



Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS

Organisation's legal name	Harness Energy Services Pty Ltd
Trading name/s	Harness Training Pty Ltd
RTO number	40521
CRICOS number	n/a

AUDIT TEAM

Lead auditor	Seth Farrington
Auditor/s	n/a
Technical adviser/s	n/a

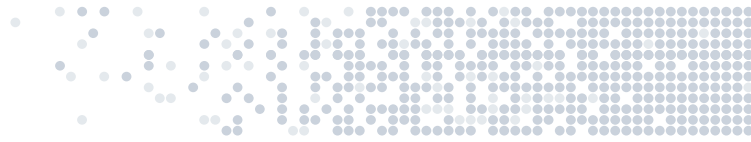
AUDIT DETAILS

Application number/s	n/a
Audit number/s	1002316
Audit reason 1	Post initial
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	1/45 Alexandra Place, MURARRIE QLD 4172
Date/s of audit	04 & 05/03/2014
Organisation's contact for audit	Sarah Lauenstein RTO Manager sarah.lauenstein@harnessenergy.com.au 0416788920
NVR standards audited	All Standards for Continuing Registration

BACKGROUND

Harness Energy Services Pty Ltd provides training and assessment for the drilling oil/gas industry. The organisation also provides non VET specialist accredited and certified training in the drilling industry.

The organisational structure consists of a CEO, a Director of Training, a RTO Manager, trainers and assessors and an administration team. It was evident the organisation has a key focus on continuous improvement and safety.



The RTO **does** currently deliver training from multiple sites

The RTO **does not** currently:

- deliver training off shore/outside Australia
- receive government funding
- accept fees in advance from students
- deliver training and/or assessment services to apprentices or trainees
- partner with other registered training organisations
- deliver training and/or assessment services to overseas students studying in Australia
- deliver training and/or assessment services to school students
- deliver training and/or assessment services students under the age of 18.

Total number of current enrolments in RTO as at audit date:

- 173

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB41412	Certificate IV in Work Health and Safety	Mixed	20
RII32009	Certificate III in Drilling Oil/Gas (On shore)	Mixed	19
RII50809	Diploma of Drilling Oil/Gas (On shore)	Mixed	0
MSAPMOHS217A	Gas test atmospheres	Face to face	9
MSAPMPER200C	Work in accordance with an issued permit	Face to face	29
PUASAR025A	Undertake confined space rescue	Face to face	0
PUASAR032A	Undertake vertical rescue	Face to face	0

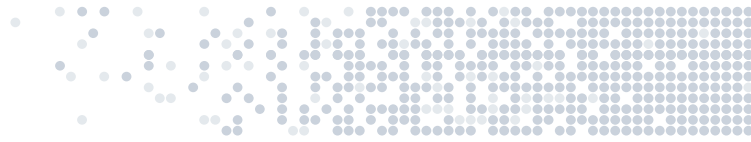
*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Dean Devenish	Director of Training	RII32009
Sarah Lauenstein	RTO Manager	NA
Michael O'Reilly	CEO	NA

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 05/03/2014: Significant non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.



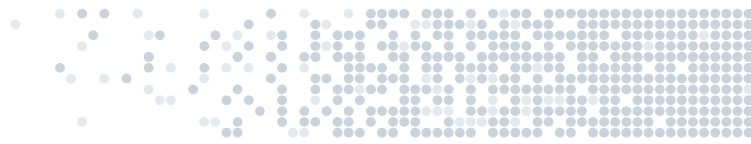
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 01/05/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Compliant	n/a
SNR 20	Not compliant	Compliant
SNR 21	Compliant	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not compliant	Compliant
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



SNR 15	The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:
15.1	The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.
Original finding:	Compliant
Following rectification:	n/a
15.2	Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.
Original finding:	Compliant
Following rectification:	n/a
15.3	Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.
Original finding:	Not compliant
Following rectification:	Compliant
<i>Reasons for finding of non-compliance:</i>	
<ul style="list-style-type: none">As non-compliance was identified in SNR 15.5 the organisation has not demonstrated its training and assessment materials are consistent with the requirements of the relevant Training Package	
<i>In order to become compliant, the organisation is required to:</i>	
<ul style="list-style-type: none">provide evidence to satisfactorily address the non-compliances identified in SNR 15.5 will rectify here.	
<i>Analysis of rectification evidence:</i>	
<ul style="list-style-type: none">Evidence was provided that addresses the non-compliances identified in SNR 15.5.	
15.4	Training and assessment is delivered by trainers and assessors who: (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and (b) have the relevant vocational competencies at least to the level being delivered or assessed; and (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.
Original finding:	Compliant
Following rectification:	n/a
15.5	Assessment including Recognition of Prior Learning (RPL): (a) meets the requirements of the relevant Training Package or VET accredited course; and (b) is conducted in accordance with the principles of assessment and the rules of evidence; and (c) meets workplace and, where relevant, regulatory requirements; and (d) is systematically validated.



Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

BSB41412 Certificate IV in Work Health and Safety

BSBWHS404A Contribute to WHS hazard identification, risk assessment and risk control

BSBWHS405A Contribute to implementing and maintaining WHS management systems

The assessment materials provided for both units consisted of the following:

Theory assessments with answer guidance

Project Book tasks – completed in the workplace – guidance provided

Mapping documents

- Analysis of the assessment tools provided determined they did not meet the requirements of the BSB07 Business Services Training Package (15.5a). They also do not meet the principles of assessment or the rules of evidence (15.5b).
- While knowledge requirements have been sufficiently addressed for both units the evidence provided did not demonstrate the Elements are addressed to the levels as defined in the performance criteria nor are the required skills and therefore the critical aspects addressed as required.

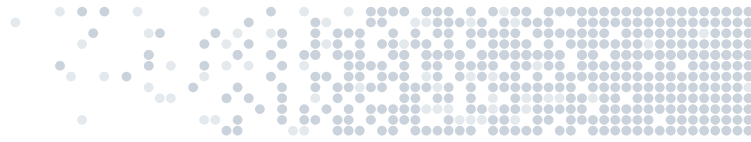
For BSBWHS404A

- The provided assessment tools do not ensure the candidate demonstrate the ability to effectively do the task outlined in elements and performance criteria for example but not limited to:
 - Contribute to workplace hazard identification
 - Contribute to WHS risk assessment
 - Contribute to the development, implementation and evaluation of risk control
- Furthermore the provided assessment tools do not require the candidate to demonstrate the performance of the following skills for example but not limited to;
 - Communication skills to communicate with a range of backgrounds and with a range of abilities
 - Observational skills to identify hazards and to assess and control the risks associated with them

For BSBWHS405A

- The provided assessment tools do not ensure the candidate demonstrates the ability to effectively do the task outlined in elements and performance criteria for example but not limited to:
 - Contribute to implementing the WHSMS
 - Contribute to evaluating WHS performance
 - Contributing to reviewing and improving the WHSMS
- Furthermore the provided assessment tools do not require the candidate to demonstrate the performance of the following skills for example but not limited to;
 - Communication skills to communicate with a range of backgrounds and with a range of abilities
 - Organisational and time-management skills to sequence tasks and meet timelines
- Additionally, the guidance for assessors concerning the practical tasks for both units does not articulate the performance level required to ensure, performance standards are consistent with the requirements of the Training Package and ensure assessment is conducted consistently across a range of assessors and learners.

NB: It should be noted that evidence of updated and enhanced assessment materials were provided during the audit for both of the above units of competency which address the non-compliances identified – Rectified no further rectification evidence required for this qualification.



RII32009 Certificate III in Drilling Oil/Gas (On shore)

RIIOGD303A Trip Pipe

The assessment materials provided consisted of the following:

Short answer questions

Portfolio of evidence from worksite

Supervisor reports of demonstrated tasks

Mapping documents

- Analysis of the assessment tools provided determined they did not meet the requirements of the RII09 Resources and Infrastructure Industry Training Package (15.5a). They also do not meet the principles of assessment or the rules of evidence (15.5b).
- While the skills requirements have been sufficiently addressed the evidence provided did not demonstrate all knowledge requirements had been addressed.

NB: It should be noted that evidence of updated and enhanced assessment processes were provided during the audit for the above unit of competency which address the non-compliances identified – Rectified no further rectification evidence required for this qualification.

RII50809 Diploma of Drilling Oil/Gas (On shore)

RIIOGD506A Manage rig move and camp move

Assessment tools consist of:

RPL Tool: 2 Theory questions

RPL Tool: Portfolio of evidence

RIIENV501A Implement and maintain environmental management plan

Assessment tools consist of :

RPL Tool: 15 short answer questions

RPL Tool: Portfolio of evidence

- Analysis of the assessment tools provided determined they did not meet the requirements of the RII09 Resources and Infrastructure Industry Training Package (15.5a). They also do not meet the principles of assessment or the rules of evidence (15.5b). The evidence provided does not demonstrate that assessment has been systematically validated (SNR 15.5).
- For both units of competency examined at audit insufficient evidence was provided to demonstrate the tools used for RPL decisions meet the unit requirements including assessment of required knowledge and skills and critical aspects of evidence. Insufficient evidence was provided to demonstrate how judgement of competence was made. There was no evidence provided to demonstrate the RPL assessment process involved the sufficient recording of an assessor's critical analysis of the evidence provided and the specific recording of their judgement based on that critical analysis of evidence i.e. why the evidence suggests/supports competence.

PUASAR025A Undertake confined space rescue

PUASAR032A Undertake vertical rescue

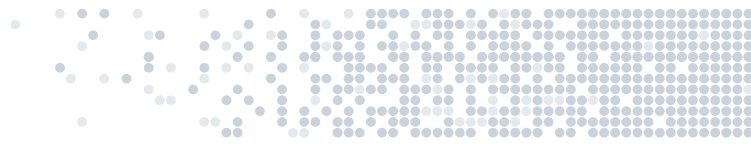
The assessment materials provided for both units consisted of the following:

Written questions with answer guidance

Practical activities

Mapping documents

- Analysis of the assessment tools provided determined they did not meet the requirements of the applicable unit of competency (15.5a). They also do not meet the principles of assessment or the rules of evidence (15.5b).
- While knowledge requirements have been sufficiently addressed for both units the evidence provided did not demonstrate assessment tools address required skills, critical aspects for assessment and context of and specific resources for assessment requirements. Further information concerning the practical tasks does not articulate details of the context of the assessment task to ensure consistency of assessment for the tasks across a range of learners nor do they clearly detail the breadth and depth of the response required to ensure learners



are aware of the requirements for the satisfactory performance of the task.

- Additionally, there is no mechanism in place for the assessor to record evidence of the learner's demonstrated ability of the required skills of both units of competency.
- Additionally, the guidance for assessors concerning the practical tasks for both units does not articulate the performance level required to ensure, performance standards are consistent with the requirements of the Training Package and ensure assessment is conducted consistently across a range of assessors and learners.

In order to become compliant, the organisation is required to:

RII50809 Diploma of Drilling Oil/Gas (On shore)

RIIOGD506A Manage rig move and camp move

RIIENV501A Implement and maintain environmental management plan

PUASAR025A Undertake confined space rescue

PUASAR032A Undertake vertical rescue

- For each of the units of competency above provide a full suite of assessment materials that meets the principles of assessment, the rules of evidence and all the requirements of the unit of competency including the required knowledge, skills and critical aspects of evidence.
- Provide evidence that demonstrates all assessment tools include, or are accompanied by guidance to assessors to enable them to make consistent judgements about competence and information to learners about the assessment process.

Analysis of rectification evidence:

RII50809 Diploma of Drilling Oil/Gas (On shore)

RIIOGD506A Manage rig move and camp move

- The organisation provided a complete set of updated and enhanced assessment materials for the above unit of competency as follows:
 - RPL Workbook: Portfolio of evidence – specific criteria
 - Mapping document
 - RPL Workbook: 6 Theory questions
 - Critical analysis record of provided workplace evidence aligned to each element and performance criteria

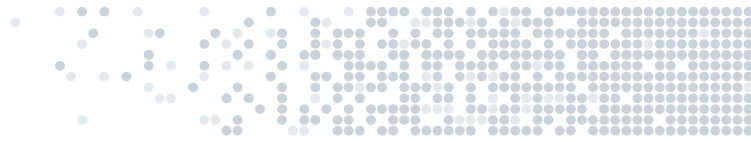
RIIENV501A Implement and maintain environmental management plan

- The organisation provided a complete set of updated and enhanced assessment materials for the above unit of competency as follows:
 - RPL Workbook: Portfolio of evidence – specific criteria
 - Mapping document
 - RPL Workbook: 15 Theory questions
 - Critical analysis record of provided workplace evidence aligned to each element and performance criteria

Analysis of the assessment tools provided for the above units of competency determined they now meet the requirements of the RII09 Resources and Infrastructure Industry Training Package. They also meet the principles of assessment and the rules of evidence. The enhanced assessment tools are accompanied by guidance to assessors to enable them to make consistent judgements about competence and information to learners about the assessment process.

PUASAR025A Undertake confined space rescue

- The organisation provided a complete set of updated and enhanced assessment materials for the above unit of competency as follows:
 - Workbook: written questions with answer guidance
 - Practical activities – detailed scenario confined space entry on a rig – accompanied with performance guidance
 - Mapping document



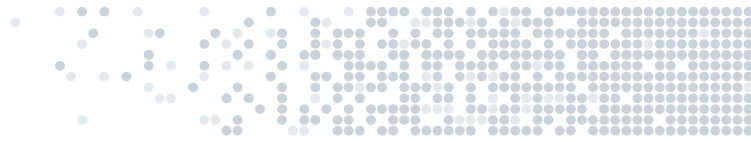
- Trainers handbook
- Unit assessment document

PUASAR032A Undertake vertical rescue

- The organisation provided a complete set of updated and enhanced assessment materials for the above unit of competency as follows:
 - Workbook: written questions with answer guidance
 - Practical activities – detailed scenario vertical rescue on a rig – accompanied with performance guidance
 - Mapping document
 - Trainers handbook
 - Unit assessment document

Analysis of the assessment tools provided for the above units of competency determined they now meet the requirements of the applicable unit of competency. They also meet the principles of assessment and the rules of evidence. The enhanced assessment tools are accompanied by guidance to assessors to enable them to make consistent judgements about competence and information to learners about the assessment process.

SNR 16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:	
16.1	The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.	
	Original finding: Compliant	Following rectification: n/a
16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.	
	Original finding: Compliant	Following rectification: n/a
16.3	Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.	
	Original finding: Compliant	Following rectification: n/a
16.4	Employers and other parties who contribute to each learner’s training and assessment are engaged in the development, delivery and monitoring of training and assessment.	
	Original finding: Compliant	Following rectification: n/a
16.5	Learners receive training, assessment and support services that meet their individual needs.	
	Original finding: Compliant	Following rectification: n/a
16.6	Learners have timely access to current and accurate records of their participation and progress.	
	Original finding: Compliant	Following rectification: n/a



16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.
Original finding: Compliant	Following rectification: n/a

SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1	The NVR registered training organisation’s management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.
Original finding: Compliant	Following rectification: n/a

17.2	The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.
Original finding: Compliant	Following rectification: n/a

17.3	The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.
Original finding: Not audited	Following rectification: n/a

17.4	The NVR registered training organisation manages records to ensure their accuracy and integrity.
Original finding: Compliant	Following rectification: n/a

SNR 18 The NVR registered training organisation has governance arrangements in place as follows:

18.1	The NVR registered training organisation’s Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation’s scope of registration, as listed on the National Register.
Original finding: Not compliant	Following rectification: Compliant

Reasons for finding of non-compliance:

- The non-compliances identified at audit confirmed the NVR registered training organisation’s Chief Executive has not ensured the NVR registered training organisation complies with the VET Quality Framework across all of its operations.

In order to become compliant, the organisation is required to:

- Rectify the non-compliances identified in the other SNR Standards will suffice to cover this requirement.



Analysis of rectification evidence:

- The non-compliances identified in the other SNR Standards have been rectified demonstrating the NVR registered training organisation's Chief Executive has ensured the NVR registered training organisation complies with the VET Quality Framework across all of its operations.

18.2	The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.
Original finding: Compliant	Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1	The NVR registered training organisation must co-operate with the National VET Regulator: (a) in the conduct of audits and the monitoring of its operations; (b) by providing accurate and timely data relevant to measures of its performance; (c) by providing information about significant changes by its operations; (d) by providing information about significant changes to its ownership; and (e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.
Original finding: Compliant	Following rectification: n/a

SNR 20 Compliance with legislation

20.1	The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.
Original finding: Compliant	Following rectification: n/a

20.2	The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.
Original finding: Not compliant	Following rectification: Compliant

Reasons for finding of non-compliance:

- The evidence provided at audit did not demonstrate the RTO ensures staff and clients are informed of their legislative and regulatory rights and obligations.

NB: It should be noted that during the audit the organisation provided evidence of an updated process that will ensure the RTO ensures staff and clients are informed of their legislative and regulatory rights and obligations. Rectified no further rectification evidence required.

SNR 21 Insurance

21.1	The NVR registered training organisation must hold public liability insurance throughout its registration period.
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Original finding: Compliant

Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Compliant

Following rectification: n/a

22.2 The NVR registered training organisation must provide the following fee information to each client:

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;**
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;**
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;**
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and**
- (e) the organisation's refund policy.**

Original finding: Compliant

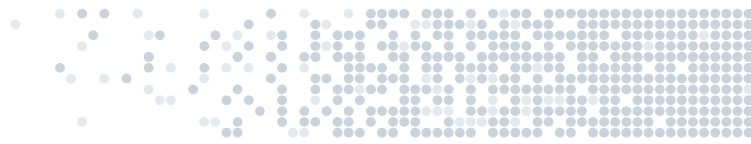
Following rectification: n/a

22.3 Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:

- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;**
- (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;**
- (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;**
- (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or**
- (e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.**

Original finding: Not audited

Following rectification: n/a



SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

23.1 The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
(a) meets the Australian Qualifications Framework (AQF) requirements;
(b) identifies the NVR registered training organisation by its national provider number from the National Register and
(c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The organisation confirmed it does not issue a record of result when it issues a qualification as required of the AQF Qualifications Issuance policy.

In order to become compliant, the organisation is required to:

- Provide evidence to demonstrate it issues a record of result when it issues a qualification.

Analysis of rectification evidence:

- The organisation provided evidence by way of updated processes and evidence it has developed a record of results document to accompany the issue of a qualification as required of the AQF Qualifications Issuance policy.

23.2 The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Original finding: Compliant

Following rectification: n/a

23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Compliant

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.



SNR 24 Accuracy and integrity of marketing	
24.1	The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.
Original finding: Compliant	Following rectification: n/a
24.2	The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.
Original finding: Compliant	Following rectification: n/a
SNR 25 Transition to Training Packages/expiry of VET accredited courses	
25.1	The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.
Original finding: Compliant	Following rectification: n/a
25.2	The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.
Original finding: Compliant	Following rectification: n/a