Explain how mishandling can compromise evidence. 5.4 Label and store evidence securely.

HSE0113-03- Interviewing and Information Gathering

This unit focuses on how to gather accurate and reliable information during an investigation. Learners will understand how to prepare for and carry out interviews with witnesses and those involved in incidents. The unit includes good practices in communication, listening, and asking open-ended questions. It also explains how to take clear notes, respect confidentiality, and manage emotions during interviews. Learners will also learn about common mistakes in interviewing and how to avoid bias or assumptions when collecting statements and other information.

Learning Outcome:	Assessment Criteria:
1. Understand the purpose and importance of witness interviews in investigations.	1.1 Explain how interviews help establish the facts. 1.2 Identify who should be interviewed and why. 1.3 Recognise the importance of timely interviews. 1.4 Evaluate how interviews add context to physical evidence.
2. Prepare effectively for interviews with witnesses and involved personnel.	2.1 Review background information before conducting interviews. 2.2 Prepare relevant and open-ended questions. 2.3 Select a suitable location for privacy and comfort. 2.4 Schedule interviews considering availability and urgency. 2.5 Brief interviewees on the purpose and format.
3. Apply best practices in conducting structured and ethical interviews.	3.1 Build rapport and gain trust with interviewees. 3.2 Use active listening techniques to gather full accounts. 3.3 Avoid leading or judgemental questions. 3.4 Handle sensitive or distressing topics professionally.
4. Record and document interview findings accurately and objectively.	4.1 Take clear and complete notes during or after the interview. 4.2 Summarise interview content without personal opinion. 4.3 Use standard formats or templates for consistency. 4.4 Cross-reference interview data with other evidence.

5. Manage challenges such as reluctant witnesses or emotional responses.	5.1 Identify reasons for reluctance and reduce barriers to cooperation. 5.2 Provide support or referrals for distressed individuals. 5.3 Manage group dynamics when more than one person is interviewed. 5.4 Stay calm and respectful under pressure.

HSE0113-04- Root Cause Analysis

In this unit, learners will study how to identify the real reasons behind incidents—not just what happened, but why it happened. Root cause analysis helps to uncover underlying problems in systems, processes, or human behaviour. The unit introduces popular tools such as the "5 Whys", "Fishbone Diagram" (Ishikawa), and fault tree analysis. Learners will practise linking direct causes to deeper issues, such as poor training, weak procedures, or lack of supervision. Understanding root causes allows better long-term solutions to be developed.

Learning Outcome:	Assessment Criteria:
1. **Differentiate between immediate, underlying, and root causes of incidents.**	1.1 Define and distinguish each type of cause. 1.2 Analyse incident examples to classify causes. 1.3 Identify how immediate causes link to root causes. 1.4 Explain why addressing only immediate causes is insufficient.
2. **Apply root cause analysis tools such as the "5 Whys" and Fishbone Diagrams.**	2.1 Use the "5 Whys" method to explore contributing factors. 2.2 Construct a Fishbone (Ishikawa) diagram for a case study. 2.3 Compare root cause tools for effectiveness. 2.4 Identify the limitations of each method. 2.5 Integrate findings from multiple tools for clarity.
3. **Interpret findings to identify systemic issues and process failures.**	3.1 Analyse patterns or repeated failures across incidents. 3.2 Link human error to system design weaknesses. 3.3 Highlight organisational or cultural contributors. 3.4 Use evidence to support conclusions about systemic issues.
4. **Recommend appropriate corrective and preventive actions based on root causes.**	4.1 Suggest actions that address each root cause. 4.2 Ensure recommendations are realistic and measurable. 4.3 Identify who is responsible for implementation. 4.4 Differentiate between short-term fixes and long-term solutions.
5. **Prioritize actions to prevent recurrence and promote workplace safety.**	5.1 Assess the risk and urgency of each identified issue. 5.2 Rank recommendations by effectiveness and feasibility. 5.3 Align actions with organisational safety goals. 5.4 Create a schedule for implementation.

HSE0113-05- Investigation Reporting and Follow-Up

This unit teaches how to write a clear and detailed investigation report. Learners will understand what should be included in a report, such as findings, evidence, conclusions, and recommendations. The unit also covers how to present reports to different audiences and how to use clear language and visuals. Learners will learn the importance of follow-up actions, such as making improvements, reviewing controls, and tracking whether recommendations have been completed. It also highlights how lessons learned should be shared to help prevent future incidents.

Learning Outcome:	Assessment Criteria:
1. **Structure and write a clear, concise, and factual investigation report.**	1.1 Follow a standard reporting format or template. 1.2 Include factual data and supporting evidence. 1.3 Use simple, objective language. 1.4 Avoid blame or assumptions in reporting. 1.5 Edit and review reports for clarity and completeness.
2. **Present findings and recommendations to relevant stakeholders.**	2.1 Identify who needs to receive the report. 2.2 Use visual aids or summaries to support communication. 2.3 Adapt presentation style for different audiences. 2.4 Clarify recommendations and intended outcomes.
3. **Develop an action plan based on investigation outcomes.**	3.1 List actions required and assign responsibility. 3.2 Include deadlines and expected results. 3.3 Ensure alignment with health and safety policy. 3.4 Monitor resource requirements for implementation.
4. **Monitor the implementation and effectiveness of corrective actions.**	4.1 Conduct follow-up inspections or reviews. 4.2 Gather feedback from affected personnel. 4.3 Measure improvement using relevant indicators. 4.4 Update risk assessments based on effectiveness.
5. **Maintain investigation records in line with organizational and legal requirements.**	5.1 Store records securely in accordance with data protection laws. 5.2 Ensure records are accessible for audits or reviews. 5.3 Retain documentation for required timeframes. 5.4 Include signed approvals and version history. 5.5 Follow organisational procedures for recordkeeping.

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