



Evaluation Rubric

Notes for Use:

This supplement provides a non-exhaustive list of common examples of observations during SPRAT rope access and fall protection evaluations. This document was established by the Evaluations Committee as a baseline reference to assist in the consistent grading of evaluations. Grading is based on performance principles of Section 4 of *Rope Access Certification Requirements* and *Work-at-Height Certification Requirements*. Examples in this document are applicable once candidates have committed to a course of action.

Please note that an evaluator has the sole authority to issue discrepancies and fails. An evaluator may deviate from guidance in this document due to circumstances with increased or reduced risk during an evaluation. The Evaluations Committee should be alerted to any discrepancy or fail issued to a candidate acting in conformance with evaluation performance principles.

Examples are provided solely to assist in evaluation consistency and do not connote recommendations for training or work.

Codes are assigned to discrepancies and fails issued during evaluations and are collected as part of evaluation results by the SPRAT Office. Any issued discrepancy or fail that does not correspond to a specific line item listed is assigned as X.D or X.F, respectively, These issued grades are used to assist in the development of future examples.

Any errors, omissions, or potential updates should be directed to the Evaluations Committee by contacting info@sprat.org.

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EC-04

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1. Site Conduct

Code	Incident	P/D/F	Comments
1.1. General Evaluation Criteria			
1.1.1.	Inability to complete requirement	F	
1.1.2.	No fall protection used in fall zone	F	I.e., within 2 m (6.6 ft) of an unprotected edge
1.1.3.	Reliance on only one system when that system is the primary means of support	F	
1.1.4.	Unacceptably slow at completing a required task	F	I.e., time limit invoked by evaluator exceeded
1.1.5.	Task not completed in a timely manner	D	I.e., time limit invoked by evaluator
1.1.6.	Rope, lanyard tangles	D	As a safety or efficiency concern
1.1.7.	Dynamic event – uncontrolled movement	D	
1.2. Professional Conduct			
1.2.1.	Lying	F	
1.2.2.	Fraud	F	
1.2.3.	Substance abuse or impairment	F	
1.2.4.	Asking for guidance from other individual	D	
1.2.5.	Offering or giving guidance to another candidate	D	
1.2.6.	Argumentative	D	
1.2.7.	Unprofessional conduct	D	
1.3. Safety			
1.3.1.	Not wearing personal protective equipment as required by access work plan	D	
1.3.2.	Other violation of access work plan	D	

2. Equipment

Code	Incident	P/D/F	Comments
2.1. General			
2.1.1.	Insufficient equipment	D	
2.1.2.	Dropped equipment – hardware, textile, or plastic	D	
2.1.3.	Incompatible equipment selection	D	
2.1.4.	Equipment use above capacity	D	
2.1.5.	Insufficient equipment knowledge	D	
	Equipment left behind following exercise	P	
2.2. Helmet			
2.2.1.	No helmet in fall zone	F	
2.2.2.	No helmet in hazard zone	D	
2.2.3.	Helmet chinstrap unfastened in fall zone	D	
2.2.4.	Helmet loosely fitted	D	
	Helmet chinstrap unfastened in hazard zone	P	
2.3. Harness			
2.3.1.	Harness fitted or worn incorrectly	D	
2.3.2.	Trip risk from equipment connected to harness in fall zone	D	
2.3.3.	Inappropriate connection for fall arrest	D	E.g., connection contrary to manufacturer's instructions or presiding regulatory authority
2.3.4.	Use of single lateral connection in positioning system	D	

Code	Incident	P/D/F	Comments
2.4. Carabiner			
2.4.1.	Cross-loaded	D	
2.4.2.	Triaxial or over-loading	D	E.g., interior angle > 45 degrees between connections at one end
2.4.3.	Diagonal loading	D	
2.4.4.	Side, gate, or edge loading	D	E.g., back-clipped, transverse body or cantilever loading
2.4.5.	Unlocked	D	
2.4.6.	Open	D	
2.4.7.	Torsional loading	D	
2.4.8.	Nose hooked	D	
2.4.9.	Non-locking carabiner in main or backup system	D	
	Non-locking carabiner used outside of main or backup system	P	
2.5. Backup Device			
2.5.1.	Backup device threaded incorrectly	F	
2.5.2.	Incompatible backup system configuration	F	
2.5.3.	Free fall potential ≥ 1.2 m (4 ft)	F	
2.5.4.	Backup device attached to inappropriate connection on harness	D	E.g., ventral instead of sternal where ventral prohibited by manufacturer or presiding regulatory authority
2.5.5.	Free fall potential ≥ 0.6 m (2 ft) or greater than allowed by manufacturer	D	
2.5.6.	Arm above backup device lanyard while descending or ascending	D	
2.5.7.	Backup device used in manner likely to render backup system ineffective.	D	E.g., hand above manual backup device, tow cord wrapped around finger
2.5.8.	Backup device component or accessory potential to affect function	D	E.g., tow or keeper cord in rope channel
2.5.9.	Rope not through redirect connector when used overhead for fixed backup system	D	
2.6. Descender			
2.6.1.	Descender threaded incorrectly	F	
2.6.2.	Uncontrolled descent	F	
2.6.3.	Side plate not completely fastened	F	
2.6.4.	Stationary - removing brake hand without lock or tie-off	D	
2.6.5.	Descending or lowering without brake hand on rope	D	
2.6.6.	Excessive slack above descender	D	
2.6.7.	Inappropriate defeating of safety features	D	
2.6.8.	Descending or lowering with incorrect rope placement	D	

Code	Incident	P/D/F	Comments
2.7. Ascender			
2.7.1.	Ascender used intentionally as backup device	F	
2.7.2.	Free fall potential onto toothed ascender > 0.6 m (2 ft)	F	
2.7.3.	Free fall potential onto toothed ascender > 0.3 m (1 ft)	D	
2.7.4.	Edge loading	D	
2.7.5.	Single ascender connection not loaded in line with tension applied to rope	D	
2.7.6.	Ascender used in manner that could cause inadvertent detachment from rope	D	
2.7.7.	Single ascender connection while candidate moving	D	
	Potential fall onto toothed ascender < 0.3 m (1 ft)	P	
	Single ascender connection loaded in-line with tension applied to rope	P	
2.8. Pulley			
2.8.1.	Connector not connected through both side plates	F	
2.8.2.	Open side plate	F	
2.8.3.	Side plate not completely fastened	D	
2.8.4.	Rope runs over side plate	D	I.e., inappropriate fleet angle
2.8.5.	Ratcheting pulley threaded incorrectly and used	D	
2.9. Work Seat			
2.9.1.	Use of work seat without direct attachment to main system	F	
2.9.2.	Use of work seat interferes with equipment	D	
2.9.3.	Work seat attached to lateral connections on harness	D	
2.9.4.	In work seat with loose lanyard attachment to main system	D	
2.10. Sling and Rope			
2.10.1.	Choke - 0-30 degrees	D	
2.10.2.	Choke - 30-90 degrees	D	
2.10.3.	Stitching of sewn textile on structure or connector	D	
2.10.4.	Exposure to potential damage from friction	D	
	Choke - 90-180 degrees	P	

Code	Incident	P/D/F	Comments
2.11. Energy Absorbing Lanyard			
2.11.1.	Free fall potential \geq 2.0 m (6.5 ft)	F	
2.11.2.	Free fall potential \geq 1.8 m (5.9 ft) or length of lanyard, whichever is less	D	
2.11.3.	Free fall potential not reduced when candidate uses positioning system	D	
2.11.4.	One lanyard attached to inappropriate location on harness while using other lanyard	D	
2.11.5.	Two energy absorbers in use inappropriately	D	
2.11.6.	Arm over lanyard	D	
2.11.7.	Lanyards on both sides of neck	D	
2.11.8.	Energy absorbing lanyards weighted instead of positioning system	D	
2.12. Overhead Self-retracting Device			
2.12.1.	Free fall potential \geq 0.6 m (2 ft)	F	
2.12.2.	Addition of incompatible equipment between harness and device	F	E.g., energy absorbing lanyard connected to self-retracting device
2.12.3.	Free fall potential \geq 0.3 m (1 ft)	D	
2.12.4.	Device locking from uncontrolled climbing	D	
2.12.5.	Uncontrolled reeling of device	D	
2.12.6.	Stowing with device unreeled	D	
2.13. Personal Self-retracting Device			
2.13.1.	Free fall potential \geq 1.2 m (4 ft)	F	
2.13.2.	Free fall potential not reduced when candidate uses positioning system	D	
2.13.3.	Arm over lanyard	D	
2.14. Ladder Fall Arrest System			
2.14.1.	Ladder fall arrest device threaded incorrectly	F	
2.14.2.	Ladder fall arrest used as positioning system with no additional fall protection system	F	
2.14.3.	Ladder fall arrest system weighted instead of positioning system	D	
2.14.4.	Removable ladder fall arrest device left unattended and unsecured	D	
2.15. Positioning Lanyard			
2.15.1.	Suspension from positioning system with no fall arrest system	F	
2.15.2.	Positioning system incorporates non-structural component of harness	F	E.g., tool loop, tear-away element
2.15.3.	Free fall potential \geq 0.6 m (2 ft)	F	
2.15.4.	Free fall potential \geq 0.3 m (1 ft)	D	
2.15.5.	No positioning system used during transition between fall arrest systems while not on stable working surface	D	
2.15.6.	Ineffective positioning system	D	E.g., positioning system likely to slide vertically
2.15.7.	Positioning system above fall arrest system	D	
2.16. Travel Restraint System			
2.16.1.	Ineffective travel restraint system – free fall potential over edge \geq 0.6 m (2 ft)	F	
2.16.2.	Ineffective travel restraint system – free fall potential over edge $<$ 0.6 m (2 ft)	D	Assumes appropriate anchorages
2.16.3.	Travel restraint system component used in manner likely to render system ineffective	D	
2.17. Horizontal Lifeline			
2.17.1.	Positioning system used as sole connection for suspension or while not on stable surface	F	
2.17.2.	Positioning system used as sole connection while on stable surface	D	

3. Knots

Code	Incident	P/D/F	Comments
3.1. General			
3.1.1.	Inability to tie knot	F	
3.1.2.	Tying knot requires prompting	D	
3.1.3.	Twists in knot hinder identification	D	
3.1.4.	Loose knot	D	
3.1.5.	Other knot tied than intended	D	
3.1.6.	Excessive tail > 0.3 m (1 ft) of termination knot and not addressed to prevent misuse	D	
3.1.7.	Small tail < 5 cm (2 in) on termination or stop knot	D	
3.1.8.	Excessive loop or bight for application	D	
	Excessive tail dealt with to prevent misuse (e.g., coiled, daisy-chained, etc.)	P	
3.2. Termination Knot			
3.2.1.	Bowline - retrace ineffective	D	
	Bowline - no backup knot	P	
3.3. Middle knot			
3.3.1.	Small bight < 2.5 cm (1 in) on middle knot	D	I.e., ability to inadvertently become untied
3.4. Join Knot			
3.4.1.	Double fisherman's bend - individual strangle knots not rolled over	D	
3.4.2.	Double fisherman's bend- strangle knots do not nest	D	
	Figure 8 bend - no backup knot	P	
3.5. Stop Knot			
3.5.1.	No stop knots - rope ends > 1 m (3.2 ft) above next lower level	F	
3.5.2.	No stop knots - rope ends ≤ 1 m (3.2 ft) above next lower level	D	
3.5.3.	Double overhand - not rolled over	D	
	No stop knots- rope ends touch ground	P	Independent of amount of rope
3.6. Friction Hitch			
3.6.1.	Friction hitch ineffective	D	
	Bend of cord over loops	P	
	Bend of cord loaded at connector	P	
3.7. Tied-off Munter Hitch			
3.7.1.	Mule hitch or half hitch on a bight with no additional securing method to prevent inadvertent release	D	
3.7.2.	Inappropriate technique used to release and use munter hitch	D	
	Munter hitch secured initially with mule hitch or half-hitch on bight and additional securing method to prevent inadvertent release.	P	
	One half hitch on a bight to tie off - candidate intent to tie mule hitch	P	
	Munter hitch released and used in controlled manner to complete requirement	P	

4. Maneuvers

Code	Incident	P/D/F	Comments
4.1. General			
4.1.1.	Prompt rescue prevented by candidate action	D	
4.2. Fundamental Maneuvers			
4.2.1.	Chest ascender loaded and taut below descender in transition from descent to ascent mode	D	
	See Descenders in Equipment		
	See Ascenders in Equipment		
4.3. Edge Negotiation and Rope Protection			
4.3.1.	Rope protection ineffective and not addressed	F	
4.3.2.	Rope protection ineffective and addressed	D	
4.3.3.	Rope protection likely to become ineffective	D	
4.3.4.	Rope not appropriately seated within rope protection	D	
4.3.5.	Backup device lanyard unprotected over edge	D	
4.3.6.	Uncontrolled transition over edge	D	
4.3.7.	Side-loading of device on edge	D	
4.4. Deviation			
4.4.1.	Connection to directional anchorage system used to replace main or backup system	F	
4.4.2.	Unlocked connector on directional anchorage system	D	Candidate above or below directional anchorage system
4.4.3.	No means to facilitate return through deviation	D	
4.4.4.	Knot below directional anchorage system hinders transition between ascent and descent mode or descent	D	
4.4.5.	Uncontrolled swing away from directional anchorage system	D	
4.4.6.	Ropes removed and reconnected to directional anchorage system with no additional temporary connection	D	
	Fall line adjustment > 20 degrees after ascent past directional anchorage system	P	
4.5. Knot Pass			
4.5.1.	Bight isolated by knots simulating damaged rope used in main or backup system	F	
4.5.2.	Fall onto descender	D	
	Ascent past knot with no descender or backup device attached to main rope		See Ascenders in Equipment
4.6. Rope-to-Rope Transfer			
4.6.1.	Main system without backup system towards a side while negotiating rope-to-rope transfer	F	
4.6.2.	Forgetting to attach transfer ropes prior to starting maneuver	D	
4.6.3.	Dropping transfer rope after starting maneuver	D	Evaluator may hand dropped ropes to candidate
4.6.4.	Rope-to-rope transfer while ascending on descenders and descending on ascenders	D	
4.6.5.	Chest ascender only on main system towards a side while negotiating rope-to-rope transfer	D	P if candidate aware of rope not moving through chest ascender
4.7. Re-anchor			
4.7.1.	Main system without backup system towards a side while negotiating re-anchor	F	
4.7.2.	Main and backup ropes derive solely from one anchorage system	F	
4.7.3.	Fall line of rope to lower level adjusted during completion of maneuver	D	
4.7.4.	Loading of lowest point of re-anchor	D	
4.7.5.	Chest ascender only on main system towards a side while negotiating re-anchor	D	P if candidate aware of rope not moving through chest ascender

Code	Incident	P/D/F	Comments
4.8. Aid Climbing			
4.8.1.	Connection to only one anchorage system	F	
4.8.2.	Fall from foot loops onto lanyard	D	
4.8.3.	Excessive free fall potential	D	

5. System Construction and Operations

Code	Incident	P/D/F	Comments
5.1. Anchorage Systems			
5.1.1.	Anchorage system insufficient strength	F	
5.1.2.	Only one anchorage system used to establish main and backup system	F	
5.1.3.	More suitable anchorage system available	D	
5.1.4.	Direction of applied force loads anchorage connectors inappropriately	D	E.g., bolt hanger loaded inappropriately
	Two ropes share two anchorages or anchorage systems	P	
5.2. Load-Sharing Anchorage System			
5.2.1.	American death triangle	F	
5.2.2.	Single anchorage or anchorage connector failure would cause anchorage system failure	F	
5.2.3.	Failure of anchorage or connection to anchorage would result in free fall prior to loading of other anchorage	F	
5.2.4.	Inappropriate connection into load-sharing anchorage system	D	
5.2.5.	Internal angle unnecessarily > 120 degrees	D	
5.2.6.	Not load distributing in direction of applied force	D	
5.2.7.	Insufficient knowledge of load-sharing anchorage system concepts	D	
	Internal angle ≤ 120 degrees	P	
5.3. Connections to Loads			
5.3.1.	Main and backup ropes solely connected to the same connector	F	
5.3.2.	Backup rope unnecessarily connected to ventral	D	
	Main rope connected to sternal	P	
5.4. Raising and Lowering			
5.4.1.	Insufficient amount of rope	F	
5.4.2.	Inability to lock off lowering system	D	
5.4.3.	Candidate unnecessarily attached to raising system	D	E.g., Attached to raising system while on platform
5.4.4.	Rope ends not managed to maintain main or backup system during operations	D	E.g., no stop knots; independent of amount of rope
	Candidate does not know mechanical advantage of raising system	P	
	Toothed ascender used to connect ropes within backup system	P	Refer to fixed backup systems
5.5. Fixed Backup Systems			
5.5.1.	Slack > 1.2 m (4 ft) in backup rope	F	
5.5.2.	Backup system operated from harness and candidate not attached to anchorage system	F	
5.5.3.	2-wrap prusik used in fixed backup system	F	
5.5.4.	Slack > 0.6 m (2 ft) in backup rope	D	
5.5.5.	Backup system operated from harness and candidate attached to anchorage system	D	
5.5.6.	Ineffective communication between operators of main and backup system	D	
	Munter hitch used in fixed backup system	P	

Code	Incident	P/D/F	Comments
5.6. Cross Haul			
5.6.1.	Main system without backup system towards a side of the cross-haul	F	
5.6.2.	Internal angle unnecessarily > 120 degrees	D	
5.6.3.	Corresponding systems unnecessarily use different attachments	D	E.g., 1 main system on ventral, 1 main system on sternal
5.7. Retrievable Rope Systems			
5.7.1.	Failure to retrieve ropes	F	
5.7.2.	Backup device or descender attached to pull rope and attempted to weight (only one effective system)	F	
5.7.3.	No visual delineation between two-rope system and retrieval method	D	
5.7.4.	Retrieval method could damage equipment	D	
5.7.5.	Failure to retrieve rope due to stop knot	D	
5.7.6.	Equipment left behind following retrieval of ropes	D	
5.8. Remote Rescue Systems			
5.8.1.	Rope insufficient length	F	
5.8.2.	Lowering system constructed instead of remote rescue system	F	I.e., only one rope system permits lowering
5.8.3.	Rope not stacked for ease of deployment	D	
5.8.4.	System not additionally secured in a manner to prevent inadvertent release	D	
	Tied-off munter hitch – See knots		
5.9. Tensioned Rope Systems			
5.9.1. Consequence of single component failure (excluding equipment covered by Section 4.3.5 of <i>Rope Access Certification Requirements</i>)			
5.9.1.1.	Free fall potential > 1.2 m (4 ft)	F	
5.9.1.2.	Swing fall potential > 0.6 m (2 ft)	F	
5.9.1.3.	Uncontrolled movement > 1.2 m (4 ft) along tensioned rope system and contact with obstruction or lower level	F	
5.9.1.4.	Free fall potential > 0.6 (2 ft)	D	
5.9.1.5.	Swing fall potential > 0.3 m (1 ft)	D	
5.9.1.6.	Uncontrolled movement > 0.6 m (2 ft) along tensioned rope system and contact with obstruction or lower level	D	
5.9.1.7.	Uncontrolled movement along tensioned rope system with excessive velocity	D	
5.9.2.	Inappropriate tensioning of system for scenario	D	Under- or over- tensioned
5.9.3.	Friction hazard from ropes	D	
5.9.4.	Uncontrolled movement along tensioned rope system during operation	D	
5.10. System Analysis			
5.10.1.	Insufficient force analysis knowledge	D	
5.10.2.	Insufficient free fall potential knowledge	D	

6. Rescue

Code	Incident	P/D/F	Comments
6.1. General			
6.1.1.	Backup device insufficient for 2-person load	F	
6.1.2.	Rescue subject suspended from single system	F	
6.1.3.	Cutting a rescue subject's attachment	F	
6.1.4.	Low backup device	D	Refer to manufacturer's instructions
6.1.5.	Loaded backup device	D	If easily remedied = P
6.1.6.	Poor rescue subject management	D	
6.1.7.	Rescue subject's backup connection free fall potential ≥ 0.6 m (2 ft)	D	E.g., due to length of backup lanyard
6.1.8.	Descender used above rated capacity	D	
6.1.9.	Additional connector installed between harness and descender, but not used correctly	D	
	Candidate approaches rescue subject on rescue subject's main rope	P	
	No additional connector installed between harness and descender	P	
6.2. Extra Friction			
6.2.1.	No extra friction	D	
6.2.2.	Extra friction connector not connected to appropriate harness attachment	D	
6.2.3.	Brake hand between descender and extra friction connector	D	
6.2.4.	Extra friction connector installed correctly but not used with hand in position to add extra friction	D	
	Extra friction connector non-locking	P	
6.3. Rescue Subject Below Candidate			
6.3.1.	Rescue subject main connection to sternal on candidate	D	
6.3.2.	Transition onto candidate still in ascent mode	D	
6.3.3.	Rescue subject backup connection to sternal on candidate	D	P if candidate intentional with connection following risk assessment
	Rescue subject main connection to ventral on candidate	P	
	Rescue subject main connection to descender connector	P	
	Rescue subject backup connection from ventral	P	
6.4. Rescue Subject Above Candidate (e.g., using descender on rescue subject)			
6.4.1.	Transition onto rescue subject still in ascent mode	D	
6.4.2.	Candidate main connection from sternal	D	P if candidate intentional with connection following risk assessment
	Candidate backup connection to sternal of rescue subject	P	
	Candidate backup connection to ventral of rescue subject	P	
6.5. Lateral Movement with Rescue Subject			
6.5.1.	Transfer completed without rescue subject's main connection to transfer descender	D	
6.5.2.	Transfer completed into ascent mode on rescuer	D	
	Extra friction removed while descenders share load	P	
6.6. From Deviation			
6.6.1.	Connection to directional anchorage system used as main or backup system	F	
6.6.2.	Low backup device during transfer below directional anchorage system	D	
6.7. Past Knots			
6.7.1.	Descent onto knot	D	
6.8. From Aid			
6.8.1.	<i>Placeholder</i>		
6.9. From Fall Arrest System			
6.9.1.	<i>Placeholder</i>		

X. Other

Code	Incident	P/D/F	Comments
X.F	<i>Other</i>	F	
X.D	<i>Other</i>	D	