

RIIQUA401E

APPLY A QUALITY MANAGEMENT SYSTEM ON SITE

ASSESSMENT SUMMARY

The assessment activities for *RIIQUA401E Apply a quality management system on site* cover all aspects of the unit of competency. For Apprentices/Trainees, this includes supervisor completion of the Apprentice/Trainee Record (ATR).

Participants must read all the information given before starting any assessment task. The assessment tasks are intended to be fair, flexible, valid and reliable. If a Participant has any questions or requires alternative arrangements to be made such requests should be directed to their Trainer/Assessor, who should note such arrangements in the 'Assessor Comments' on the affected assessment. If a Participant feels they are not yet ready to be assessed, they should discuss their options with their Trainer/Assessor.

To satisfactorily complete the assessment, the Participant is required to answer all questions correctly and demonstrate their skills to industry standards. If a Participant does not answer all questions or perform all tasks, they will be deemed 'Not Satisfactory' for the task and 'Not Yet Competent' for the unit of competency.

The Trainer/Assessor can provide the Participant with additional information on interpreting the assessment outcomes and guide the Participant's options. If a Participant is still deemed 'Not Satisfactory' they will have the opportunity to undertake a supplementary assessment or appeal the result as per the process in the Student Handbook.

By signing below, the Participant acknowledges:

- They understand the assessment instructions and requirements, and consent to being assessed.
- The work submitted is to be their own work – with the work of/with others needing to be clearly acknowledged and documented.
- They consent to any photo/video recording of their work that occurs during assessment.

Participant name	TREY BUTLER
Participant signature	

Pre-requisite unit(s) to be achieved and authenticated prior to undertaking assessment

☒ Not applicable

Task	Date completed	Assessment Results	
Theory Exam		☐ Satisfactory	☐ Not Satisfactory
Practical Assessment		☐ Satisfactory	☐ Not Satisfactory
Outcome for RIIQUA401E		☐ Competent	☐ Not Yet Competent

Evidence requirements checklist (ticked by assessor and evidence supplied to RTO)

☐ Theory Exam

☐ Practical Assessment

Assessor name	
Assessor signature	

RIIQUA401E
APPLY A QUALITY MANAGEMENT SYSTEM ON
SITE
THEORY EXAM

Participant name	TREY BUTLER
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FOR THE PARTICIPANT	
Instructions	
• You will complete written questions as outlined on the following pages. You must attempt all questions and provide enough detail in your responses to demonstrate your knowledge. • It is anticipated that you should complete this assessment within two (2) hours, but additional time may be allowed upon negotiation with the Assessor. • You must complete all questions unassisted by the Assessor or other personnel but may refer to reference material as needed. All questions must be answered correctly for a 'Satisfactory' assessment outcome to be awarded. ○ An oral examination may be allowed under certain circumstances, whereby your answers will be documented by another party. ○ Any written questions that are incomplete, or not answered satisfactorily will need to be completed again after further training support. ▪ If you answer a question incorrectly but modify your response, put your initials next to the written change (or the Assessor must initial a verbal change).	
Resources required	
Pen	

FOR THE ASSESSOR	
Instructions	
• Where oral examination has occurred, ensure that this is acknowledged in writing (e.g. FT001 and Assessor Comments) • All questions must be satisfactorily demonstrated by the Participant for a Satisfactory determination (indicated by an Assessor tick to the right of the question). • Assessors are to complete marking in pen of a different colour to the Participant. • If the Participant verbally modifies their response, write in the modified response verbatim and put your initials next to the written change.	

Q1. Provide three (3) sources you access for information on relevant legislation associated with civil works tasks.

Answer

1. Workplace health and safety
2. Environmental protection
3. Fair Work



Q2. In the table below, insert two (2) examples of legislation you adhere to when preparing for work tasks and the context this is applied.

Answer

Legislation	Context legislation is applied
e.g. Mandatory Standards	To ensure work is conducted compliantly using material to best practice requirements
Australian Standards	to ensure products and services we perform safely, reliably, and the way they're intended to.
Voluntary Standards	are published documents and generally represent best practice



Q3. In one (1) paragraph, describe processes required by supervisors to ensure legislative, organisational and manufacturer requirements and procedures being used are relevant and current.

Answer

regular policy reviews, training for staff
and engaging in on-going communication about
safety procedures



Q4. Name and describe four (4) tools, systems and/or processes used to effectively implement the organisations quality management system.

Answer

1. Human resource management tools - HR spreadsheets ☐
training plans
2. Procedures such as, SOPs, SWMS
3. Checklists for procurements, serviceability, storage
4. Continuous improvement plan

Q5. In one (1) paragraph describe methods you apply to ensure your crew meet HR management principles for the work activity.

Answer

Ensuring all personnel have the required ☐
information, resources, skills and training to
effectively meet their job roles,

- Q6. You are required to supervise your crew in an activity such as a concrete pour, clarify the activity, what you will discuss during the pre-start meeting and the documents you will use. Briefly include a description of how these documents are to be used.

Answer

what time the pour will commence
resources involved - how many trucks, testers, workers, size of pour
hazards and risk assessments - controls, exclusion areas
JHA documents, checklists for task - everyone involved
house keeping



- Q7. Describe a situation where you have applied continuous quality improvement in the workplace.

Answer

house keeping -



Q8. Discuss methods and techniques you apply to encourage participation by crew members in a continuous improvement model.

Answer

☐

Explain the benefits
Involve them in the process
Provide training and support
Recognize and reward
Encourage collaboration and communication
Review and improve

Q9. Describe mentoring and coaching you would provide to your team members to ensure they were constantly in the 'continuous improvement' headspace i.e. they identify and action key learnings wherever possible.

Answer

☐

Fostering a learning culture
growth mindset and encourage mentees to embrace challenges
creating an environment where individuals feel comfortable and
learning from their experiences

Q10. Briefly discuss data that can be used for benchmarking and monitoring performance for continuous improvement at your workplace.
Name three (3) data sources.

Answer

KPI's, Safety data - incidents, accident, near miss data
Analysis of Gantt chart/schedule - milestone (holdpoints)
Financial information (Budget - reached / not reached)

Q11. Organisational safety and risk management policies, procedures and programs should be provided to the work crew in an accessible manner. Discuss processes and/or documents used to share information relating to the organisation's safety, emergency and risk management policies, procedures, and programs.

Answer

SWMS
JHA's
Signage

Q12. How do you respond to issues raised through consultation?

Answer

Depending on the organisation processes, and the issue of concern, response may require formal or informal meetings that may require the inclusion of a member of the health and safety committee such as planning and purchasing



Q13. Describe two(2) types of reports you use to record work performance and describe how these documents are used to assist in the identification of further opportunities for improvement.

Answer

1. KPI Reports - Review against achievement of KPI and areas for improvement

2. Productivity reports - comparison of reports over time to see whether improvements are required



Q14. Using a paragraph, discuss why is it important for supervisors and those developing job plans and work schedules to understand the relationship between various areas of civil work and resource requirements.

Answer

enables efficient resource allocation, cost control, and
project completion on the time and within budget

Q15. Discuss forms and documents used when making recommendations for improvements, include what should be detailed in these documents.

Answer

Project Plan
Risk management plans
Project Budget
Project communication plans

Q16. Discuss the importance of informing individuals and crews of savings and productive improvements so that quality requirements can be achieved.

Answer

encouragement of personnel to strive for excellence in line with the quality management system, it is essential that the crew understand the current and potential future benefits in complying with the plan



Q17. Using a paragraph, discuss why it is vital to maintain accurate records for a successful quality management system.

Answer

financial
cost saving
Environmental legislation
increasing productivity
increasing efficiency
Working effectively



Q18. Describe four (4) different document control procedures that are applied in civil construction organisations.

Answer

1. Document approval ☐
2. Updating and version control
3. Amendments
4. Document backing

Q19. What different signs and barriers are placed to alert others of exclusion zones? Provide three (3) examples.

Answer

1. Flags and peg marking along with stringlines ☐
2. Horns, hand signals and lights
3. Verbal communication

Q20. How do you communicate levels to plant operators during setting out procedures?

Answer

peg markings and stringlines ☐

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PRACTICAL ASSESSMENT

Participant name	<i>Alley Bunnell</i>
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FOR THE PARTICIPANT
Instructions
- The tasks outlined on the following pages will require performance of normal workplace activities, as a result of a structured activity set by an Observer in the workplace or a simulated activity set by your Assessor/Observer. - The timeframe for these tasks will be established by your Assessor/Observer, in consideration of location conditions and industry requirements. - You must complete all tasks unassisted by the Assessor or other personnel, unless the steps note this assistance. - You must attempt all tasks (and itemised steps) for a 'Satisfactory' assessment outcome to be awarded. - For any observation conducted that is incomplete, or without satisfactory performance, the observation will need to be completed again after further training support.

FOR THE ASSESSOR/OBSERVER
Instructions
- The following observation record should be used to judge and record your observations of the Participant as they complete the task(s) set. You must record your observations of the Participant's performance. - For each occasion, indicate the task performed and whether it was a simulation or workplace-based task. - Any simulated assessment must ensure the Participant still performs under workplace conditions which reflect industry standards. - In the comments, provide clear detail regarding the task that the Participant was required to do (e.g. PPE used, materials handled, attachments connected, plant types). - All steps must be satisfactorily demonstrated by the Participant for a 'Satisfactory' determination (indicated by an Assessor tick to the right of each itemised step, or an Observer tick to the right of each itemised step, and confirmation by an Assessor in the Assessor Comments). - Where you have determined that one or more task steps have not been satisfactorily demonstrated, provide the Participant with additional support and outline details of such assistance in the Assessor/Observer Comments. Allow the Participant two (2) further opportunities to demonstrate the task again to allow an opportunity for a 'Satisfactory' assessment outcome to be achieved. - If after three (3) attempts the Assessor determines that the Participant cannot demonstrate the required steps, a 'Not Satisfactory' outcome is to be determined.

TASK OUTCOME					
Task	Date	Task Type (Tick)	Location	Task outcome (Tick)	
				Satisfactory	Not Satisfactory
Task 1 (Occasion 1)		☐ Workplace ☐ Simulation		☐	☐
Task 1 (Occasion 2)		☐ Workplace ☐ Simulation		☐	☐

ASSESSOR COMMENTS: GENERAL

As necessary, outline:

- Details on reattempts, alternative arrangements or reasonable adjustments made.
- Where a Participant is deemed 'Not Satisfactory', provide recommendations for future training.

ASSESSOR COMMENTS: PRACTICAL TASK 1: OCCASION 1

- ☐ Individual student (as named on cover page)
- ☐ Multiple students [☐ All from Attendance Report, ☐ Specific students involved – identify students]

Task	Provide detail
1.1A.	Specify (✓) documents collected and checked for currency and compliance: ☐ Instructions ☐ Plans ☐ Specifications ☐ SWMS ☐ JSEA ☐ Schedule ☐ Manuals ☐ TCP ☐ Delivery/procurement docs ☐ Training records ☐ Calibration records ☐ Other (please specify):
1.1J.	Specify safety requirements implemented:
1.2E.	Specify improvements put forward:

ASSESSOR COMMENTS: PRACTICAL TASK 1: OCCASION 2

- ☐ Individual student (as named on cover page)
- ☐ Multiple students [☐ All from Attendance Report, ☐ Specific students involved – identify students]

Task	Details
1.1A.	Specify (✓) documents collected and checked for currency and compliance: ☐ Instructions ☐ Plans ☐ Specifications ☐ SWMS ☐ JSEA ☐ Schedule ☐ Manuals ☐ TCP ☐ Delivery/procurement docs ☐ Training records ☐ Calibration records ☐ Other (please specify):
1.1J.	Specify safety requirements implemented:
1.2E.	Specify improvements put forward:

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Practical Task 1 (2X)

Description of task:

The participant must demonstrate supervising a crew during work activities on two (2) occasions and must demonstrate all of the following on each of the two (2) occasions:

Implementing quality processes

- Collect all required documents, confirming these are current and checking required resources including human resources against documentation.
- Confirming and applying all site safety, traffic management and environmental protection requirements.
- Lead the team pre-start meeting, collaborating with crew members to ensure understanding and participation.
- Share information and documents adhering to site safety and quality requirements and informing crew of savings and productivity improvements to apply to achieve quality standards.
- Mentor and support individuals to ensure safety and compliance with requirements.

Monitor work processes and systems

- Identify ways in which planning and operations could be improved.
- Use available technology to adhere to quality improvement processes and techniques.
- Make recommendations for improvements to the quality management plan to relevant personnel according to workplace procedures.

Consolidate opportunities for further development

- Document work performance and use the information to identify opportunities to improve quality.
- Complete, store and share reports, recommendations and records according to the workplace quality management plan and procedures.

Tasks are at the Assessor's Discretion, but detail of tasks undertaken must be recorded in the Assessor's Comments (on the back of the Practical Assessment cover page).

Resources required:

Human resources (work crew/team), work instructions, site safety and emergency procedures, permit requirements as required, relevant plans, drawings, product specifications, delivery standards, workplace forms and storage facilities. Work site with all safety, traffic management and environmental protection requirements to safely and compliantly complete work tasks. Quality documentation.

When completing the task, did the Participant:	Tick if satisfactorily completed. Provide comments if left unticked.	
	1 st Occasion	2 nd Occasion
1 Implement quality processes		
1.1A. Collect documents required to achieve work task, read and confirm currency and compliance.		
1.1B. Complete and have authorised required documentation such as permits.		
1.1C. Discuss work requirements and schedule with crew using approved documents according to workplace quality and compliance requirements.		
1.1D. Collaborate with crew and contractors to confirm schedule and work requirements.		
1.1E. Encourage and support crew members during discussion to ensure understanding of requirements.		
1.1F. Communicate information clearly to ensure understanding.		
1.1G. Apply active listening techniques to enable inclusivity.		
1.1H. Apply mentoring techniques to support worker participation.		
1.1I. Clarify and confirm crew/contractor understanding of safety and emergency procedures.		
1.1J. Implement and ensure crew implementation of site safety requirements.		
1.1K. Install and monitor installation of signage and barriers to indicate work area and exclusion zones.		

When completing the task, did the Participant:	Tick if satisfactorily completed. Provide comments if left unticked.	
	1 st Occasion	2 nd Occasion
1.1L. Prepare wash down area and/or appropriate environmental controls according to site, quality and EMP requirements.		
2 Make recommendations based on performance that has been monitored and reported on		
1.2A. Check digital or other technology to confirm KPIs against quality targets.		
1.2B. Check and monitor to ensure safety targets are met.		
1.2C. Monitor schedule including any milestones/inspections/hold points to achieve specified timeframes.		
1.2D. Keep records of KPIs, measurements, test results.		
1.2E. Offer improvements to quality processes/procedures to relevant personnel.		
1.2F. Complete appropriate monitoring and measuring documents.		
1.2G. Complete recommendation for improvement documentation according to workplace requirements.		
3 Consolidate opportunities for further development		
1.3A. Keep clear records of work performance achieved		
1.3B. Manage records, reports, recommendations storage in accordance with workplace procedures and quality management requirements		