

City & Guilds Level 3 Certificate of Competence in Thorough Examination of Arboricultural Equipment (0037-03)

Version 1.2 (January 2026)

**Assessment Pack – Candidate
Version**

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1.0	First version	
1.1 February 2025	Formatting	Throughout
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Introduction

This assessment relates to the unit in the Qualification handbook. The assessment can be achieved at pass only. If any task is not yet met the candidate is unsuccessful.

This assessment is for **Unit 301 Thorough examination of arboricultural equipment** covering the following learning outcomes:

1. Carry out Thorough examination of arboricultural equipment.

General guidance on the requirements for assessment can be found in the Assessor Guidance document available on the City & Guilds web site **www.nptc.org.uk**

The assessor must complete the Practical Table mark sheet for each candidate which should be kept by the assessor for a minimum period of twelve months.

Assessment Time

The practical observation and oral questioning should take between **3 – 3.5 hours**.

This is not an open book assessment, however additional technical information may be sought from the relevant manufacture's operator manuals or any other appropriate training or safety publication.

Practical observation descriptor table

301 - Thorough examination of arboricultural equipment

Activity number and description from check list	Assessment criteria
1. Demonstrate knowledge of secondary legislation or regulations relating to arboricultural lifting equipment	Lifting Operations and Lifting Equipment Regulations (LOLER): - LOLER is aimed at ensuring all lifting operations are properly planned, lifting equipment is used in a safe manner and lifting equipment is thoroughly examined at suitable intervals by a competent person. Management of Health and Safety at Work Regulations (MHSWR): - MHSWR require a risk assessment to be carried out to identify the nature and level of the risks associated with a lifting operation. Provision and Use of Work Equipment Regulations (PUWER): - PUWER applies to all work equipment including lifting equipment. Duty holders are required to select suitable work equipment. Personal Protective Equipment at Work Regulations (PPE): - PPE at Work Regulations require that personal protective equipment is to be supplied and used at work wherever there are risks to health and safety that cannot be adequately controlled in other ways. Work at Height Regulations: - WAHR apply to all work at height where there is a risk of a fall which is likely to cause personal injury. Employers and those in control of any work at height activity must make sure work is properly planned, supervised and carried out by competent people. Machinery Directive: - equipment within the scope of the directive must have been subject to appropriate conformity assessment, labelled and accompanied by a declaration of conformity.
2. Demonstrate knowledge of the published guidance relating to arboricultural lifting equipment	Approved Code of Practice (ACOP): gives practical advice on how to comply with the law. By following the advice, you

		will be doing enough to comply with the law in respect of those specific matters on which the Code gives advice Industry Code of Practice (ICOP) - document providing recommendations and guidance pertaining to the planning, management and undertaking of tasks and operations within a specific industry good practice - technical or industry good practice guidance that relates to specific arboricultural operations, such as climbing and rigging.
3.	State what it is that the LOLER regulations set out to do	The Regulations require that lifting equipment provided for use at work is: - strong and stable enough for the particular use - marked to indicate safe working loads - positioned and installed to minimise any risks - used safely ie the work is planned, organised and performed by competent people - subject to ongoing thorough examination and, where appropriate, inspection by competent people.
4.	Define a lifting operation	An operation concerned with the lifting, lowering or suspending of a load. A 'load' may include a person
5.	Define lifting equipment	Lifting equipment means work equipment for lifting or lowering loads and includes its attachments used for anchoring, fixing or supporting it
6.	Define category 3 Personal Protective Equipment (PPE) specifically in relation to personal fall protection equipment	Category 3 PPE is intended to protect users from the risks of falling from height
7.	Demonstrate knowledge of the following terms in relation to arboricultural lifting equipment Minimum Breaking Strength (MBS) Working Load Limit (WLL) Safety Factor (SF) Safe Working Load (SWL) United Kingdom Conformity Assessed (UKCA) European Norm (EN) International Organisation for Standardisation (ISO)	Minimum Breaking Strength (MBS): the load above which an item of equipment might fail when it is new, as determined by the manufacturer Working Load Limit (WLL): the load that an item of equipment – when new – can safely lift, lower, raise or suspend as specified by a manufacturer. This does not account for particular service conditions Safety Factor (SF): the relationship between the MBS and the WLL/SWL, often expressed as a ratio Safe Working Load (SWL): the load that an item of equipment can safely lift, lower, raise or suspend based on particular

	Newton (N) Decanewton (daN) Kilonewton (kN)	working conditions as specified by a competent person. The safe working load may be lower than the working load limit • UKCA: United Kingdom Conformity Assessed • EN: European Norm • ISO: International Organisation for Standardisation • N: Newton: A unit of force • daN: Decanewton (10 Newtons) - approximately 1kg • kN: Kilonewton (1000 Newtons) - approximately 100kg.
8.	Explain types of standards relevant to arboricultural lifting equipment	• UK Designated Standards are the standards that can be used to demonstrate that products, comply with legal requirements • European Norms set out performance and testing criteria for a defined product type.
9.	Explain what is meant by 'Evidence of conformity'	• Evidence of conformity is a verifiable link between the product and a stated standard or directive.
10.	State what deems an individual 'Competent' for the purposes of "Thorough Examination" of arboricultural lifting equipment	A competent person shall have: • the appropriate practical, theoretical knowledge and experience of the lifting equipment • the ability to detect defects or weaknesses and assess the importance • the ability to be sufficiently independent and impartial.
11.	State the different types of checks, inspection and examination of arboricultural lifting equipment	Different types of checks, inspection or examination of arboricultural lifting equipment include: • pre-use check • interim recorded inspection for items subject to high levels of wear and tear • thorough examination.
12.	State when arboricultural lifting equipment should be thoroughly examined	The thorough examination should take place: • at least every 6 months for equipment used for lifting people or an accessory for lifting • at least every 12 months for other lifting equipment • in accordance with an examination scheme • following the occurrence of exceptional circumstances.
13.	State the exceptional circumstances following which a 'Thorough Examination' may be required	Exceptional circumstances following which a 'Thorough Examination' would be required include: • involvement in an accident or dangerous occurrence • after a significant change in conditions of use

		• long periods out of service • modification or repair • excessive shock loading and/or impact • contamination.
14.	Demonstrate knowledge of a 'personal fall protection system'	A 'personal fall' protection system is an assembly of components which, when used correctly, combine to prevent a fall, limit the potential for a fall or minimise the distance and consequences of a fall. Generally, it includes a body holding device (harness) connected to a reliable anchor'
15.	State types of arboricultural 'personal fall protection systems'	• Moving Rope Technique (MRT) • Stationary Rope Technique (SRT)
16.	Explain the different karabiner shapes and their key characteristics	To include: • Oval – allows central positioning of devices/alignment of systems and components • D Shape – asymmetric shape, transfers the majority of the load close and parallel to the spine, the strongest axis • Off-set D – variant of a D shaped carabiner with greater asymmetry allowing for a wider gate opening and alignment of load along the spine • Pear/HMS – oversized offset D shaped carabiner providing increased internal volume and gate clearance.
17.	State the effects of different configurations on the working load limit of a sling	Strength ratings of specific sling types (EN1492) to include: • basket hitch (angle between the legs 0°) increase lift capacity WLL x 2 • basket hitch (angle between the legs 90°) increase lift capacity WLL x 1.4 • choker reduces lift capacity WLL x 0.8.
18.	State a range of arboricultural lifting equipment that requires thorough examination	Arboricultural lifting equipment that requires thorough examination includes: • harnesses • ropes • connectors • pulleys • slings • lowering devices • ascenders/descenders • lanyards • friction savers • friction cord • chainsaw lanyards
19.	Understand the benefits of equipment traceability	The benefits of equipment traceability include: • provides a link between product and manufacturer

		• provides proof of ownership • helps determine where and when an item was purchased • demonstrates when equipment was issued • provides evidence of who equipment was issued to.
20.	State the information that may be obtained, stored or recorded for arboricultural lifting equipment	To ensure traceability of equipment the following information is required: • manufacturer's instructions • date of purchase and supplier • evidence of conformity • dates of entry to service • written documentation of interim inspections • thorough examination records.
21.	Explain the different types of damage and defects that can affect metal items of equipment	Different types of damage and defects that can affect metal items of equipment may include: • corrosion (chemical damage) • loss of material cross section • abrasion • cracks • burrs • incorrect function of moving parts • deformation.
22.	Explain the different types of damage and defects that can affect textile items of equipment	Different types of damage and defects that can affect textile items of equipment may include: • cuts • abrasion • heat damage (burns/melting) • age • overloading • chemicals • deformation.
23.	State records that should be retained for arboricultural lifting equipment	Records that should be retained for arboricultural lifting equipment include: • purchase information including date and supplier • manufacturer's instructions • evidence of conformity • interim inspection records • record of thorough examination.
24.	State the information relating to the competent person to be contained within a "Thorough Examination" report	Information relating to the competent person to be contained within a "Thorough Examination" report should include: • name • address • qualifications • employment status (employed/self employed). If employed, state address of employer.

25.	Demonstrate knowledge of dates to be contained within a 'Thorough Examination' report	Dates to be contained within a 'Thorough Examination' report should include: • date of previous thorough examination • date of current thorough examination • latest date by which the next thorough examination must be carried out • date of completion of the report • equipment manufactures dates.
26.	Demonstrate knowledge of equipment marking by the end user or competent person	It may be permissible to mark or remark equipment with the approval of the manufacturer.
27.	Conduct a 'Thorough Examination' of a range of arboricultural equipment provided by the assessor	To include: • identify the item to be thoroughly examined and inspection method suitable to type • thoroughly examine item for any indication of damage and/or wear • try to expose hidden areas where appropriate • pay particular attention to any attachment or connection points • check moving parts for function and freedom of movement • look for distortion, stiffness or residues • check for smell or discoloration that may indicate contamination • evaluate whether damage identified is within acceptable limits • where available make reference to manufactures instructions or technical data • decision made as to whether item is safe or not safe for use.
28.	Record the results of the 'Thorough Examination'	Make a written report of the 'Thorough Examination' containing: • description of equipment • unique identifier • date of manufacture (where known) • minimum breaking strength • safe working load • record details of all parts that have or may result in a defect, or details of remedial action required • provide information relating to justification of a decision made and any calculations that have been used • a statement of whether the item is safe for use or not.
29.	Dispose of waste safely in line with legislation	All waste produced is disposed of in line with legislation, good practice and site requirements

30.	Used appropriate tools, equipment and personal protective equipment (PPE)	All tools, equipment and personal protective equipment is used in line with industry good practice
31.	Carried out work to minimise environmental damage	It is ensured that any possible environmental damage is minimised at all times
32.	Worked in a way which maintains health and safety and is consistent with relevant legislation and industry good practice	All activities must be completed in a way which protects the operator and those around them

Appendix 1 Practical Table

Unit 301 Thorough examination of arboricultural equipment

Candidates are **not** permitted to use the checklist to work from when completing the practical tasks but may familiarise themselves with it prior to the observation. **All** criteria must be achieved.

Activity number and description	Achieved
1. Demonstrate knowledge of secondary legislation or regulations relating to arboricultural lifting equipment	
2. Demonstrate knowledge of the published guidance relating to arboricultural lifting equipment	
3. State what it is that the LOLER regulations set out to do	
4. Define a lifting operation	
5. Define lifting equipment	
6. Define category 3 Personal Protective Equipment (PPE) specifically in relation to personal fall protection equipment	
7. Demonstrate knowledge of the terms in relation to arboricultural lifting equipment:	
8. Explain types of standards relevant to arboricultural lifting equipment	
9. Explain what is meant by 'Evidence of conformity'	
10. State what deems an individual 'Competent' for the purposes of "Thorough Examination" of arboricultural lifting equipment	
11. State the different types of checks, inspection and examination of arboricultural lifting equipment	
12. State when arboricultural lifting equipment should be thoroughly examined	
13. State the exceptional circumstances following which a 'Thorough Examination' may be required	
14. Demonstrate knowledge of a 'personal fall protection system'	
15. State types of arboricultural 'personal fall protection systems'	
16. Explain the different karabiner shapes and their key characteristics	
17. State the effects of different configurations on the working load limit of a sling	
18. State a range of arboricultural lifting equipment that requires thorough examination	
19. Understand the benefits of equipment traceability	
20. State the information that may be obtained, stored or recorded for arboricultural lifting equipment	
21. Explain the different types of damage and defects that can affect metal items of equipment	

22. Explain the different types of damage and defects that can affect textile items of equipment	
23. State records that should be retained for arboricultural lifting equipment	
24. State the information relating to the competent person to be contained within a "Thorough Examination" report	
25. Demonstrate knowledge of dates to be contained within a 'Thorough Examination' report	
26. Demonstrate knowledge of equipment marking by the end user or competent person	
27. Conduct a 'Thorough Examination' of a range of arboricultural equipment provided by the assessor	
28. Record the results of the 'Thorough Examination'	
29. Dispose of waste safely in line with legislation	
30. Used appropriate tools, equipment and personal protective equipment (PPE)	
31. Carried out work to minimise environmental damage	
32. Worked in a way which maintains health and safety and is consistent with relevant legislation and industry good practice	
Grade (P/X)	
Candidate signature and date	
Assessor signature and date	
Assessor feedback:	

Appendix 2 Sources of general information

The following documents contain essential information for centres delivering City & Guilds qualifications. To download the documents and to find other useful documents, go to www.cityandguilds.com or click on the links below:

Centre handbook: quality assurance standards

This document is for all approved centres and provides guidance to support their delivery of our qualifications. It includes information on

- Centre quality assurance criteria and monitoring activities
- Administration and assessment systems
- Centre-facing support teams at City & Guilds / ILM
- Centre quality assurance roles and responsibilities.

The Centre Handbook should be used to ensure compliance with the terms and conditions of the Centre Contract.

Centre assessment: quality assurance standards

This document sets out the minimum common quality assurance requirements for our regulated and non-regulated qualifications that feature centre assessed components. Specific guidance will also be included in relevant qualification handbooks and/or assessment documentation.

It incorporates our expectations for centre internal quality assurance and the external quality assurance methods we use to ensure that assessment standards are met and upheld. It also details the range of sanctions that may be put in place when centres do not comply with our requirements, or actions that will be taken to align centre marking/assessment to required standards. Additionally, it provides detailed guidance on the secure and valid administration of centre-assessments.

Access arrangements: when and how applications need to be made to City & Guilds

This provides full details of the arrangements that may be made to facilitate access to assessments and qualifications for candidates who are eligible for adjustments in assessment.

The **centre document library** also contains useful information on such things as:

- Conducting examinations
- Registering learners
- Appeals and malpractice

Useful contacts

Please visit the **contact us** section of the City & Guilds website.

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