



THE STREET WORKS ASSESSMENT STRATEGY

(Version 0.2 – June 2021)

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1. Introduction

The *New Roads and Street Works Act 1991* (NRSWA) requires that each set of street works has at least one operative with a prescribed Street Works qualification on site while works are taking place. It also requires that in most cases, the works are supervised by a person with a prescribed Street Works supervisor qualification (sites that only involve opening the street, e.g. lifting access covers, do not have to be supervised). The supervisor does not need to be on site at all times and can supervise more than one set of works.

A supervisor qualification does not qualify the holder to work as a qualified operative or vice versa. However, a person who holds operative and supervisor qualifications can work as either or both. A person may only act as a qualified operative or supervisor for the type of work for which they hold the relevant certificate. It may therefore be necessary for a number of people with different qualifications to be involved in the work during its various stages.

Street Works qualifications (i.e. the certificates) are initially obtained by undertaking an initial assessment. These certificates can be registered for a period 5 years after which registration must be renewed. In England and Scotland, registration can only be renewed by the individual passing a “Reassessment” or the full original assessment if they so choose. In Wales and Northern Ireland, certificates can be renewed simply by re-registering with SWQR. However, they must do this within 3 months of certificate expiry. If left any later than this, Operatives and Supervisors must undergo the initial assessments again.

Details of certificates, registration and re-registration are given in:

The Street Works (Qualifications of Operatives and Supervisors) (**England**) Regulations **2016**
The Road Works (Qualifications of Operatives and Supervisors) (Scotland) Regulations 2017
The Street Works (Qualifications of Supervisors and Operatives) Regulations **1992 (Wales)**
Street Works (Qualifications of Supervisors and Operatives) Regulations (**Northern Ireland**) 1998

Additional information can be obtained from SWQR and Government websites. Particular attention is drawn to *Street Works Qualifications in England* at;
<https://www.gov.uk/government/publications/street-works-qualifications-in-england> and *Road works qualifications in Scotland* at <https://www.transport.gov.scot/media/38742/guidance-for-road-works-operatives-and-supervisors.pdf>.

1.1 The Street Works Qualification Register

The Street Works Qualification Register (SWQR) based in Glasgow, is the registration body for the UK. It maintains the Street Works Qualifications Register (SWQR) and issues the Street Works cards to all operatives and supervisors who are qualified under the *New Roads and Street Works Act 1991*. These cards are used to provide evidence to Street Works inspectors that their holders are qualified.

When a new centre is approved, the Awarding Organisation provides its name and contact details to SWQR. SWQR contacts the centre and provides further information regarding the registration process.

Awarding Organisations provide SWQR with details of certificates they issue on a weekly basis or as agreed with SWQR, but it is the responsibility of assessment centres to apply for registration cards on behalf of successful candidates. Applications and all enquiries relating to the Street Works Qualifications Register, its administration and the issuing of Street Works cards should be made to:

Street Works Qualifications Register
The Optima Building
58 Robertson Street
Glasgow
G2 8DQ
Tel: 0845 270 2720
Fax: 0845 213 5000
E-mail: swqr@sqa.org.uk
Website: www.swqr.org.uk

Street Works certificates last for five years, after which they must be renewed. A person cannot continue to work as a qualified operative/supervisor where certificates have expired. There is **no** grace period, and individuals must ensure that their certificates remain current. The renewal process and requirements vary depending on the country concerned. SWQR can provide further details of the processes.

2. Certificates and registration

To become a qualified operative or supervisor, a candidate must attend an approved assessment centre for assessment in theoretical knowledge and practical skills in the chosen subjects. If the candidate is successful, the centre notifies its Awarding Organisation and SWQR. The Awarding Organisation also contacts SWQR and confirms that it has awarded the certificate(s) and the date of issue. SWQR records the certificate(s) on the Street Works register and issues a Street Works card. Training can be provided by assessment centres if the candidate requires it, but it is not compulsory.

See Appendix D for certificate details.

3. Overview of Street Works assessment delivery

The Street Works certificates are delivered through assessment centres approved by the Awarding Organisation. Candidates are required to demonstrate to their assessors, by various assessment methods, that they have the necessary knowledge, understanding and skills to meet the learning outcomes specified in the standards for each certificate they wish to achieve.

Methods of Assessment are prescribed and explained in Section 6.

For safety reasons (i.e. clear communication on site) qualifications can only be undertaken in the English language. There is no facility for other languages to be used as all codes of practice, assessment materials and supporting documents are only in printed English. In Wales, this should be in accordance with the Welsh Language Act, where applicable. *Training centres in Wales must consider the requirements of the Welsh Language Act in the delivery of their course material.*

HAUC (UK), own and are responsible for maintaining all of the assessment documents listed below. These documents are provided to the Awarding Organisations for use by their approved centres to deliver the assessments.

- Assessment Standards (these set out the learning outcomes for each certificate).
- Examination questions for certificates (questions to be used to assess the knowledge of the Standards).
- Assessment recording documentation for certificates that are used to assess the practical requirements of the Standards.
- Supporting assessment materials used with the assessment recording documentation.

Candidates undertaking the initial certificates must be assessed by qualified and occupationally competent assessors. The work of the assessors is, in turn, co-ordinated by an internal quality assurer (IQA), who is responsible for ensuring assessment decisions made by the assessor, meets the Assessment Standards and the requirements of this assessment strategy.

Initial assessment and reassessment examinations must be undertaken by an approved centre under examination conditions and invigilated in accordance with the procedures issued by the Awarding Organisation.

Each certificate has detailed assessor and candidate guidance, covering resources and facilities requirements for the assessment, along with any reference documents which must be available. Each centre must ensure that it has sufficient resources and facilities available for each certificate assessment.

Assessments carried out in the work place (on a live site) must be able to cover all the learning outcomes and meet the requirements for equipment and resources set out in each certificate guidance. Where this is not possible, further assessment will be necessary to cover any learning outcomes not assessed. Centres must give prior notification to the Awarding Organisation using that Awarding Organisations own processes if it intends to carry out assessments in the workplace and keep details of sites used.

The Awarding Organisation is responsible for allocating an External Quality Assurer (EQA) to each centre and through their quality assurance processes, monitor the delivery of the qualification. The EQA will be required by the Awarding Organisation to visit the centre and verify the quality assurance, policies, procedures and technical delivery.

4. Centre Approval

All Street Works assessments must be carried out by an assessment centre that has been approved by the Awarding Organisation approved to issue certificate(s).

The centre will need to apply to the Awarding Organisation using the appropriate documentation to gain approval. The Awarding Organisation will, using its quality assurance procedures decide if the centre has met with its approval criteria and ensure that the centre has the appropriate facilities and resources to offer the qualifications. In order to gain approval, the Awarding Organisation must ensure centres have the following:

- Access to physical facilities and resources to offer assessment of Street Works certificates (these are listed in more detail in the certificate assessment guidance).
- Centre co-ordination or administration of the assessments. The centre co-ordinator or administrator will be the main point of contact with the Awarding Organisation.
- Qualified assessors who are confirmed as competent by the Awarding Organisation to assess candidates within each occupational area.
- Qualified internal quality assurers who are confirmed as competent by the Awarding Organisation.
- Secure storage of assessment, verification documents and records associated with the qualifications.

The Awarding Organisation will inform the centre of the outcome of their application.

Please note that centre approval procedures relate to the provision of Street Works assessments and does not apply to the provision of training programmes. It is often the case that assessment centres provide Street Works training, and there should be a clear gap in assessment programs between any training given to candidates and any subsequent assessment. For example, this could be training in the morning with practical assessment conducted in the afternoon after a suitable break.

Whilst the trainer and assessor may be the same individual it is essential that no coaching or guidance is given during practical assessment. Coaching during assessment would constitute malpractice and therefore is prohibited. Candidates are informed when the assessment will commence, and no further training should be provided until the end of the assessment event.

Centres must provide the Awarding Organisation with their current assessment programme and, if requested, dates of assessments. This should also incorporate the assessment programme that covers any planned assessment event. This will allow the Awarding Organisation to assess that sufficient time is allocated for assessments. (See example outline programme in Appendix B).

The following sections provide further detail about the resources required by centres in order to deliver the qualifications and the roles and responsibilities of centres and personnel involved in the delivery of the scheme.

5. Roles and responsibilities

5.1 Centre personnel requirements

In order to deliver the Street Works qualifications, a centre needs to demonstrate that it has a minimum of one fully-qualified and occupationally competent assessor and one fully-qualified and occupationally competent IQA. The optimum number of assessors and IQAs required to deliver the scheme successfully, will vary between centres according to the number of candidates who are assessed at the centre. The assessors cannot internally verify their own assessments.

Centres must take into account the maximum assessor to candidate ratios (see page 11) when planning assessments. The Awarding Organisation will monitor a centre's activity levels over a period of time and must ensure that there are sufficient assessors and IQAs available to support the candidates being assessed.

The centre must also have the administrative resources to deliver the Street Works qualifications and to communicate effectively with the Awarding Organisation.

5.2 Centre administration

The centre must appoint an individual who acts as the main point of contact with the Awarding Organisation for the purposes of administering the Street Works scheme. Their role will include:

- co-ordinating assessment arrangements
- ensuring that sufficient qualified assessors are available to carry out assessments
- requesting candidate certificates from the Awarding Organisation
- storing assessment documentation securely
- maintaining assessment records to monitor individual candidate progress and achievement
- liaising with the Awarding Organisation to resolve queries relating to the certificates
- providing advance notification to the Awarding Organisation of planned assessment/reassessments
- receiving and disseminating Awarding Organisation information and policy guidance
- informing the Awarding Organisation of any changes to the centre's arrangements and assessment staff

This individual may also be part of the centre's assessment and verification team.

5.3 Assessors

Must:

- have sufficient occupational and technical competence to conduct their assessment activities
- be working towards or have achieved a relevant recognised assessor qualification such as:
 - RQF/QCF Level 3 Award in Assessing Competence in the Work Environment
 - RQF/QCF Level 3 Award in Assessing Vocationally Related Achievement
 - RQF/QCF Level 3 Certificate in Assessing Vocationally Related Achievement
 - RQF/QCF Level 3 Certificate in Assessing Vocational Achievement
 - an appropriate assessor qualification in the SCQF as identified by SQA Accreditation
 - or hold one of the following: A1 Assess candidates using a range of methods, D32/33 Assess candidate performance, using differing sources of evidence
- be occupationally competent

Holders of earlier qualifications (D32 or D33 or A1 or TQFE/TQSE) must assess to the current National Occupational Standards (NOS) for Learning and Development.

New assessors should ideally gain the appropriate award within 12 months of registration.

Assessors will be confirmed as competent by the Awarding Organisation from recommendations made by the External Quality Assurer, before carrying out assessment, and they must produce evidence to confirm their occupational expertise in the field (e.g. current CVs, Street Works or other certificates confirming proof of their vocational skills, etc.).

The assessor's role involves the following:

- conducting assessments according to the instructions set out in the scheme documents
- judging candidates' performance against the requirements of the standards
- observing candidates' performance in line with the requirements of the scheme
- completing the appropriate assessment records and documentation
- contributing to assessment team/standardisation meetings and discussions relating to the scheme

5.4 Internal Quality Assurers (IQA)

Must:

- have a minimum of occupational experience evidenced by having a related qualification or proven sector competence/experience plus access to relevant 'occupational expertise' to enable them to conduct their role as an internal quality assurer. This evidence and access to 'occupational expertise' is quality assured by the Awarding Organisation.
- be working towards or have achieved a relevant recognised Internal Quality Assurance qualification such as:
 - RQF/QCF Level 4 Award in the Internal Quality Assurance of the Assessment Process and Practice
 - RQF/QCF Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Process and Practice
 - An appropriate Internal Verifier qualification in the SCQF as identified by SQA
 - Accreditation
 - or hold one of the following
 - V1 Conduct internal quality assurance of the assessment process
 - D34 Internal verify the assessment process

Holders of earlier qualifications (D34 or V1) must assess to the current National Occupational Standards (NOS) for Learning and Development.

New IQAs should ideally gain the appropriate award within 12 months of registration.

All IQAs will be recommended as competent by the EQA. The Awarding Organisation will then confirm the IQA. The IQA is responsible for managing quality assurance arrangements within the centre, and the role involves:

- monitoring the assessments carried out at the centre
- ensuring that this Assessment Strategy and the Awarding Organisation requirements are implemented consistently by the assessment team
- sampling the work of all assessors at the centre (this must include observing assessments taking place)
- holding regular standardisation assessment team meetings to rectify issues, agree standards, assessment practice and provide updates
- identifying and resolving any issues or queries relating to the assessments
- endorsing certificate claims

- monitoring the progress and continuing professional development of the assessment team (including assessor and IQA candidates)
- maintaining reports and records of their verification activity, that can be audited by the EQA
- providing appropriate information and records to the EQA to demonstrate that the quality assurance requirements of the certificates are met

The IQA's role is to manage the quality assurance of the assessment process, and should therefore ensure that they have the time, resources and authority to carry out their role effectively.

5.5 Awarding Organisation External Quality Assurance

The Awarding Organisations External Quality Assurer will visit the centre to carry out announced and, if appropriate, unannounced external quality assurance visits, with at least one visit annually.

If a centre is carrying out assessments in live work based site situations rather than at a centre in a simulated environment, the EQA may require more frequent visits to ensure that the candidates have access to all of the appropriate equipment and facilities to complete the assessments, and that assessments are conducted in a consistent manner.

The EQA's role involves the following activities:

- Ensuring that assessments are conducted in line with the requirements of the Assessment Strategy and the Awarding Organisation.
- Observing assessments taking place.
- Sampling candidate evidence, assessment records and other documentation relating to the certificates to ensure that assessment decisions are valid and have met the relevant standards.
- Identifying areas where remedial action is required and agreeing an action plan with the centre.
- Providing advice and support to centres in connection with the certificates and resolving any issues or queries at their centres.
- Maintaining a record of visits and providing written reports to the Awarding Organisation.
- Reviewing Internal quality assurance documentation to ensure that the centre's quality assurance processes are robust. This includes records of meetings/standardisation, continuing professional development and consistency of assessment between assessors.

In order for EQAs to carry out their role, centres must provide them with the records and information required as requested. These include details of assessment plans and locations and notes of assessment team meetings.

6. Assessments methods

Initial Assessment is a mixture of Practical Observation and a 20 question multi-choice exam carried out under examination conditions.

The practical observation of Street Works certificates is based on observing the candidate's practical activities to ensure that they can meet the requirements of the Standards. It may therefore be necessary for candidates to undertake additional learning prior to assessment. Communication in English whilst on site is important for Health and Safety reasons. For this reason, the use of an interpreter is not permitted, and documents used in assessment are only in English.

There is no time limit specified for practical assessments, because candidates work at different rates. However, it is expected that any particular task will be completed within a period of time that is acceptable in normal working practice. Assessors should therefore be able to judge an approximate time for each task. Where a candidate is to be assessed for both operative and supervisor certificates, adequate time must be allocated to complete all assessments in full. An example timetable for carrying out adequate assessments for Certificates LA to 05 and 08 are provided Appendix B.

There must be no cross-contamination of evidence between candidates and assessors must ensure that there is no collusion. Assessors must ensure all candidates carry out all of the tasks specified for any certificates they undertake and must each provide evidence to show that they meet the requirements of the standards for each certificate. Assessors need to ensure that they assess each candidate's individual competence against all the requirements of each certificate.

6.1 Practical observation

Centres should refer to Sections 9.1 and 9.2 for a list of all resources required for the assessment of each assessment.

Candidate observations may be conducted either in a realistic simulated situation at an approved location, or in the candidate's workplace. The observation must be carried out by a qualified assessor, who will observe the candidate carrying out the tasks specified in the standards. The following conditions must be met for all observations:

- The assessment must take place at a site with physical characteristics that conform to the definition of 'street' at Section 48 or 'road' at Section 107 of the New Roads and Street Works Act 1991.
- The resource requirements listed for each certificate are met (refer to certificate assessment recording documents).
- The candidate uses any equipment and materials that comply with the requirements of the relevant Codes of Practice.
- Supervisor candidates have the opportunity to watch Street Works operations being carried out.

Where a candidate is being assessed for both operative and supervisor certificates, adequate time must be allocated to ensure that all assessments can be completed in full. This will also require additional time to complete assessments.

6.2 Additional Workplace Evidence

Candidates must be directly observed carrying out the tasks listed in each certificate. Evidence from the workplace can only be used to support the following:

- The Signing, Lighting and Guarding certificate where the site used does not resemble a real road situation. Please also refer to the assessment recording documents.
- Where a candidate supervisor has not provided sufficient evidence from the assessment assignments for the assessor to make an informed decision on competence, additional evidence of competence may be provided to support the assessment. This can include:

- reports of completed jobs which reflect the site situation.
- interviews with the candidate's supervisor or team leader.
- the candidate's own report of the job, including details of the site situation.
- documented observation reports showing how the candidate has met the requirements of the certificate being assessed (please note that observation reports of this kind must be provided by a qualified Street Works supervisor (copy of card required) or assessor, as outlined in the certificate guidance).

Such additional evidence from the workplace must be assessed against the Standards prior to certification claims being made. If the candidate has not provided any additional evidence required within 12 months of the initial assessment, then the certificates cannot be claimed.

6.3 Candidate/Assessor ratios

In addition to assessor to candidate ratios provided for each certificate below, there can in addition be a further 2 Supervisor candidates present to observe the operatives for their assessment.

For Signing, Lighting and Guarding a maximum of 2 candidates per assessor may be assessed on the practical elements at any one time.

For Location and Avoidance of Underground Services, with a minimum of 2 pipe and cable locators, a maximum of 2 candidates per assessor may be assessed on the practical elements at any one time.

For all excavation and reinstatement certificates a maximum of 6 candidates per assessor may be assessed on the practical elements at any one time.

Centres can have more candidates on any assessment event providing the assessor/candidate ratios are maintained.

External Quality Assurers will monitor the ratio of candidates to assessors over a period of time, to ensure that there are sufficient assessors available at each centre to assess the numbers of candidates in accordance with the ratios above.

No maximum candidate to invigilator ratios is set for multiple-choice examinations for initial assessment and re-assessment, although the examination facility must be suitable and comply with the Awarding Organisation and Joint Council for Qualifications policies.

6.4 Questioning for Initial Assessment and Reassessment

Candidates undertaking initial and reassessment will be examined on their current knowledge of the standards, principles and application of the current documents and Codes of Practice by a 20 question multiple-choice examination for each certificate. The pass mark for each examination is set at 80%. Candidates are permitted access during examinations to the documents listed in Appendix A. The time allowed is 45 minutes for each examined certificate.

Documents listed in Appendix A must be available to candidates. No use of notes, handouts, or personal media devices are to be used. Electronic documents listed in Appendix A may be used if provided by the centre on a secured media device which does not have internet access.

Questions are provided to cover the knowledge and understanding in each certificate. The questions are intended for use in candidate assessments, and, in making use of them, centres should take the following into consideration:

- Centres must use the Awarding Organisations on-line examination system.
- Other than providing the mark achieved, the results of the examination must not be discussed with candidates.
- Where a candidate fails an examination, up to 2 resits can be permitted where time allows at the discretion of the approved centre before discussing how gaps in knowledge can be addressed through retraining.

Centres must provide the Awarding Organisation with its documented quality control system for conducting examinations. This must include:

- Preparing and induction for the examination
- Examination preparation
- Conduct during the examination (including invigilation)
- Post examination procedures
- Locations of all examination locations approved by the Awarding Organisation
- Security and storage of confidential examination materials
- Reporting any incidence of malpractice by candidates and staff to the Awarding Organisation

6.5 Access to examinations

Access to examinations will require candidates to show photo identity, such as a current driving licence or passport, to the invigilator prior to the examination. In addition in the case of reassessment candidates must also provide their current Street Works Registration Card.

Candidates must not be allowed access to reassessment without providing identification as specified above.

Candidate's requiring additional requirements or reasonable adjustments for examinations should inform the centre and any such arrangements must be in accordance with the Awarding Organisations policies and procedures.

Centres must inform candidates of the conduct expected of them during examinations.

6.6 Examination marking

Examinations taken using the on-line system provided by the Awarding Organisation will be marked automatically by the system.

6.7 Examination invigilation

All examinations whether Initial or Re-assessment must be invigilated by the centre. Centre staff providing any training prior to examination cannot carry out invigilation. Invigilators should receive adequate training to enable them to conduct examination in accordance with the Joint Council for Qualifications guidance and Awarding Organisation requirements. <http://www.jcq.org.uk>

Candidates must be informed of a pass or fail on the same day as the examinations.

Where time allows, candidates may re-sit any certificates on the same day but must use a different online examination.

7. Assessment decisions

At the conclusion of the assessment, the assessor needs to make a judgement of the candidate's competence against the requirements of each certificate and examination outcome. The assessor may make one of the following decisions:

- The candidate is competent and has passed the assessments.
- The candidate is not yet competent.
- There is insufficient evidence available for the assessor to make a fair decision.

Where the candidate is deemed to be not yet competent, or there is not enough evidence available for the assessor to make a decision, the assessor will need to discuss with the candidate what further evidence or, if appropriate, training, will be required in order for the candidate to be assessed again.

8. Recording assessments

The assessment documentation for each certificate is derived from the Assessment Standards. The assessment and verification team must refer to the content of these Standards when assessing candidates or verifying their evidence.

Separate assessment records must be kept for each candidate, to provide details of the evidence collected and the judgement made. Assessment recording documentation for each certificate is provided by HAUC (UK), which must be completed to provide a record of the assessment undertaken and its outcome.

The assessor needs to complete the record for each assessment, to confirm whether the candidate has carried out the specified tasks correctly. It is important that the assessor identifies both where a candidate has been successful and where the standards were not met, to identify specific areas where further assessment or evidence is required.

The supervisor certificates are set out differently and comprise of assignments covering each learning outcome set out in the Standards and asks specific questions where appropriate.

Supporting assessment documents for candidates to use are also provided to the centre by HAUC (UK). These must be used to ensure consistency in assessment between centres. Details are given in each certificate assessment recording document.

The assessor must sign to confirm that they have carried out each assessment where required in the documentation. It is important that there is an audit trail to support the assessment decision taken.

Records of assessment and examination results must be retained for a minimum of 3 years, or in accordance with the Awarding Organisations policies which ever is longer, after which they may be destroyed but not returned to the candidate.

8.1 Candidate Assessment Summary

At the conclusion of the assessment process, the assessor must complete the Candidate Assessment Summary for **all certificates assessed**. The summary sheet is designed to enable the assessor to check that all of the appropriate evidence is present, and to provide a summary of the evidence available, which is useful to both Internal and External Quality Assurers. It should include details of:

- the candidate's name
- the assessor's name
- the centre where the candidate was assessed
- the date of assessment
- the location(s) of all assessments for the certificates
- the assessment methods used
- any workplace evidence provided
- assessor and candidate comments

The assessor must also indicate the outcome of the assessment, and should ensure that, where a candidate has not been assessed as competent, what action must be taken.

The assessor and candidate must sign the document when it is complete. There is also space for the IQA and EQA to sign the sheet if they sample the assessment record. Where physical signature cannot be completed due to remoteness or other issue an electronic signature or other form of confirmation is acceptable.

9. Resources required for Practical Assessment

This section contains information about physical resources that centres must have access to in order to deliver the Street Works certificates. It also provides a brief outline of what is expected of a candidate for each certificate.

It is not permissible to use recorded video evidence for assessment purposes. However a properly organised and controlled live video link could be used.

Refer to Appendix A for guidance on reference documents which are to be made available to candidates during the assessment.

9.1 Operative Certificates

Where candidates are required to use equipment, apparatus or materials during practical assessments, real equipment, apparatus and materials must be used, which are appropriate for the certificates being assessed and which comply with the requirements of current Codes of Practice. When assessing candidates for all operative certificates, please note that the following conditions apply:

The location used must be large enough to allow each candidate to carry out the required tasks in the minimum area specified in each certificate's guidance for any excavation or reinstatement operation.

Centres must ensure candidate numbers comply with the Assessor/Candidate Ratios.

Location and Avoidance of Underground Apparatus

Resources

1. A suitable location where the candidate can demonstrate competence locating and tracing a range of services (at least 3 for a distance of 10 metres), either on the Highway/road or an area that closely resembles one.
2. Service plans to include gas, water, electricity and telecommunications.
3. A range of services commonly found during excavation work on the highway/road to identify both damaged and undamaged (at least 16 should be used). Services to use are listed in the assessment checklist.
4. A site that will allow a minimum of three traceable underground services for at least 10 metres is recommended.
5. Cable locator (signal generator optional) and Service plans to include Telecommunication, Gas, Water and Electric cables.
6. All personal protective equipment relevant to the operations being carried out.
7. Documents as detailed in Appendix A.

Please note that assessors must identify details of any damaged apparatus prior to assessments taking place, so that they can confirm the accuracy of the candidates' observations. (This is particularly important if assessments are taking place in a live site situation, where the circumstances will vary between assessments.

Signing, lighting and guarding

Resources

1. The site used for assessment may be one of any of the following:
 - a. A road with unpredictable traffic.
 - b. A road where traffic is predictable.
 - c. A simulated road where there is no traffic and road markings which could be marked out in an area other than a road (car park, depot open space, etc.).
2. For a simulated road (c) above further evidence from the workplace must be provided which demonstrates that the full scope of the assessment performance criteria has been met from a real road situation (Workplace Evidence). This must be assessed prior to certification and subject to verification.
3. A full set of temporary signing and guarding for works on a footway.
4. Temporary traffic signals, including Stop/Go boards.
5. A selection of unsuitable and damaged traffic management equipment (signs, cones, barriers) for candidates to determine suitability for use and selection should be provided.
6. All personal protective equipment relevant to the operations being carried out.
7. Documents as detailed in Appendix A.

Excavation in the highway/road

Resources

1. The activities are undertaken either on-site or at a realistic simulated site. Where the site is simulated, there should be a sufficient amount of signing and guarding in place to ascertain work areas.
2. Assessments are not to be undertaken on excavations where trench support is needed due to ground conditions.
3. The candidate will need to carry out an excavation, on a Type 4 carriageway. The area to be excavated must be a minimum of 0.7m² and 650mm deep and must contain a minimum of one utility service. The area should be marked out to show the position of services and the extent of the excavation. Where certificates covering reinstatement are to be assessed the minimum dimensions of 0.7m² and 650mm depth is required for each operative.
4. Incorporating a granular base and sub-base.
5. Where the candidate is going to be assessed for certificates covering reinstatement of backfill, the excavated depth should be at least 650mm to allow for a reasonable backfill layer.
6. A range of materials (A, B, C, D and E) to identify for re-use or disposal. A minimum of 8 are to be used to make an informed assessment decision.
7. A suitable exercise/simulation to demonstrate knowledge of carriageway and footway types and their construction.
8. All personal protective equipment relevant to the operations being carried out.
9. Documents as detailed in Appendix A.

Reinstatement and compaction of backfill materials

Resources

1. The activities are undertaken either on-site or at a realistic simulated site. Where the site is simulated, there should be a sufficient amount of signing and guarding in place to ascertain work areas.
2. Assessments are not to be undertaken on excavations where trench support is needed due to ground conditions.
3. A minimum trench dimension of 0.7m² and 650mm depth for each operative undertaking assessment. Where more than one operative is undertaking assessment, each should reinstate separate trenches to prevent cross-contamination of evidence.
4. It is common for the candidate to use the excavation for the reinstatement in a Type 4 Flexible with a granular base (roadbase).
5. A range of materials (A, B, C, D and E) to identify for re-use or disposal. A minimum of 8 should be used to make an informed assessment decision.
6. Incorporate a minimum of one service commonly found within a highway/road.
7. Appropriate hand tools and compaction equipment to select and use. All personal protective equipment relevant to the operations being carried out.
8. Documents as detailed in Appendix A.

Reinstatement and compaction of sub-base and base (roadbase) in non-bituminous materials

Resources

1. The activities are undertaken either on-site or at a realistic simulated site. Where the site is simulated, there should be a sufficient amount of signing and guarding in place to ascertain work areas.
2. Assessments are not to be undertaken on excavations where trench support is needed due to ground conditions.
3. A minimum trench dimension of 0.7m² and 430mm depth for each operative undertaking assessment. Where more than one operative is undertaking assessment, each should reinstate separate trenches to prevent cross-contamination of evidence.
4. It is common for the candidate to use the excavation for the reinstatement in a Type 4 Flexible with a granular base (roadbase).
5. A range of materials (A, B, C, D and E) to identify for re-use or disposal. A minimum of 8 are to be used to make an informed assessment decision.
6. Appropriate hand tools and compaction equipment to select and use.
7. All personal protective equipment relevant to the operations being carried out.
8. Documents as detailed in Appendix A.

Reinstatement in cold-lay bituminous materials

Resources

1. The activities are undertaken either on-site or at a realistic simulated site. Where the site is simulated, there should be a sufficient amount of signing and guarding in place to ascertain work areas.
2. A minimum trench dimension of 1.2m² (not including iron work) and 100mm depth for each operative undertaking assessment. Where more than one operative is undertaking assessment, each should reinstate separate trenches to prevent cross-contamination of evidence.
3. It is common for the candidate to use the trench for and the reinstatement to be in a Type 4 Flexible Carriageway.
4. Appropriate hand tools and compaction equipment to select and use.
5. The reinstatement of the surface course should be carried out with the specified compaction equipment, i.e. single drum roller 600kg/m minimum weight or plate compactor 1400kg/m².
6. Highway/road ironwork to set line and level.
7. All personal protective equipment relevant to the operations being carried out.
8. Documents as detailed in Appendix A.

Reinstatement in hot-lay bituminous materials

Resources

1. The activities are undertaken either on-site or at a realistic simulated site. Where the site is simulated, there should be a sufficient amount of signing and guarding in place to ascertain work areas.
2. A Type 4 Flexible Carriageway with a minimum trench dimension of 1.2m² (not including iron work) and 100mm depth for each operative undertaking assessment. Where more than one operative is undertaking assessment, each should reinstate separate trenches to prevent cross-contamination of evidence.
3. Appropriate hand tools, tool heater, temperature measuring and compaction equipment to select and use.
4. The reinstatement of the surface course should be carried out with the specified compaction equipment, i.e. single drum roller 600kg/m minimum weight or plate compactor 1400kg/m².
5. A tool heater, thermometer, tack coat and edge joint sealant should also be provided.
6. All personal protective equipment relevant to the operations being carried out.
7. Documents as detailed in Appendix A.

Reinstatement of concrete slabs

Resources

1. The activities are undertaken either on-site or at a realistic simulated site. Where the site is simulated, there should be a sufficient amount of signing and guarding in place to ascertain work areas.
2. A minimum trench dimension of 1.0m² and 200mm depth in a rigid road should be provided for each operative undertaking assessment and a quantity of Granular Sub-base Type 1 (GSB Type 1) to make good the sub-base. Where more than one operative is undertaking assessment, each should reinstate separate trenches to prevent cross-contamination of evidence.
3. Class 40 concrete must be used, in line with the specification requirement (a lime mix concrete may be used as a substitute).
4. Sufficient materials to reinstate the slab using taper edge support or dowel bars.
5. A range of hand tools and compaction equipment should be available to the candidate as stated. This to include a vibrating poker to compact the concrete, dowel bars (25mm), reinforcement mesh, tie wires and suitable drilling and cutting equipment, polythene sheeting and mixer if not using ready mixed concrete and slump testing equipment.
6. All personal protective equipment relevant to the operations being carried out.
7. Documents as detailed in Appendix A.

Reinstatement of modular surfaces and concrete footways

Resources

1. The activities are undertaken either on-site or at a realistic simulated site. Where the site is simulated, there should be a sufficient amount of signing and guarding in place to ascertain work areas.
2. A minimum trench dimension of 1.5m² for modular reinstatement; 1m² for concrete; and a minimum of 6 concrete paving slabs or 1.5m² minimum for each operative undertaking assessment. Where more than one operative is undertaking assessment, each should reinstate separate trenches to prevent cross-contamination of evidence.
3. Class 25/30 concrete must be used, in line with the specification requirement. (a lime mix concrete may be used as a substitute)
4. A range of hand tools, mixing and compaction equipment should be available to the candidate as stated in the Standards. This to include bedding material, concrete, kiln dried sand, GSB Type 1 and slump testing equipment.
5. Sufficient quantities of materials for each candidate.
6. All personal protective equipment relevant to the operations being carried out.
7. Documents as detailed in Appendix A.

9.2 Supervisor certificates

When assessing candidates for all supervisor certificates, please note that the following conditions apply:

1. **While being assessed undertaking monitoring activities, the supervisor will not confer with the operative or other supervisors under assessment.** The assessor should control this throughout the assessment.
2. **Physical resource requirements.** When observing operatives undertaking activities, the supervisor must be able to see them working in a typical site situation (either real or simulated). Real tools, equipment and materials must be used that are in accordance with the current Codes of Practice. It is expected that the physical resources observed will match those used for the equivalent operative certificates, although monitoring activities undertaken by candidates, could result in a variety of evidence obtained from more than one site situation.
3. **Poor practices and remedial action.** If, during the course of the practical assessment, no incidents of poor practices take place, the candidate will be unable to make recommendations for remedial action. In this case, the assessor must build in the opportunity for the candidate to provide the evidence required at the appropriate time (such as, for example, using further performance evidence, or questioning).
4. **If good practice is observed** by the supervisor it should be recorded, this provides the assessor with the opportunity to assess the candidates full understanding of the certificate performance criteria.
5. **Where competence is not demonstrated, the assessor will recommend an action plan for the candidate.** This should identify any gaps in their evidence and identify further training or experience required prior to reassessment.

Appendix A — Required Publications

Centres must provide candidates with full, current and clean copies of the listed reference material listed below. Centres must ensure the resources they provide are relevant to the regional area the candidate will be operating/taking the assessment for initial assessment or reassessment. The reference documents listed are all available to download.

1. Specification for the Reinstatement Openings in Roads/Highway, Code of Practice.
2. Safety at Street Works and Road Works, Code of Practice (Department for Transport).
3. An Introduction to Vehicle Actuated Portable Traffic Signals (Department for Transport).
4. Avoiding Danger from Underground Services HSG 47(Health and Safety Executive).
5. Health and Safety in Construction HSG 150 (Health and Safety Executive).
6. Volume 1: NJUG Guidelines on The Positioning And Colour Coding Of Underground Utilities' Apparatus (National Joint Utilities Group).
7. Roadwork's Theory and Practice (optional as a reference).
8. *Specification for Highway/Road Works (SHW), 'Series 1000'.
9. Interpave documents relating to concrete block paving and concrete slab reinstatements (based upon BS Standards). Interpave has given permission for these documents to be used.

www.hse.gov.uk

www.dft.gov.uk

www.njug.org.uk

www.scotland.gov.uk

www.northernireland.gov.uk

www.wales.gov.uk

www.paving.org.uk

*The SHW document originates from the Department for Transport/Highway/roads England and may be accessed at the following website: <http://www.dft.gov.uk/ha/standards/mchw/index.htm>. The material featured on this website is subject to Crown copyright protection unless otherwise indicated. You may re-use the Crown copyright protected material free of charge in any format for non-commercial research, private study or internal circulation within your organisation. The material must be acknowledged as Crown copyright and you must give the title of the source document/publication.)

The table below lists the publications that are to be used with the corresponding certificates.

Certificate title	Reference documents required
Location and avoidance of underground apparatus.	1, 2, 4, 5, 6
Signing, lighting and guarding.	2, 3
Excavation in the road/highway/road.	1, 2, 4, 5, 6
Reinstatement and compaction of backfill materials.	1, 2, 4, 5, 6
Reinstatement of sub-base and base(roadbase) in non-bituminous materials.	1, 2, 4, 5
Reinstatement in cold-lay bituminous materials.	1, 2
Reinstatement in hot-lay bituminous materials.	1, 2
Reinstatement of concrete slabs.	1, 2, 8
Reinstatement of modular surfaces and concrete footways.	1, 2, 9
Monitoring signing, lighting and guarding.	2, 3
Monitoring excavation in the road/highway/road.	1, 2, 4, 5, 6
Monitoring reinstatement and compaction of backfill materials.	1, 2, 4, 5, 6
Monitoring reinstatement of sub-base and base (roadbase) in non-bituminous materials.	1, 2, 4, 5
Monitoring reinstatement in bituminous materials.	1, 2
Monitoring reinstatement of concrete slabs.	1, 2, 8
Monitoring reinstatement of modular surfaces and concrete footways.	1, 2, 9

Note:

The same documents are to be used for the corresponding reassessed certificates.

Appendix B — Example detailed timetable — Maximum 6 learners per assessor. Certificates LA, 01, 02, 03, 04, 05 and 08

DAY	0830 – 1030	1045 – 1230		1300 – 1430	1445 - 1630	NOTES
Monday	Registration and introductions. Induction into Street Works qualifications (All) Issue documents Training input, Cable and Pipe location; Service identification (All)	Training input Cable and Pipe location, identification of services, practical demonstration of cable avoidance tool and practice (All)		Training input: Signing, Lighting and Guarding, use of temporary traffic lights (All)	Training input: Signing, Lighting and Guarding, use of temporary traffic lights (All) Site Risk Assessment and Planning Assessment (All)	Copies of complaints and appeals procedures Copy of Assessment Malpractice
Tuesday	Location and Avoidance of Underground Services Assessments	Location and Avoidance of Underground Services Assessments SLG Assessments		SLG Assessments <i>Depending on candidate's ability this may finish earlier</i>	Training input – Excavation in the Highway, materials identification, carriageway pavement structures (SROH)	Unit assessment timings may vary depending on group size
Wednesday	Excavation in the Highway Assessments Outside areas	Excavation in the Highway Assessments Outside areas		Prepare areas; Blocks; Slabs and Concrete Outside areas	Training input: Reinstatement of Openings in highways Reinstatement design (assessment)	Assessment decision as time permits
Thursday	Reinstatement of Backfill, sub-base/base and surfacing Assessments	Reinstatement of Backfill, sub-base/base and surfacing Assessments		Block paving, concrete slab and concrete footways Assessments	Block paving, concrete slab and concrete footways Assessments	Time permitting, complete any other practical assessments
Friday	Block paving, concrete slab and concrete footways Assessments	Any outstanding assessments/re-sits Complete Unit papers and assessment decision, etc		Complete Unit papers and assessment decision, etc	Assessor/Candidate discussions and feedback	Assessments may be completed earlier depending upon candidates. Assessor to ensure sign off sheets are completed and passed onto the IQA

Appendix C

Initial assessment timescales

The timescales to complete assessments may vary between centres and dependent upon the centre resources for equipment, facilities and number of assessors. Live site assessments may require more than one assessment visit to ensure that all the certificate criteria are assessed.

The following timescales are taken from actual time studies for assessment using a ratio of 2 or 6 candidates per assessor, for any practical assessments and do not include any time for induction, feedback, centre administration, completing supporting assessment materials or examinations.

Certificates	Maximum number of candidates per assessor (at any one time)	Minimum practical assessment time
Location and avoidance of underground apparatus.	2	1.5 hours
Signing, lighting and guarding.	2	1 hour
Excavation in the highway	6	2.5 hours
Reinstatement and compaction of backfill materials.	6	1.5 hours
Reinstatement of sub-base and base in non-bituminous materials.	6	1.5 hours
Reinstatement in cold-lay bituminous materials.	6	1.5 hours
Reinstatement in hot-lay bituminous materials.	6	1.5 hours
Reinstatement of concrete slabs.	6	1.5 hours
Reinstatement of modular surfaces and concrete footways.	6	2.5 hours

Notes:

1. Supervisor certificates would follow the same timescales as those listed for the operative in the above table for the respective certificates to complete assignments only.
2. Where a centre can demonstrate to the Awarding Organisation that these timescales can be reduced, it must be agreed prior to any assessments taking place.
3. The centre must provide a detailed timetable to the Awarding Organisation that shows a clear gap between any training and formal assessments. An example program is given at Appendix B that shows a clear gap between any training given and assessments.

Appendix D

In Wales and Northern Ireland, each certificate comprises a number of Units. Candidates pass in whichever combination of units is required to obtain the desired certificate. Certain units are, in effect, compulsory because they are common to all certificates. In England and Scotland, all of the units have been converted into individual certificates. As a result, the units that were previously common to all certificates — the "Key Units" in Wales and Northern Ireland — have become Key Certificates in England and Scotland. Otherwise, there is little difference — assessing someone for, say, the *Excavation in the highway unit* is no different from assessing someone for the *Excavation in the highway certificate*.

In Wales and Northern Ireland, the Units for Operatives are:

- 1 Location and avoidance of underground apparatus.
- 2 Signing, lighting and guarding.
- 3 Excavation in the highway.
- 4 Reinstatement and compaction of backfill materials.
- 5 Reinstatement of sub-base and base in non-bituminous materials.
- 6 Reinstatement in cold-lay bituminous materials.
- 7 Reinstatement in hot-lay bituminous materials.
- 8 Reinstatement of concrete slabs.
- 9 Reinstatement of modular surfaces and concrete footways.

And the Certificates for Operatives are:

- 1 Excavation in the highway — requires Units 1, 2 and 3.
- 2 Excavation, backfilling and reinstatement of construction layers with a cold-lay bituminous surface — requires Units 1, 2, 3, 4, 5 and 6.
- 3 Reinstatement of construction layers in hot-lay and cold-lay bituminous materials - requires Units 1, 2, 6 and 7.
- 4 Reinstatement of concrete slabs — requires Units 1, 2 and 8.
- 5 Reinstatement of modular surfaces and concrete footways — requires Units 1, 2 and 9.

Similarly, the Units for Supervisors are:

- 1 Location and avoidance of underground apparatus.
- 10 Monitoring signing, lighting and guarding.
- 11 Monitoring excavation in the highway.
- 12 Monitoring reinstatement and compaction of backfill materials.
- 13 Monitoring reinstatement of sub-base and base in non-bituminous materials.
- 14 Monitoring reinstatement in bituminous materials.
- 15 Monitoring reinstatement of concrete slabs.
- 16 Reinstatement of modular surfaces and concrete footways.

And the Certificates for Supervisors are:

- 1 Monitoring excavation in the highway — requires Units 1, 10 and 11.
- 2 Monitoring excavation, backfilling and reinstatement of construction layers with bituminous materials — requires Units 1, 10, 11, 12, 13 and 14.
- 3 Monitoring reinstatement of construction layers in bituminous materials — requires Units 1, 10 and 14.
- 4 Monitoring reinstatement of concrete slabs — requires Units 1, 10 and 15.
- 5 Monitoring reinstatement of modular surfaces and concrete footways — requires Units 1, 10 and 16.

In Wales and Northern Ireland, candidates can simply choose to undertake certificates in the type of work they intend to do because the "Key Units" (Location and Avoidance of Underground Apparatus, Signing, Lighting and Guarding, Monitoring Signing, Lighting and Guarding) are embedded in the appropriate certificates.

In England and Scotland, there are no Units, just Certificates. The Certificates for Operatives are:

- LA Location and avoidance of underground apparatus.
- O1 Signing, lighting and guarding.
- O2 Excavation in the highway (Excavation in the road in Scotland).
- O3 Reinstatement and compaction of backfill materials.
- O4 Reinstatement of sub-base and base in non-bituminous materials.
- O5 Reinstatement in cold-lay bituminous materials.
- O6 Reinstatement in hot-lay bituminous materials.
- O7 Reinstatement of concrete slabs.
- O8 Reinstatement of modular surfaces and concrete footways.

And the Certificates for Supervisors are:

- LA Location and avoidance of underground apparatus.
- S1 Monitoring signing, lighting and guarding.
- S2 Monitoring excavation in the highway (Excavation in the road in Scotland).
- S3 Monitoring reinstatement and compaction of backfill materials.
- S4 Monitoring reinstatement of sub-base and base in non-bituminous materials.
- S5 Monitoring reinstatement in bituminous materials.
- S6 Monitoring reinstatement of concrete slabs.
- S7 Monitoring reinstatement of modular surfaces and concrete footways.

In England and Scotland, these units have been disentangled from the excavation and reinstatement activities to become Key Certificates. Operatives must hold Key Certificates LA and O1 for any other certificate from O2 to O8 to be valid. Similarly, Supervisors must hold Key Certificates LA and S1 for any other certificate from S2 to S7 to be valid. One advantage of this system is that Certificates LA, O1 and S1 can be used on their own for non-street works activities. Certificates in England and Scotland can be renewed through reassessment, or initial assessment.

Glossary of Terms

HAUC (UK)	Highway Authority and Utilities Committee (United Kingdom). The body responsible to the Department for Transport and The Secretary of State for the administration of Regulations and codes of practice issued under the provisions of the New Roads and Street Works Act 1991. This includes Regulations covering the qualifications for operatives and supervisors.
TAG	Training and Accreditation Group. A sub-group of HAUC (UK) responsible for the qualifications for operatives and supervisors and updating as required.
AO	An Awarding Organisation approved to offer nationally recognised qualifications.
SWQR	Street Works Qualifications Register — the appointed body to manage the national register of qualified operatives and supervisors and register/re-register certificates for a period defined in Regulations.
Candidate	A person undertaking assessment to gain a qualification at an approved centre. For the purpose of this document has the same meaning as ‘learner’ used by Awarding Organisations.
Initial assessment	Undertaking Street Works certificate assessment for the first time, or if chosen by the candidate to renew an existing certificate.
Reassessment	Undertaking Street Works renewal by successfully passing a multiple-choice examination to re-register existing certificates.
Certificate	Under English and Scottish Regulations is an achievement from passing assessment and is issued by the Awarding Organisation. Certificates are registered for a period of 5 years with SWQR.
Unit	Under Welsh and Northern Ireland Regulations is a unit of competence which can be gained from passing an assessment. Several units make up a certificate which are registered for a period of 5 years with SWQR.
External Quality Assurer (EQA)	A person appointed by the Awarding Organisation who is responsible for verifying that the assessment and internal quality assurance undertaken at approved assessment centres is in accordance with the Awarding Organisations policies.
Internal Quality Assurer (IQA)	A person approved by the Awarding Organisation within an assessment centre whose role is to maintain and monitor the quality and assurance of qualifications delivery and certification. The IQA must be occupationally competent.
Assessor	A person approved by the Awarding Organisation to carry out assessment of candidates to nationally recognised occupational standards and are occupationally competent.
Invigilator	A person appointed by a centre who is responsible for the conduct and integrity of all examinations.