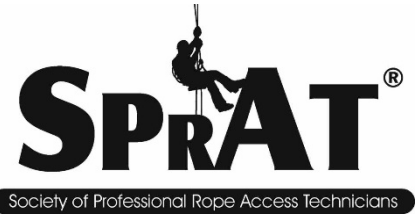


# EVALUATOR GUIDELINES



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## 1. Purpose and Scope

### 1.1. Purpose

- 1.1.1. The purpose of this document is to provide Evaluators with the information required to provide consistent, objective, fair, accurate, and efficient evaluation sessions.
- 1.1.2. This document provides the tools required for Evaluators to fulfill their responsibilities as listed in SPRAT's *Evaluation Guidelines*.

### 1.2. Scope

- 1.2.1. This document serves as a supplement to the *Evaluations Guidelines* document by providing the following:
  - 1.2.1.1. Administrative information for correct completion of evaluation session paperwork
  - 1.2.1.2. Detailed responsibilities for an Evaluator through the entire certification process
  - 1.2.1.3. A framework for disciplinary action for violations by Evaluators
  - 1.2.1.4. Criteria for appointment renewal of Evaluators

## 2. The Evaluations Committee

- 2.1. The SPRAT Evaluations Committee is a standing committee that reports regularly to the Board of Directors.
- 2.2. The Evaluations Committee is responsible for overseeing the certification process of rope access candidates and Evaluators in accordance with SPRAT's *Certification Requirements for Rope Access Work*.
- 2.3. Within the parameters of *Certification Requirements for Rope Access Work*, the Evaluations Committee is responsible for the following:
  - 2.3.1. Considers direct entry applications
  - 2.3.2. Creates and maintains SPRAT certification documents and written tests
  - 2.3.3. Approves new Evaluator applications and Evaluator appointment renewals
  - 2.3.4. Considers and rules on appeals regarding certifications and evaluation sessions
  - 2.3.5. Establishes Evaluator protocols and monitors the evaluation process
  - 2.3.6. Oversees Evaluator Candidate Orientation and Evaluator Workshops
- 2.4. Any member affected by the decisions of the Evaluations Committee may choose to appeal to the Board of Directors.
- 2.5. The Board of Directors can choose to reconsider any action taken by the Evaluations Committee if the Board of Directors deems the action inconsistent with established certification requirements or finds the action inconsistent with the best interests of the membership.

### 3. Overall Evaluation Process

#### 3.1. Goal of the Evaluation Process

- 3.1.1. An Evaluator's role is to contribute to a fair, impartial, and consistent evaluation and certification process that objectively tests the skills of each candidate as specifically outlined by the *Certification Requirements for Rope Access Work*.
- 3.1.2. An evaluation session does not and is not established to make any assurances about the candidates other than that the candidates have exhibited their ability to pass a written test, oral skills test, and practical skills test.

#### 3.2. Documentation Used in the Evaluation Process

- 3.2.1. Technician Evaluation Forms are mailed with serial numbers assigned to each Evaluator.
- 3.2.2. It is the responsibility of the Evaluator to inform the SPRAT Office when new forms are required.
- 3.2.3. Forms will be sent ground, unless expedited service is requested and paid for by the Evaluator.
- 3.2.4. All other documentation is mentioned in this document and/or the *Evaluation Guidelines* and is available on the SPRAT website in the [Evaluator](#) or [Evaluation Session Host](#) resources areas.
- 3.2.5. It is recommended that an Evaluator keep all files up to date on a flash drive.
- 3.2.6. The SPRAT Office will communicate updates to electronic documents held within the resource areas via email.

### 4. Role and Responsibilities of the Evaluator

4.1. The administrative responsibilities of the Evaluator are listed in Section 2.3 of the *Evaluation Guidelines*. In addition to those responsibilities, an Evaluator is responsible for the following:

#### 4.2. Evaluator as a Representative of SPRAT

- 4.2.1. As the majority of rope access technicians will only ever interact with SPRAT through an Evaluator at an evaluation session, the privilege of being an Evaluator carries the responsibility of being a positive representative of SPRAT as an organization.
- 4.2.2. An Evaluator is expected to be familiar with the organization and be prepared to provide answers to candidates' questions about the organization and of its positions on a number of topics within the rope access industry.
  - 4.2.2.1. In the event that an Evaluator does not know the answer to a posited question, it is best for the Evaluator to direct the question to the SPRAT Office for more information.
- 4.2.3. Strict adherence to criteria and policies set forth in this and other SPRAT documents, including the *Certification Requirements for Rope Access Work*, *Practices for Rope Access Work*, *Evaluation Guidelines* and *Process to Become an Evaluator*, is expected.
- 4.2.4. An Evaluator is expected to respond to any requests from the Evaluations Committee, the Board of Directors, or the SPRAT Office in a timely fashion.
- 4.2.5. An Evaluator is expected to take an active role in SPRAT, for example by participation in SPRAT committees and by voting on all ballots put out to the membership.
- 4.2.6. Evaluators shall not approach Evaluation Session Hosts, training staff, candidates, or potential clients for the purposes of recruitment or future business opportunities.
- 4.2.7. Evaluators shall not participate in any forms of blind solicitation promoting Evaluator services and/or Evaluator fee structures.

4.2.8. Evaluators shall not disclose any confidential and/or proprietary information acquired during the course of an evaluation session, unless the information pertains to practices that are clearly inconsistent with SPRAT standards and requirements and that information is required within SPRAT Evaluations Committee or Board of Directors discussions.

4.2.9. An Evaluator is expected to remain up to date on equipment manufacturer specifications.

#### 4.3. Evaluator Currency

4.3.1. An Evaluator shall keep their SPRAT membership, SPRAT Level 3 Technician, First Aid, and CPR/AED certifications valid.

4.3.2. An Evaluator should conduct two evaluation sessions per year of and a total of eight evaluations during their appointment.

4.3.3. Evaluators should attend an Evaluator Workshop annually and must attend an Evaluator's Workshop at least once every 24 months to maintain Evaluator status.

4.3.4. The Evaluations Committee will review Evaluator currency when Evaluators apply for their appointment renewal.

4.3.5. Possible repercussions for not maintaining currency are later in this document.

#### 4.4. Responsibilities prior to an Evaluation

4.4.1. Once an Evaluator has agreed to do an evaluation, the Evaluator must communicate with both the Evaluation Session Host and the SPRAT Office to ensure the following:

4.4.1.1. Ensure the Evaluation Session Host has notified the SPRAT Office with the details by submitting an Evaluation Session Host Application either in hard copy or online

4.4.1.2. Ensure the Evaluation Session Host has provided the SPRAT Office with the required proof of insurance for the evaluation session

4.4.1.3. Ensure that the Evaluation Session Host has no more than eight candidates for the day of the evaluation session

4.4.1.4. Ensure that all DE candidates have been approved by the Evaluations Committee. The Evaluation Session Host will supply approval from the SPRAT Office listing the candidate's name.

4.4.1.4.1. If the letter is not available, contact the SPRAT Office to confirm approval.

4.4.1.4.2. Consideration will not be given to candidates not approved for direct entry at the time of the session.

4.4.1.5. Notify the SPRAT Office and Evaluations Committee in advance of any links or commercial interests which might make an Evaluator's impartiality suspect.

4.4.1.6. Ensure that the Evaluation Session Host is aware of candidates' responsibilities to provide experience documentation prior to the beginning of the evaluation as stated in the *Certification Requirements for Rope Access Work and Evaluation Guidelines*

4.4.1.7. Ensure that the Evaluation Session Host is familiar with the 'SPRAT Evaluation Facility and Equipment Requirements' section in the *Evaluation Guidelines*. Verify that the site is suitable for administering the written test and the desired levels of candidates

4.4.1.8. Establish fee with Evaluation Session Host.

4.4.1.8.1. SPRAT has not established any Evaluator fee guidelines and any arrangements should be made directly with the training company or Evaluation Session Host.

4.4.1.8.2. In general most Evaluators are charging a one day fee and reasonable travel expenses.

- 4.4.1.9. Enquire if any specific PPE or equipment (e.g. harness, helmet) is needed prior to traveling
  - 4.4.1.10. Make all travel and accommodation arrangements unless the Evaluation Session Host specifies that they will do it. As much time as possible for the usual delays with flights and other travel logistics
  - 4.4.2. Repeated communication is often required with both the Evaluation Session Host and the SPRAT Office to verify that all of these points have been covered. This communication aids in setting expectations with the Evaluation Session Host and in preempting problems prior to the evaluation session.
- 4.5. Evaluator Conduct during Evaluation
- 4.5.1. *Certification Requirements for Rope Access Work* defines the requirements of an **Independent Evaluator**.
    - 4.5.1.1. An Evaluator must be independent of Level 2 and Level 3 candidates.
  - 4.5.2. The maximum number of candidates that can be evaluated in one session is eight. There may only be one evaluation session per day per Evaluator.
  - 4.5.3. An evaluation session is a part of the process of learning, but it is the closing stage to verify that the candidate has met the desired goals of the overall process.
    - 4.5.3.1. An evaluation session not an assisted process nor considered continuing education, nor is it intended to be a training session.
    - 4.5.3.2. An evaluation session allows the Evaluator to see that the candidate is capable of meeting the criteria put in place by the SPRAT Certification Requirements Standard.
    - 4.5.3.3. If the candidate is unable to produce the answers or complete the skills that are asked of them, this shows that during this evaluation, this candidate was not capable of passing the evaluation.
    - 4.5.3.4. From a training perspective, if the candidate is not capable of giving the answers that an Evaluator is directed by their given criteria to ask, then that means that the trainer has not provided the training expected, or the candidate was given the training but was not able to retain that information.
    - 4.5.3.5. For the Evaluator to demand further information beyond what the *Certification Requirements for Rope Access Work* or *Evaluation Guidelines* dictate constitutes a violation of the evaluation process.
- 4.6. Responsibilities after the Evaluation has Ended
- 4.6.1. The Evaluator is responsible for sending all paperwork from an evaluation session to the SPRAT Office within 15 days of the session.
  - 4.6.2. The Evaluator is responsible for communication between the SPRAT Office and the Evaluation Session Host on any discrepancies relating to paperwork or administrative issues that have been identified.
  - 4.6.3. The Evaluator is the contact person for scheduling the retaking of any failed written tests.

## 5. Beginning the Evaluation Session

### 5.1. Site Safety Checklist

- 5.1.1. The Evaluator shall confirm with the Evaluation Session Host that the following have been considered and are addressed.
- 5.1.2. A site safety checklist form is provided by SPRAT and should be filled out at this time.
  - 5.1.2.1. Emergency services phone numbers are on site
  - 5.1.2.2. A roster of candidates with emergency contact information is on site and Evaluator contact information is added
  - 5.1.2.3. A first aid kit and appropriate rescue equipment is on site, and rescue procedures are in place
  - 5.1.2.4. The candidates and Evaluator have received a site safety briefing
  - 5.1.2.5. Any lock out/tag out procedures are in place
  - 5.1.2.6. Insurance coverage is in place
  - 5.1.2.7. Noise and lighting levels are acceptable
  - 5.1.2.8. There are no conflicting activities in the area
  - 5.1.2.9. Hazard zones are marked
  - 5.1.2.10. Anchor points and rigging are safe, well located and checked
  - 5.1.2.11. Equipment is sufficient and in good condition
  - 5.1.2.12. Testing stations are sufficient for the levels being evaluated
  - 5.1.2.13. The evaluation area is organized
  - 5.1.2.14. There are suitable places to view the candidates during their skills

### 5.2. Introducing Candidates to the Evaluation Process

- 5.2.1. An Evaluator's introduction to the candidates should set a friendly and professional tone for the evaluation.
- 5.2.2. Candidates should be given enough initial information to give them a sense of what to expect but not to overwhelm them with too many details up front. An introduction should include and explain the following points:
  - 5.2.2.1. Evaluator introduction with a brief background of experience
  - 5.2.2.2. Thank the Evaluation Session Host for having an Evaluator there
  - 5.2.2.3. Evaluator is at session as a representative of SPRAT
  - 5.2.2.4. SPRAT is a member driven organization. Individuals as well as companies can join and participate in SPRAT
  - 5.2.2.5. SPRAT creates rope access industry standards
  - 5.2.2.6. SPRAT is a liaison to regulatory agencies and standards organizations
  - 5.2.2.7. SPRAT does not establish laws but is instrumental in working to have relevant laws reflect the needs of the rope access industry
  - 5.2.2.8. SPRAT is not a training organization but administers certifications
  - 5.2.2.9. The Evaluator's primary goal is to make sure the candidates demonstrate that they can perform the required skills as outlined in the *Certification Requirements for Rope Access Work and Evaluation Guidelines*

- 5.2.2.10. Evaluators are not at the evaluation to trick candidates, nor to instruct or give advice
- 5.2.2.11. An evaluation consists of three parts: written, oral and field skills
  - 5.2.2.11.1. Written: tests understanding of the Safe Practices and Certification requirements documents
  - 5.2.2.11.2. Field oral: tests understanding of concepts and specifics about job site safety and the use and inspection of equipment
  - 5.2.2.11.3. Field skills: tests proficiency and safety while performing the required skills for the appropriate level of certification
- 5.2.2.12. Details of each testing part will be provided prior to beginning each portion
- 5.2.2.13. Encourage the candidates to relax
- 5.2.2.14. Provide candidates with an estimate of how long the evaluation may take
- 5.2.2.15. Inform candidates about the plan for breaks and lunch, etc.
- 5.2.2.16. Instruct candidates to put any study or reference materials away

### 5.3. Waiver of Liability and Certification of Physical Ability Form and Technician Evaluation Form

#### 5.3.1. Fill Out Waiver of Liability and Certification of Physical Ability Forms

- 5.3.1.1. Ensure that candidates are aware of both purposes of this waiver.
- 5.3.1.2. Preexisting conditions do not necessarily prevent a candidate from testing, but an Evaluator must be informed of any conditions that the candidate has that are either listed on the waiver or could inhibit a candidate from completing the evaluation.

#### 5.3.2. Fill Out Technician Evaluation Forms

- 5.3.2.1. All candidates shall complete a Technician Evaluation Form prior to beginning the evaluation.
- 5.3.2.2. Thorough instructions of how to fill out the Technician Evaluation Form are provided in Appendix B. Key points to remind them of as candidates fill out the forms are:
  - 5.3.2.2.1. Print clearly, use ink and press firmly for multiple copies
  - 5.3.2.2.2. The address is where candidates want the certification sent to, taking into consideration processing times of 4-6 weeks
  - 5.3.2.2.3. If a candidate's email address is long they can use the birth date space below

#### 5.3.3. Collect forms and keep the Technician Evaluation forms separate for later.

5.3.4. Do not accidentally write on top of the multi-part forms. Ensure extra copies of all blank forms are available in case of errors being made.

5.3.5. If errors are made on a Technician Evaluation Form and it is not used, write "VOID" lengthwise on the document and keep with the rest of the paperwork to be sent in to the SPRAT Office.

5.3.6. The SPRAT Office keeps track of serial numbers issued to all Evaluators.

### 5.4. Check Experience Documentation, Identification, and First Aid, CPR and AED

5.4.1.1. Experience documentation of candidates should be checked prior to beginning the written test. Evaluators shall check for the following:

- 5.4.1.1.1. Government Issued ID with photo
- 5.4.1.1.2. Validity of current certification
- 5.4.1.1.3. Complete logbook showing sufficient hours accrued and time elapsed since last evaluation



5.4.1.1.4. First Aid and CPR/AED expiration for Level 3 and DE Level 3 candidates.

5.4.1.1.5. Direct Entry approval from SPRAT Office

#### 5.4.2. Digital Photographs of Candidates

5.4.2.1. A photo shall be submitted for every candidate regardless if they are a new, recertifying or upgrading technician.

5.4.2.2. Photos shall be emailed to [certification@sprat.org](mailto:certification@sprat.org) by either the Evaluator or Evaluation Session Host; however, it is the responsibility of the Evaluator to make sure all candidates are photographed for their Certification card and SPRAT records.

5.4.2.3. The following guidelines shall be followed when taking and submitting photos:

5.4.2.3.1. Photo should be headshot in front of a white or neutral background

5.4.2.3.2. No hats or sunglasses should be present in the photo

5.4.2.3.3. Photos shall be submitted with a file name including either the candidates first, last, or full name, taking into consideration any candidates with the same or similar name.

5.4.2.3.4. A copy of all photos shall be retained with either the Evaluator or the Evaluation Session Host Company until all certification materials have been successfully processed.

## 6. Administering the Portions of the Evaluation

### 6.1. Written Test

6.1.1. All instructions for administering the written test are provided in the *Evaluation Guidelines*.

### 6.2. Field Evaluation

6.2.1. After the written test is completed, introduce the Field Oral and Field Skills portion of the evaluation.

6.2.2. Encourage questions at any time.

6.2.3. An Evaluator must be very clear about the grading system. Key points to include are:

6.2.3.1. Candidates will be tested on all skills for their desired level of certification as listed in the *Certification Requirements for Rope Access Work*

6.2.3.2. Increased levels of proficiency and efficiency are expected commensurate with the candidate's desired level of certification

6.2.3.3. The certification grading consists of either a pass, discrepancy or fail grade for each skill

6.2.3.4. There are 3 ways to fail the field evaluation:

6.2.3.4.1. Inability to complete a skill

6.2.3.4.2. Committing a serious safety issue, such as going on to one point of contact

6.2.3.4.3. Committing 3 discrepancies

6.2.3.5. Examples of discrepancies and failures will be provided during the Field Oral evaluation and prior to beginning the Field Skills portion of the evaluation.

### 6.3. Field Oral Evaluation

6.3.1. In conducting the Field Oral Evaluation, assign a piece of equipment to each candidate.

6.3.2. Allow five minutes for candidates to prepare notes for presenting the information about equipment and job safety that are presented in Appendices A and B of the *Evaluation Guidelines*.

- 6.3.2.1. This time is for the candidates to gather their thoughts, not to consult any materials.
  - 6.3.3. The oral evaluation should be used as a time to discuss expectations of the field practical skills portion by eliciting examples of common discrepancies and failures.
  - 6.3.4. Candidates are not instructors, nor are evaluation sessions an assessment of public speaking prowess.
  - 6.3.5. The *Evaluation Guidelines* establishes criteria for the oral evaluation based on a candidate's desired level of certification.
    - 6.3.5.1. The oral evaluation is not a time for an Evaluator to expound upon knowledge that is unobtainable from manufacturer's specifications, *Evaluation Guidelines*, or *Certification Requirements for Rope Access Work*, or *Safe Practices for Rope Access Work*.
    - 6.3.5.2. The Evaluator may ask guided questions, but shall not provide information beyond the aforementioned documents.
    - 6.3.5.3. If a candidate fails to provide the required information, a discrepancy shall be issued.
      - 6.3.5.3.1. If a candidate fails to provide the required information, either the candidate is ill prepared, nervous, etc., or the Evaluation Session Host or training provider failed to present the requisite information.
      - 6.3.5.3.2. It is not the Evaluator's responsibility to determine fault at this time.
      - 6.3.5.3.3. The Evaluator shall not ask other candidates for input or answers that the candidate in question cannot answer.
  - 6.3.6. The Evaluator may provide other common examples of discrepancy or failure for a piece of equipment.
- 6.4. Field Skills Evaluation
- 6.4.1. Prior to beginning the Field Skills portion of the evaluation session, the Evaluator shall provide an introduction. Important points to include are:
    - 6.4.1.1. Candidates should ask for clarification if any direction from the Evaluator is unclear
    - 6.4.1.2. Candidates are not allowed to refer to any notes in between skills
    - 6.4.1.3. Candidates should not assume any unusual scenarios or requirements outside of the evaluation setting
    - 6.4.1.4. For the evaluation it is assumed that as soon a candidate leaves the ground they are entering the **access zone**
    - 6.4.1.5. For the evaluation any swing is considered unsafe
    - 6.4.1.6. If asked to stop, a candidate should do so immediately and wait for specific instructions as there may be a safety problem
    - 6.4.1.7. During a skill, candidates may be asked a question about what they are doing. This is not necessarily because something is wrong. It may be for the Evaluator to better view what is happening in the maneuver
    - 6.4.1.8. Candidates should not rush through the skills. The Evaluator needs to be able to watch them
    - 6.4.1.9. Casualty management is considered a part of rescue skills
    - 6.4.1.10. Both the rescuer and casualty must maintain two connection points at all times
    - 6.4.1.11. If during a rescue any coaching is observed, a discrepancy will be issued to both the casualty and the rescuer.

- 6.4.1.12. Further examples of discrepancies and failures that are not elicited during the Field Oral portion of the evaluation should be provided.
- 6.4.2. The Evaluator should reemphasize that candidates are encouraged to ask questions throughout the evaluation sessions.
- 6.4.3. The Evaluator should inform that candidates are subject to being issued discrepancies and failures during the entire evaluation session.
  - 6.4.3.1. Even if the candidates have completed all skills on the Technician Evaluation Form, the session is not considered complete until the candidate receives a signed provisional certification.
- 6.5. Issuing Discrepancies and Fails
  - 6.5.1. An Evaluator does not 'give' **discrepancies** or **fails**; this language is discouraged. Rather, an Evaluator 'issues' a **discrepancy** or **fail** based on the action(s) of the candidate(s).
  - 6.5.2. The Evaluator is not responsible for the overall safety of the session.
  - 6.5.3. The Evaluator is an observer during the evaluation session.
  - 6.5.4. An Evaluator should permit a candidate to commit an error without interference, provided the candidate's action does not present an immediate risk to the safety of either the candidate or anyone else.
    - 6.5.4.1. For example, within a closely monitored evaluation session in a properly equipped facility, going on to one point of contact does not generally present an immediate risk.
    - 6.5.4.2. Issuing a **fail** based on a suspicion of an eventual occurrence is a violation of the Evaluator's duties.
  - 6.5.5. Having candidates understand why they are being issued a **discrepancy** or **fail** is an important part of preempting complaints or appeals in the certification process.
  - 6.5.6. It is imperative upon the Evaluator that a candidate's actions are not impeded upon during a session.
    - 6.5.6.1. Most of the time, a **fail** can be issued at the moment it occurs.
    - 6.5.6.2. The timing of the issuance of a **discrepancy** can affect the outcome of the evaluation.
    - 6.5.6.3. An Evaluator should look for a convenient stopping point to issue the discrepancy, or take a photo to document the error to aid in issuing the discrepancy at a later time.
  - 6.5.7. At no point shall an Evaluator issue a **discrepancy** or **fail** after the candidate has begun a separate exercise.

## 7. Evaluator Consensus Matrix and the Evaluation Record

- 7.1. SPRAT's *Evaluator Consensus Matrix* was established by the Evaluations Committee to ensure consistent evaluation sessions across the pool of Evaluators.
- 7.2. All examples of pass, **discrepancy** and **fail** in the *Evaluation Guidelines* are drawn from this matrix. As stated in the *Evaluation Guidelines* and in the *Evaluator Consensus Matrix*, there may be aggravating or mitigating circumstances that lead to an Evaluator making a decision that differs from the matrix. However, these should be rare decisions.
- 7.3. In addition to maintaining consistency across the Evaluator pool, the matrix is coded, which allows for the collection of data regarding the occurrences of discrepancy and failure by the SPRAT Office.
  - 7.3.1. This data can then be used by the Evaluations Committee and the Training Guidelines Committee for educating the SPRAT membership and Evaluators Candidates.
  - 7.3.2. As part of the completion of paperwork following an evaluation, the Evaluation Record contains a column for the Evaluator to list the code(s) corresponding to the error(s) of each candidate.
  - 7.3.3. This process keeps Evaluators referencing the matrix as well as providing the Evaluations Committee with a means to track the frequency of occurrence of **discrepancies** and **fails** as well as if the existing consensus is up to date with the current practices of the rope access industry.
- 7.4. Any issued **discrepancy** or **fail** that does not correspond to the judgment listed in the *Evaluator Consensus Matrix* must be provided as a written addendum to the Evaluation Record, with an explanation for the variance.
- 7.5. Any Evaluator may, at any time, submit feedback to the Evaluations Committee if they feel any line item in the *Evaluator Consensus Matrix* lies outside of the expected consequence of a candidate's action.

## 8. Completing the Evaluation Session

### 8.1. Debrief of Candidates

- 8.1.1. An Evaluator may conduct an individual or group debrief with candidates from the evaluation session.
- 8.1.2. It is not within the Evaluator's purview to provide unsolicited opinions on the performance of a candidate.
- 8.1.3. Evaluators should ensure that the following is completed:
  - 8.1.3.1. Technician Evaluation Forms are filled out completely (See Appendix B)
    - 8.1.3.1.1. **Discrepancy** and **Fail** notes are listed in Comments box
    - 8.1.3.1.2. Evaluation result and corresponding level are marked on form
    - 8.1.3.1.3. Candidate signatures have been obtained
    - 8.1.3.1.4. Evaluator has signed the form
  - 8.1.3.2. Candidates have reviewed questions missed on their written tests
  - 8.1.3.3. Provisional certifications are issued to passing candidates. This provisional certification is valid for 60 days
  - 8.1.3.4. Logbook section for certifications is updated for upgrade candidates including hours at time of certification
  - 8.1.3.5. Candidates are informed that SPRAT certification cards, certifications, certificates, and usually take 4 to 6 weeks for delivery
  - 8.1.3.6. Any additional questions from candidates are addressed

### 8.2. Failed Written Tests or Field Evaluations

- 8.2.1. Procedures for failed written or practical tests are outlined on the back of the Technician Evaluation form, as well as in the *Evaluation Guidelines*.
  - 8.2.2. Evaluators should ensure candidates understand their responsibilities for retaking the written or field portions of the evaluation.
  - 8.2.3. All documentation of failed candidates must be sent into the SPRAT Office.
- 8.3. Candidates' Right to Contest and Evaluation Result
- 8.3.1. Candidates have the right to appeal the result of an evaluation.
  - 8.3.2. This process is presented in Section 11 of the *Certification Requirements for Rope Access Work* and is outlined on the back of the Technician Evaluation form.
  - 8.3.3. Candidates' complaints or appeals will be decided upon by the Evaluations Committee.
- 8.4. Evaluation Session Host and Candidate Feedback Forms
- 8.4.1. Evaluation Session Host and Candidate Feedback forms are a confidential means to provide honest feedback and constructive criticism of their experience from the evaluation session.
  - 8.4.2. These forms are the basis for determining the effectiveness of both the certification process and the Evaluator conducting the session.
  - 8.4.3. The forms are available as .pdf files and online surveys in the Evaluator Resources area of the SPRAT website.
  - 8.4.4. Evaluators shall inform Evaluation Session Hosts and candidates of the option to provide feedback and that this feedback will not affect the evaluation results.
  - 8.4.5. Forms should be distributed to a candidate after their Technician Evaluation Form has been signed by the Evaluator.
  - 8.4.6. Candidates should give the feedback form to the Evaluation Session Host after completion.
  - 8.4.7. A separate envelope should be used and sealed to ensure confidentiality.
  - 8.4.8. The SPRAT Office will send anonymous feedback to Evaluators on at least a bi-annual basis.
- 8.5. Completing the Evaluation Record
- 8.5.1. Ensure that the Evaluation Record is completed to match the results on the Technician Evaluation Forms.
  - 8.5.2. As mentioned earlier, codes from the *Evaluator Consensus Matrix* must be listed, as well as explanations for any variances from the *Evaluator Consensus matrix*.
  - 8.5.3. Evaluators must sign the bottom of the Evaluation Record, which verifies the information provided as well as states their independence in evaluation sessions containing upper level candidates.
- 8.6. Packaging Materials to be sent to SPRAT
- 8.6.1. It is the Evaluator's responsibility to make sure all of the documents are sent to the SPRAT Office within 15 days of the evaluation session.
  - 8.6.2. Documentation may be send electronically or in hardcopy.
  - 8.6.3. The Evaluator can arrange for the Evaluation Session Host to send in the material to SPRAT; however, the Evaluator remains the responsible party for any missing or altered materials.
  - 8.6.4. If evaluation session documentation is submitted electronically, the Evaluator must retain all originals for one year from the date of the evaluation session.

- 8.6.5. If documents are submitted in hardcopy, material that is not already in duplicate form, especially the Evaluation Record, should be copied before the originals are put in the mail.
- 8.6.6. Copies of candidate photos shall be retained until it is confirmed that SPRAT Office has received the emailed images.
- 8.6.7. The final package sent to the SPRAT Office should include the following completed items:
  - 8.6.7.1. Evaluation Record
  - 8.6.7.2. Technician Evaluation Forms
  - 8.6.7.3. Waiver of Liability and Certification of Physical Ability Forms
  - 8.6.7.4. Written exam answer sheets and information
  - 8.6.7.5. Site Safety Checklist form
  - 8.6.7.6. Proctor Affidavit form (if needed)
  - 8.6.7.7. Evaluation Feedback Forms
- 8.6.8. Processing of the certifications will not begin until all paperwork has been received by the SPRAT Office. Paperwork should be sent with tracking information to the address on the title page of this document.

## **9. Evaluator Infractions**

- 9.1. Infractions of a rule or rules by an Evaluator shall be documented and recorded, and may be submitted to the Chairman of the Evaluations Committee, the President of SPRAT, or the Executive Director.
  - 9.1.1. Administrative infractions will be forwarded by the SPRAT Office to the Evaluations Committee.
  - 9.1.2. All documented infractions will be kept on file by the SPRAT Office. The following is a scale of Evaluator infractions with associated repercussions as determined by the Evaluations Committee and approved by the Board of Directors.
  - 9.1.3. Examples provided are non-exhaustive; the Evaluations Committee has the authority to determine the level of any infraction.

9.1.4.

<b>LEVEL</b>	<b>INFRACTION</b>	<b>OR</b>	<b>REPERCUSSION</b>	<b>EXAMPLES</b>
<b>1</b>	Minor breach of Evaluator responsibilities	N/A	Written request from SPRAT Office	<ul style="list-style-type: none"> <li>- Not using issued Technician Evaluation Forms</li> <li>- Incomplete paperwork</li> <li>- Delay paperwork &gt;15 days</li> </ul>
<b>2</b>	Major breach of Evaluator responsibilities	Multiple Level 1 infractions	Written warning from Evaluations Committee	<ul style="list-style-type: none"> <li>- Conducting evaluation session without Evaluation Session Host insurance on file with SPRAT Office</li> </ul>
<b>3</b>	Misconduct unbecoming of an Evaluator	Multiple Level 2 infractions	Evaluations Committee Recommendation to Board of Directors of suspension of appointment	<ul style="list-style-type: none"> <li>- Conducting evaluation session without Evaluation Session Host insurance in place</li> <li>- Evaluation of &gt;8 candidates</li> <li>- Evaluation of DE candidate without approval</li> <li>- Falsifying information</li> <li>- Conducting evaluation session when not independent of candidate/employer, etc.</li> <li>- Conducting evaluation session when personal certifications are expired.</li> </ul>
<b>4</b>	Gross misconduct unbecoming of an Evaluator	Multiple Level 3 and 2 infractions*	Evaluations Committee Recommendation to Board of Directors of revocation of appointment	<ul style="list-style-type: none"> <li>- Evaluation session conducted while suspended</li> <li>- Level 3 infraction while on probation</li> </ul>

9.2. Complaints

- 9.2.1. Evaluators who have complaints lodged against them will be notified of these complaints in writing by the Chairman of the Evaluations Committee, the President of SPRAT, or the Executive Director, and the notification will be copied to all of the above persons.
- 9.2.2. If a complaint is lodged against an Evaluator, the Evaluations Committee will review the complaint and if found persuasive, determine the appropriate level of Infraction.
- 9.2.3. For any potential level 3 or 4 infractions, the Evaluations Committee will notify the Board of Directors that an investigation needs to be conducted.
- 9.2.4. Evaluators who have complaints lodged against them will have the opportunity to review and respond in writing.

9.3. Level 3 and 4 Infractions

- 9.3.1. Noted in the Board of Directors approved Evaluator Complaint Procedures
- 9.3.2. An investigation team consisting of three shall look into each complaint that is found persuasive by the Evaluations Committee.
- 9.3.3. Investigation of complaints shall be performed by two members of the Board of Directors and one member of the Evaluations Committee, each of whom is completely independent of the subject; that is, there shall be no financial or close personal relationship between the accused and any member of the investigation team.

- 9.3.3.1. The complaining party shall be contacted by the investigation team. The complaining party must be willing to follow through with any reasonable request (e.g. documentation, requests for phone discussions, session details) that is made by the investigation team.
- 9.3.3.2. A meeting may be held by teleconference or in person between the Investigation team and the accused Evaluator to discuss. Documentation of this meeting must be made by a member of the Board of Directors.
- 9.3.3.3. Any action that leads to all certifications issued at a session to become invalid will be considered, at a minimum, a level 3 infraction.
- 9.3.3.4. An Evaluator's appointment may be revoked and/or suspended indefinitely at any time by a 2/3 vote of the Board of Directors
- 9.3.3.5. Suspensions may be issued in a range from 6-12 months. Following suspension, a probationary period of 1 year will be enforced
- 9.3.3.6. If the Evaluator's appointment is revoked, the individual will not be able to reapply for a period of 6 years and must attempt to regain certification as a new Evaluator Candidate.
- 9.3.3.7. Any Evaluator to have two or more complaints by separate individuals found persuasive by the Evaluations Committee within any 90 day period will be temporarily suspended as an Evaluator until the complaints have been fully investigated.
- 9.3.3.8. Results of the action shall be maintained in the Evaluator's file at the SPRAT Office.
- 9.3.3.9. Due to the Board of Directors and the Evaluations Committee having a number of current Evaluators, the investigation team shall be a representative sample and not consist of 100% Evaluators.



## 10. Evaluator Appointment Renewal

- 10.1. Evaluators must renew their appointment every three (3) years. Evaluators must submit to the Evaluations Committee an Evaluator Appointment Renewal application, copy of current first aid and CPR certificates, current *Level III Technician* certification, and a new Evaluator Contract.
- 10.2. The Evaluator’s performance history and availability shall be considered by the Evaluations Committee prior to issuing a renewed appointment.
- 10.3. After submission of the Evaluator Appointment Renewal application is received by the SPRAT Office, the Evaluations Committee will review the application and other relevant records held by the SPRAT Office along the following:

Criteria	Sub-Criteria
Filed appointment renewal paperwork	<ul style="list-style-type: none"> <li>○ Application complete?</li> <li>○ Signed Evaluator Contract?</li> </ul>
Evaluator Written Test	<ul style="list-style-type: none"> <li>○ Completed? Passing Grade?</li> </ul>
Recommended 2 evaluations per calendar year	<ul style="list-style-type: none"> <li>○ Requisite met?</li> </ul>
Recommended 8 evaluations during certification	<ul style="list-style-type: none"> <li>○ Requisite met?</li> </ul>
Workshop attendance	<ul style="list-style-type: none"> <li>○ CR 11.2.9 met?</li> </ul>
Certifications	<ul style="list-style-type: none"> <li>○ All relevant certifications maintained during evaluation appointment period?</li> </ul>
Evaluation Session Host/candidate feedback	<ul style="list-style-type: none"> <li>○ &lt; Average noted?</li> <li>○ Negative written comments?</li> <li>○ Would not use again ever checked?</li> </ul>
Administrative Requirements	<ul style="list-style-type: none"> <li>○ Informing office of upcoming session</li> <li>○ Confirming DE candidates</li> <li>○ Promptness of paperwork</li> <li>○ Completeness of paperwork</li> </ul>
Evaluations Committee interaction	<ul style="list-style-type: none"> <li>○ Participation in Evaluations Committee surveys/requests for feedback?</li> <li>○ Complaints/Appeals received?</li> <li>○ Disciplinary action taken?</li> </ul>
Participation in SPRAT?	<ul style="list-style-type: none"> <li>○ Participation in SPRAT committees?</li> <li>○ Voting record</li> </ul>
Continued education/work in RA or similar disciplines?	<ul style="list-style-type: none"> <li>○ Relevant courses taken?</li> </ul>

- 10.4. After reviewing the application, the Evaluations Committee may approve the application during an Evaluations Committee meeting.
- 10.5. Approval for renewal of appointment requires 70% approval of the entire Evaluations Committee.
- 10.6. If deficiencies are found during review of the application, the Evaluations Committee may issue a probationary extension of appointment of 6 months.
- 10.7. After the probationary period, the Evaluations Committee will review the Evaluator’s performance. Alternatively, the Evaluations Committee may request an interview with the applicant.
- 10.8. The interview will require, at minimum, a quorum of Evaluations Committee members in attendance. The Evaluations Committee will vote on the results of the interview, by approving, issuing a probationary extension, approving with conditions, or denying the application.
- 10.9. If renewal is issued, the Evaluator’s previous record of infractions is cleared, unless the Evaluator is under probation following a suspension.
- 10.10. Approval with conditions will require attendance of an Evaluator workshop as well as completing an evaluation session while being assessed by an Evaluator of Record meeting the requirements stated in Section 12 of this document for reinstatement.

- 10.11. A vote for not approving the application will be sent with recommendations of requirements for reinstatement to the Board of Directors.
- 10.12. Appointment renewals completed within 6 months prior to expiration of the current appointment will be valid for three (3) years from the date of the previous appointment expiration.
- 10.13. If an Evaluator's appointment is expired by less than one year, the Evaluator must attend an Evaluator's workshop and must complete an evaluation session while being assessed by an Evaluator meeting the requirements stated in Section 11 of this document for reinstatement.
- 10.14. If an Evaluator's appointment has expired for a year or more, the applicant must restart the current Evaluator process.

## **11. Evaluating Evaluators**

- 11.1. As detailed in the Process to Become an Evaluator document, Evaluators play an integral role in the development and approval of new Evaluators.
- 11.2. To qualify to be an Evaluator for an Evaluator candidate's final assessment, an Evaluator must:
  - 11.2.1. Be an Evaluator in good standing with the Society.
  - 11.2.2. Previously conducted at least 10 evaluation sessions during their current tenure
  - 11.2.3. Not have provided a letter of recommendation for the Evaluator candidate during the application phase
  - 11.2.4. Be independent of the Evaluator candidate
  - 11.2.5. Be independent of the upper level candidates in the session.
- 11.3. To assist an Evaluator Candidate during their internship phase, it is important to note:
  - 11.3.1. Only one evaluation session may be conducted with an Evaluator that is not independent of the candidate
  - 11.3.2. An Evaluator that provided a letter of recommendation for the Evaluator candidate may only serve as the Evaluator for one shadow session
- 11.4. Evaluators must provide feedback following any evaluation session with an Evaluator candidate during their internship.
- 11.5. The applicable form can be found in the Evaluator resource area.
- 11.6. Evaluators are also encouraged to provide feedback of Evaluator candidates following Evaluator Workshops to which they were in attendance.
- 11.7. Evaluators shall confirm with the SPRAT Office that an Evaluator candidate has been approved for their final skill assessment prior to scheduling that evaluation session with an Evaluator candidate.

## 12. Evaluator Workshops

- 12.1. Evaluator Workshops are intended to maintain consistency of the Evaluator pool.
- 12.2. In addition to assisting Evaluators to keep up with changes within SPRAT, the Evaluator Workshops also serve as a way for Evaluators to discuss new trends in techniques as well as approaches to efficiently administer evaluation sessions.
- 12.3. As stated in Section 5.2, Evaluators should attend an Evaluator Workshop annually and must attend an Evaluator Workshop at least once every 24 months to maintain Evaluator status.
- 12.4. Prior to any Evaluator Workshop, the SPRAT Office will contact the current Evaluator pool for recommendations of topics to be covered.
  - 12.4.1. Any requests will be added to the agenda.
  - 12.4.2. While items may be added to the Evaluator Workshop agenda at the beginning of the workshop, it is much easier to accommodate requests made in advance; Evaluators are strongly encouraged to participate in this process.
- 12.5. While Evaluator Workshops are generally held in conjunction with SPRAT's Annual and Mid-Year meetings, in order to assist a growing international membership, the Evaluations Committee has established a process by which an Evaluator may supervise an Evaluator Workshop at any time of the year.
  - 12.5.1. To qualify to supervise a workshop, an Evaluator must:
    - 12.5.1.1. Be an Evaluator in good standing with SPRAT.
    - 12.5.1.2. Previously conducted at least 10 evaluation sessions during their current appointment
    - 12.5.1.3. Have no current, unaddressed infractions on their record
  - 12.5.2. To supervise an Evaluator Workshop, an Evaluator must submit a request to the SPRAT Office.
    - 12.5.2.1. This request will be reviewed by the Evaluations Committee.
    - 12.5.2.2. Once approved, the Evaluator will be expected to interact with the SPRAT Office as well as a representative of the Evaluations Committee to ensure that all information and logistics are handled properly.
    - 12.5.2.3. Logistics include, but are not limited to: Evaluation Session Host location, liability requirements, accommodations, and lodging.
  - 12.5.3. In order to maintain workshop quality, if an Evaluator has never supervised an Evaluator Workshop, they must be assisted through the process by an Evaluator that has already supervised an Evaluator Workshop.
  - 12.5.4. In this case the Evaluations Committee will assign an approved Evaluator to the applicant.
  - 12.5.5. After this process is complete, a report will be reviewed by the Evaluations Committee and the Evaluator may then be approved to both supervise Evaluator Workshops as well as assist other Evaluators through the process.

## Appendix A: Evaluator Checklist

### Prior to evaluation day:

- Communication with Evaluation Session Host
  - Evaluation Session Host application
  - Liability insurance in place
  - Direct Entry candidates?
  - Foreign language candidates?
  - Expectations
    - Government IDs for candidates
    - Logbooks up to date – SPRAT number available
      - Date since last evaluation
      - Total hours
      - Hours accumulated since last evaluation
    - First Aid, CPR and AED (Level III candidates)
  - Site meets criteria?
- Communication with the SPRAT Office
  - Office aware of session?
  - Liability insurance in place?
  - Direct Entry candidates approved?
  - Previous issues with Evaluation Session Host (if any) redressed?

### Evaluation day:

#### 1. Pre-evaluation:

- Evaluator site safety checklist
  - Access and hazard zones marked
  - Site suitability check
  - Equipment check
  - First aid kit
  - Rescue equipment check (including lifts, ladders, etc.)
  - Rescue personnel and plan check
  - Emergency contact/911 information
  - Candidate roster with emergency contact information
- Candidate information
  - Technician Evaluation Form pre-filled (personal info, evaluation session info)
  - Waiver of liability and Certification of Physical Condition Form
  - Candidate photograph
  - Government ID
  - Logbook
    - Date since last evaluation
    - Total hours
    - Hours accumulated since last evaluation
  - First Aid, CPR and AED (Level III candidates)

#### 2. Evaluation components:

- Written test completed and graded (each candidate)
- Field oral evaluation
- Field practical skills evaluation

#### 3. Post-evaluation:

- Test result review (each candidate)
- Technician Evaluation Form completed
  - Completed including all signatures, test grades, field test details, Evaluator info
  - Copies delivered to candidate (provisional)
  - Copies delivered to Evaluation Session Host
- Evaluation record completed
- Evaluation Session Host and candidate feedback forms
- All documents compiled to be sent to SPRAT Office

### Following evaluation day:

- SPRAT Office follow-up
  - Evaluator returns all documents to SPRAT Office within 15 business days
  - Evaluation Session Host sends payment to SPRAT for all successful candidates
    - Evaluation Session Host aware of responsibility and associated fee
- Evaluation Session Host follow-up
  - Rescheduling of make-up written tests (if any) with assigned proctor

**SPRAT documents to be filled out during evaluation:**

- Evaluation Record
- Site Safety Checklist
- Liability Waiver and Certification of Physical Condition forms
- Technician Evaluation Form
- Written test instructions (w/ proctor form, if applicable)
- Written tests for each level/language
- Written test answer sheet
- Answer keys for written tests
- Evaluation Session Host feedback form
- Candidate feedback form

**SPRAT References to have on-hand:**

- Evaluator Worksheet (to keep track of field portion of evaluation)
- SPRAT *SP* and *CR* Standards
- Evaluator Consensus Matrix
- Evaluator and *Evaluation Guidelines* (coming soon, hopefully)

**Other Materials:**

- Clipboard
- Pens and Pencils
- Red Marking Pen
- Tape for Nametags
- Cell Phone
- Camera
- Any PPE, equipment as specified by Evaluation Session Host
- Envelope for feedback forms
- Envelope for mailing paperwork to SPRAT Office

**Evaluator QC Checklist**

- Efficient communication prior to evaluation
- Prompt in returning calls, emails, answering questions
- Arrive on time with all documents necessary to conduct the evaluation session
- All paperwork arranged in an organized manner
- Personal introduction
- SPRAT introduction
- Certification process explanation
- Encourage and fully answer questions from candidates and Evaluation Session Host
- Perform a thorough review of Evaluation Session Host site and policies concerning PPE requirements and H&S briefing
- Site safety checklist addressed point by point to ensure all items on the checklist are addressed
- Present as professional, friendly, helpful and professional in appearance
- Speak clearly when informing the candidate of what would be involved in the session
- Provide understandable directions and presentation of how the session would be run
- Review of the JSA thoroughly ensure all steps in the JSA are covered
- Written test review with each candidate
- Oral exam appropriate for the level of each candidate
- Precise in his presentation of field task and rescue scenarios
- Arrange the candidates in the facility in manner to best utilize the site and supervise all activities
- Address discrepancies immediately in a professional and easily understood manner
- After completion of the evaluation, be prompt in finishing additional responsibilities
- Leave each successful candidate with a provisional certification

Appendix B: Filling out the Technician Evaluation Form

**First Box (Filled out by Candidate):**

Candidate Name	<i>Candidate's legal name</i>		
Street Address	<i>Where candidate would like certification to be mailed.</i>		
City	<i>SAME</i>	ZIP/Postal	<i>SAME</i>
State/Province	<i>SAME</i>	Country	<i>SAME</i>
e-mail	<i>Candidate's preferred contact information. SPRAT Office will use in case of questions with certification.</i>		
Phone			
Date of Birth	M <i>MONTH</i>	D <i>DAY</i>	Y <i>YEAR</i>
Current Level	<i>If applicable Verified by Evaluator</i>	SPRAT Number	<i>If applicable Verified by Evaluator</i>
First Aid Expiration	<i>Level 3 Candidates only Verified by Evaluator</i>	CPR Expiration	<i>Level 3 Candidates only Verified by Evaluator</i>

**Second Box (Filled out by Candidate):**

This information should be provided by the Evaluator to aid candidates.

Evaluation Date	<i>Date of Evaluation Session</i>
Evaluation Location	<i>City, State, Country (as applicable) of Evaluation Session</i>
Evaluation Host	<i>Name of Evaluation Session Host (e.g., Training provider)</i>
Trainer Name	<i>Name of Trainer (if any)</i>
Evaluator Name	<i>Name of Evaluator</i>
Evaluator Number	<i>Evaluator Number</i>

**Second Box (Filled out by Evaluator at end of evaluation session):**

I certify that this candidate has demonstrated all skills relevant to his or her level of certification consistent with SPRAT Safe Practices and Certification Requirements and that all SPRAT Evaluation procedures have been followed.

**Evaluator's**  
**Signature:** *Sign this area ONLY after completing the sections below.*

Liability Release    Gov. Issued ID verified by Eval    Logbook Hours: \_\_\_\_\_  Test   Score: \_\_\_\_\_

*Mark each box with check marks (✓) or X and fill in candidate's total hours and written test score results.*

Comment:

***Any notes regarding evaluation session, such as Discrepancies or Failures, or other notes on evaluation form (e.g., D1 – unlocked carabiner).***

**Circle Evaluation Result:**      Pass      Fail

**Level Attained:**              I      II      III

If Evaluation result is marked **PASS**, this form serves as a provision certification for 60 days from the Evaluation Date marked above. An official SPRAT certification card should be presented beyond this provisional period.

***Circle “Pass” or “Fail” corresponding to Candidate’s results. Circle the corresponding level attained if “Pass” was circled.***

The following marks are recommended for the evaluation portion of the form:

<b>X or ✓:</b>	Successful completion of Task
<b>D:</b>	Discrepancy issued during task. Designate <b>D1</b> , <b>D2</b> and <b>D3</b> for distinguishing the reason in the comment section of the form.
<b>F:</b>	Failure issued during task. Explain the reason for failure in the comment section of the form
<b>—:</b>	For indicating maneuvers that are not required for a candidate (e.g., upgrade gray boxes)
<b>{blank}:</b>	For indicating maneuvers that a candidate did not complete following a Failure
<b>Note:</b> It is <b>NOT</b> recommended to use the letter <b>“P”</b> to denote successful completion of a task. It is quite easy for this to look like a <b>“D”</b> when processed at the SPRAT Office.	

Prior to separating the Technician Evaluation Form sheets, verify that all information and signatures are present. The top (white) sheet is sent in with the remaining paperwork to the SPRAT Office. The second (yellow) sheet is for the Evaluator’s records. The Evaluator shall keep these copies for a minimum of 4 months. The third (pink) sheet is for the Evaluation Session Host and the last sheet (gold) is for the candidate. These last two sheets serve as provisional certifications of the candidate prior to receiving his/her certification card. If a candidate passes the written test but fails the practical test, these sheets serve as proof of passing the written test should the candidate retest within 60 days. If a candidate has failed the written test, but passes the practical test, this record will be available with all records at the SPRAT Office.

## Appendix C: Using the Field Skills Evaluation Worksheet

Keeping track of who is assigned to what skill and when they have completed it and what their grade was is the responsibility of the Evaluator and can get confusing quickly if not monitored with a good system.

The following notes are suggestions on how to use the Matrix.

- Both landscape and portrait formats are available in the Evaluator Resources area of the SPRAT website.
- Prior to beginning the evaluation, if you know the desired levels of candidates, that information may be inserted into the excel sheet to pre-populate the sheet. Valid options are 1, 2, 3, 2DE, and 3DE.
- When writing in the candidate's names group them together according to the level they are certifying for in the case where there are multiple levels are being evaluated.
- When assigning candidates to a task put a single slash (half an X) in the box for the skill so you know who is doing what
- Once the candidate completes the skill make notations as follows:
  - 1) If the skill is completed correctly put a second slash in the box forming an X which indicates a PASS grading for that skill.
  - 2) If the candidate is given a discrepancy place a D and a number on the other side of the slash. The numbers are to reference what the discrepancy was and to keep track of them written on the bottom of the sheet.
  - 3) If the candidate is given a failure place an F on one side of the slash and make a note on the bottom of the sheet

The matrix sheet can then be used at the end of the evaluation to assist in filling out the Field Evaluation Form. An Evaluator does not need to keep the matrix as long as the specific explanations for discrepancies or failures are clearly noted on the Field Evaluation Form but it can be a good reference for an Evaluator's records.

Eval Date -	Name:			3DE	3	2DE	2	1	1	1	1
	Desired Level:	1	2								
Equip. Use/Inspect											
JHA & Awareness	A	A					A	A	A	A	A
Management/Communication	A	A					A				
Knot: Mid/End/Join/Stop				M   E   J   S	M   E   J   S	M   E   J   S	M   E   J   S	M   E   J   S	M   E   J   S	M   E   J   S	M   E   J   S
Hitch: Friction L2/Load Release L3				Friction / Load Release	Load Release	Friction	Friction				
Back Up Device Handling											
Ascender - Ascent/Descent											
Descender - Ascent/Descent/Lock Off											
Use of Work Seat											
Pass Knots (isolate Damaged Rope)											
Rope-to-Rope Transfer											
Deviation (Redirect)											
Short Rebelay (<6'/1.8M)											
Long Rebelay (>6'/1.8M)											
Negotiate Edge											
Install/Pass Edge Protection											
Simple structural Anchor											
Load Sharing Anchors	A							A	A	A	A
Pull-Through Anchors											
Anchors pre-rigged to lower											
Mechanical Anchor Systems		A	A	A							
Climbing w/ shock absorbing lanyards											
Aid Climbing (Horizontal or Incline)											
Belaying w/ communication											
Lowering											
Pick Off (casualty in descent)											
Pick Off (casualty in ascent)											
Pick Off thru obstacle (knots, dev., long reb.)											
Rescue hauling: Platform or Pitch head											
Cross Hauling (team exercise)											
Guideline or Highline											
Rescue from Aid Traverse											
Team Rescue/Work Scenario											
Comments:											