



**The Local Cave and Mine  
Leader Assessment Scheme**

**HANDBOOK  
FOR  
TRAINER  
ASSESSORS**

**National  
Caving  
Association**

**LOCAL CAVE AND MINE LEADER  
ASSESSMENT SCHEME**

**HANDBOOK FOR  
TRAINER / ASSESSORS**

**NATIONAL  
CAVING ASSOCIATION**

# **NATIONAL CAVING ASSOCIATION**



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## **Acknowledgements**

The Local Cave and Mine Leader Assessment Scheme was set up many years ago. This handbook has been written to bring together the wide range of information that has been created in running the scheme for the benefit of Trainer / Assessors. Acknowledgement is given to the many unnamed persons who have contributed to the running of the scheme over these years.

The text of this report was brought together by John Crowsley, whose significant contribution is acknowledged. Other notable contributors were John Cliffe, Dave Edwards, Pat Ramsden and Tom Redfern, whose contributions have been invaluable.

The cover was produced by Chris Howes, who also provided the photographs.

Inevitably, there will be mistakes, omissions and errors in this handbook. The responsibility for them rests solely with me. Those identifying them are requested to advise the Training Officer or the Training Administration Service Provider so they can be rectified for the next edition.

Bob Mehew  
November 2002

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# **PART 1**

## **INTRODUCTION**

### **I PURPOSE OF SCHEME**

The Local Cave and Mine Leader Assessment (LCMLA) Scheme is managed by the National Caving Association (NCA). The scheme provides an award recognising the competence of those wishing to take responsibility for others underground, for the benefit of employers or others in authority. The main considerations are equally the safety of the group and the conservation of a fragile environment.

The primary source of information about the scheme is the syllabus in Part 2, which should be read first.

The scheme has four stages, enrolment, training, assessment and issue of an award. Prior to entering the scheme, prospective candidates should have experience of the exploration of caves, mines and potholes. The prospective candidate should then enrol in the scheme and receive a log book in which progress is recorded. The log book, which contains a preface and five sections, provides in a single place, a record of progress through the scheme, continuing experience in the exploration of caves, mines and potholes and the maintenance of a valid award. The log book provides a useful document to demonstrate the competence of an award holder to a prospective employer.

The candidate should be over 18 and have achieved a suitable level of experience before undertaking a training course. The candidate should then go forward to be assessed against a set of modules. On successful completion of a set of modules, the candidate shall be given an award. The award reflects the level of competence of the holder in specified caves and mines and is set at two levels: Level 1 for non-vertical systems, or at Level 2 for vertical systems with pitches up to 18m explored with ladders, although single rope techniques is an option for the leader only. Those wishing to undertake more ambitious objectives should register for the Cave Instructor Certificate Scheme. The award is only valid for a period of three years and is subject to conditions of maintaining a level of activity and holding a valid first aid certificate. An award holder can revalidate the award for periods of an additional three years by undergoing a revalidation process.

This handbook consists of a syllabus and a supplementary set of notes for Candidates, Trainer / Assessors and Administration together with a glossary, appendices and check lists and a communications directory.

The syllabus is the prime authority, subject to interpretation by the Training Committee. The Training Committee is chaired by the Training Officer who is an elected official of NCA. Communications on matters related to this handbook can be directed to the Training Officer, or to other NCA approved persons as mentioned in the text of this handbook.



# **PART 2**

## **SYLLABUS**

### **of the**

## **LOCAL CAVE AND MINE LEADER**

## **ASSESSMENT SCHEME**

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# **PART 2**

## **SYLLABUS**

### **of the**

## **LOCAL CAVE AND MINE LEADER**

## **ASSESSMENT SCHEME**

### **2.1 PREFACE**

#### **2.1.1 FOREWORD**

The Training Committee of the National Caving Association (NCA) exists to improve the recreational caver's awareness of all aspects of the underground environment and in particular, the technical skills and knowledge necessary to explore caves, potholes and mines with optimum safety and comfort. The Committee also endeavours to promote high standards of leadership, judgement and competence in those leading or training others underground. NCA through its schemes offers awards based on the independent assessment of such persons needing formal accreditation.

The past decades have seen a tremendous increase in the use of the underground environment as a recreational medium by different groups and organisations. Insensitive, excessive and unskilled use of this fragile but hostile environment has led to a dramatic increase in conservation and access problems throughout Britain. Leaders have a special responsibility for the care and appropriate use of Britain's caves, potholes and mines. There have also been many tragic or near tragic incidents involving novice parties taken underground by inexperienced and incompetent "leaders", as well as in other outdoor pursuits.

Formal leadership systems are seen by NCA as undesirable in recreational caving, which should have as its essence, individual competence and the companionship of friends, unfettered by unnecessary rules and regulations. However, the Local Cave and Mine Leadership Assessment (LCMLA) Scheme offers very relevant skills and knowledge for anyone wishing to lead others underground.

This syllabus gives details of the LCMLA Scheme. Before getting down to details it is necessary to outline the views of the NCA on leadership in the exploration of caves, mines and potholes. (The term "caving" is used throughout this document to cover the phrase "the exploration of caves, mines and potholes".)

#### **2.1.2 THE PHILOSOPHY OF CAVING**

In the past, considerable misunderstanding has occurred over the nature of caving. It is a mistake to treat caving as a competitive activity; co-operation is an essential spirit when caving.

Caving is the exploration of natural and or mined underground systems and a primary motive should be the desire to learn about such places. A vital element in caving is the satisfaction and pleasure obtained from personal discovery and not the mere overcoming of a natural obstacle or competing against other persons.

Caving is a group activity – but the group should be small, both for mobility underground and so that each person is an integral member of the group. As far as possible each member of the party should be self-reliant at the level of difficulty attempted.

Before being introduced to caving, young people should have some experience of other activities making similar physical demands. Caves, mines and potholes are not a suitable environment in which to introduce people to strenuous activity and hostile conditions, which could result in exhaustion or exposure.

It follows that anybody, young or old, should only be caving from a personal desire to do so and no pressure should be used in encouraging people to go caving.

## 2.2 THE LOCAL CAVE AND MINE LEADER ASSESSMENT SCHEME

### 2.2.1 INTRODUCTION

Each caving and mining area in the British Isles has its idiosyncratic features in the nature and form of the underground systems, the objective hazards likely to be encountered and in problems related to access and conservation. The LCMLA Scheme is designed therefore, to reflect the needs and interests peculiar to each area. It is flexible in that the candidate is assessed with regard to the caves or mines or potholes in which they wish to lead parties.

### 2.2.2 PURPOSE

The LCMLA Scheme provides an award based on an independent assessment of the competence of those wishing to take responsibility for others underground, for the benefit of employers or others in authority. The main considerations of the assessment are equally the safety of the group and the conservation of a fragile environment.

### 2.2.3 SCOPE

The assessment is for leaders undertaking limited objectives within one or more regions. It is available at **Level 1** (non-vertical systems), or at **Level 2** (vertical systems with pitches up to 18m [60ft] explored with ladders, although single rope techniques is an option for the leader only). Those wishing to undertake more ambitious objectives should register for the Cave Instructor Certificate Scheme.

The assessment has a core syllabus, standardised nationally, but has a local knowledge element (hence the name) to take account of specific hazards and problems of conservation, access etc of each site that a party is to be led within. A key feature of the scheme is a specific assessment of the candidate with regard to a declared list of named cave and / or mine sites in which the candidate wishes to lead parties.

### 2.2.4 OUTLINE OF SCHEME

The two levels of the scheme comprise of four basic Modules (formally known as Days). There are two additional modules and one supplementary module. They are titled:

Level 1	Module 1	Core Skills
	Module 2	Group Skills and Local Knowledge
Level 2	Module 3	Vertical Skills
	Module 4	Group Vertical Skills and Local Knowledge
Level 2 option	Module 5	Leader's Single Rope Techniques Skills
Level 1 and 2	Module 6	Cave and Mine Transfer
Level 1 and 2	Supplementary Module	Local Knowledge

Modules 1 and 2 form the basis of the LCMLA Level 1 award.

Module 3 and 4 form the basis of the LCMLA Level 2 award.

Module 5 is optional to enable the Leader alone to use Single Rope Techniques skills.

Module 6 is also optional to enable Leaders to list sites of both cave and mine types in the list of sites named on their award.

The supplementary Local Knowledge module enables Leaders to add additional named sites within their existing area or additional sites from another area to the list of sites on their awards.

A record of the scheme is kept by the candidate in the form of a logbook, as well as by the Training Administration Service Provider. The logbook comprises of a summary of the scheme and five sections, namely:

Section 1	Enrolment
Section 2	Related Qualifications and Experience
Section 3	Experience Record
Section 4	Training and Assessment Records
Section 5	LCMLA Award

Candidates need to undertake the following steps to achieve an LCMLA award:

- a) Apply to the Training Administration Service Provider for a registration form. On submission of the form and fee, a logbook and enrolment details will be issued.
- b) Enter prior experience in the logbook and continue to update experience.
- c) Attend a training course run by an approved LCMLA Trainer / Assessor.
- d) When confident of all-round competence as defined by the syllabus, apply for an assessment by an approved LCMLA Trainer / Assessor.

LCMLA Trainer / Assessors are approved by NCA following a separate assessment process for specific areas.

Candidates will have to demonstrate that their caving knowledge and experience is more than adequate to lead and give guidance to others in their charge. Because the abilities required will depend on the sites to be visited, no hard and fast standards of personal competence are laid down. Candidates should however be able to move fluently and competently in the caves and mines in which they intend to lead novices.

The assessment is structured on the individual modules. Some flexibility is permitted in combining the modules but a candidate cannot obtain a Level 2 award before completing the Level 1 award. The candidate is required to submit a copy of their logbook to the assessor prior to each assessment. Each assessment consists of a theoretical and a practical part. The theoretical part is normally conducted by a written paper. Provided the candidate's response satisfies the Trainer / Assessor, the candidate will be invited to undertake the practical part which will normally be conducted underground.

The award is valid for a period of 3 years and is conditional on the award holder holding a valid First Aid certificate and maintaining a level of caving activity. Lack of regular caving experience for a period of 18 months or more should be taken as invalidating the award.

The award may be revalidated by reassessment. There is a Standard Revalidation process at the end of the first three years and a more extended Leadership Development Revalidation process after six years.

## 2.3 SYLLABUS

The syllabus is presented in modular form.

### 2.3.1 LEVEL 1 MODULE 1 – CORE SKILLS

#### 2.3.1.1 Common Core Skills

##### a) Clothing and Personal Equipment

A candidate must have adequate knowledge to ensure that novices are properly clothed, protected and equipped for the safe exploration of the underground environment.

##### b) Weather and Flooding

All candidates should know the sources for up-to-date, detailed local weather forecasts and be able to interpret them. They should be aware of the impact of the weather on underground activities. In particular those wishing to lead parties in caves and mines with active streamways should understand the different ways in which severe flooding and flood pulses/flash flooding could occur and take account of factors such as ground conditions and thaw of lying snow. They should also appreciate the hazards of bad weather on the surface.

### c) What to do in the event of an Accident underground

Leaders should have a clear idea of their responsibilities and priorities in dealing with casualties and the rest of their parties. They should be able to decide when self-help is appropriate and to organise this, including methods of aiding a partly incapacitated person in moving towards the surface. They must know how to call out the local Cave or Mine Rescue Organisation in the event of an accident.

### d) Underground First Aid and Hypothermia

During the assessment candidates may be asked to demonstrate the practical use of First Aid procedures in the underground environment. Candidates must be familiar with the causes, symptoms, treatment and, above all, prevention of hypothermia in the underground environment.

### e) Technical Skills for “Non Vertical” Systems

Candidates at all levels, whether taking a vertical module or not, will be expected to be able to safely rig and organise a handline climb, to demonstrate a lifeline method for use in an emergency and also to be able to evacuate a tired or slightly injured novice up a short climb.

## 2.3.1.2 Core Skills for CAVE

### a) Knowledge of Underground Hazards

This refers to objective hazards such as flooding, rock falls, deep water, exposure to cold, getting lost and the difficulty of rescue after even a minor accident. Candidates should be aware of real and potential dangers underground and be able to assess these and take suitable precautions for the protection of their party by, for example, avoidance, adequate briefing or physical protection. They should also be aware of the effects of less immediate hazards, notably Radon Gas and Weil’s Disease. Candidates must be aware of any policies or practices concerning exposure to radon that have been adopted by their employers or by the organisation on whose behalf they are leading parties.

### b) Access and Conservation

Candidates must understand the need to adhere to established access procedures and the need for sensitivity towards the interests of farmers and land owners. They must be familiar with the requirements of legislation affecting access.

Respect for the sites visited should be the keynote of all leaders’ activities (including good judgement of when sites should not be visited for reasons of conservation). Candidates should have a basic understanding of the environment including cave geology and hydrology. They should be aware of those elements of the environment that could be put at risk by inadequate leadership.

## 2.3.1.3 Core Skills for MINE

### a) Knowledge of Underground Hazards

This refers to objective mine hazards such as unstable entrances and workings, poor ventilation, unsafe mine features, shafts, deep water, pollution, dangerous gases, getting lost and the difficulty of rescue after even a minor accident. Candidates should be aware of real and potential dangers underground and be able to assess these and take suitable precautions for the protection of their party by avoidance, adequate briefing or physical protection. They should also be aware of the effects of less immediate hazards, notably Radon Gas and Weil’s Disease. Candidates must be aware of any policies or practices concerning exposure to radon that have been adopted by their employers or by the organisation on whose behalf they are leading parties.

### b) Access, Conservation and Law

Candidates must understand the need to adhere to established access procedures and the need for sensitivity towards the interests of land and mineral owners. They must be familiar with the requirements of Health and Safety at Work and Mines and Quarries legislation.

Respect for the sites visited should be the keynote of all leaders’ activities (including good judgement of when sites should not be visited for reasons of conservation). Candidates should have a basic understanding of the environment including mine geology. They should be aware of those elements of the environment that could be put at risk by inadequate leadership.

## **2.3.2 LEVEL 1 MODULE 2 – GROUP SKILLS AND LOCAL KNOWLEDGE**

### **2.3.2.1 Party Leadership**

#### **a) Leadership and Judgement**

The candidates must satisfy the assessors of their ability to make wise decisions with regard to the safety of their parties. In the case of leaders of “self-led” parties, close supervision is essential to ensure safety and proper attention to conservation issues.

A leader is also responsible for selecting suitable assistant leaders, who must be capable of any necessary technical skills and be able to safely evacuate the group in an emergency.

#### **b) Public Relations**

A leader acts as an ambassador for this scheme, as well as for caving and mine exploration, and must ensure that their contact with other cavers, mine exploration groups, the public and other novice parties reflects this well.

#### **c) The Organisation and Conduct of Novice Parties**

Candidates must be able to exert sufficient control over the party to prevent environmental damage or dangerous situations occurring. Candidates must be able to choose appropriate venues and modify plans in consideration of the weather, the equipment available and the nature and capabilities of the group.

#### **d) Conservation**

Candidates will be expected to set a good example at all times and also to be able to put a totally convincing case to their charges on the need to protect the underground environment. They will be able to provide appropriate simple education about this environment.

### **2.3.2.2 Local Knowledge**

#### **a) Knowledge of Underground Hazards**

Candidates must have a detailed and up-to-date awareness of cave/mine core skills relevant to the area and sites in which they wish to operate with groups.

#### **b) Surface Navigation**

The ability to do this adequately will be checked depending on the caves for which the candidate wishes to be assessed.

#### **c) Public Liability Insurance**

Understanding of the need for this will be checked.

## **2.3.3 LEVEL 2 MODULE 3 – VERTICAL SKILLS**

### **2.3.3.1 Equipment**

#### **a) Ropes**

Candidates should be able to demonstrate an understanding of ropes for different purposes, their appropriate applications and limitations (eg. fall factors), the effects of age, dirt, abrasion and contamination by chemicals, the care, inspection and testing of ropes. They should have a more detailed knowledge of the brands which they use.

#### **b) Ladders**

Candidates should be able to demonstrate an understanding of the limitations, use, care and maintenance of ladders.

#### **c) Rigging gear**

Candidates should be able to demonstrate an understanding of the limitations, use, care, and maintenance of spreaders, tethers, pulleys, slings, karabiners and artificial anchors.

#### **d) Personal equipment**

Candidates should be able to demonstrate an adequate knowledge of harnesses, belay belts and leg loops, “cows-tails” (safety cords), descenders and ascenders.

### **2.3.3.2 Techniques**

#### **a) Rigging**

The candidate should be able to demonstrate the safe rigging and use of handlines, traverse lines, lifelines, double lifelines, ladders, bolts and other anchor points. A knowledge of suitable knots and ropework is expected. Note that direct belay systems (eg. Italian Hitch) are expected to be used rather than the obsolete waist belay system.

#### **b) Problems**

Candidates are expected to be able to deal safely and effectively with problems likely to be encountered on vertical caving obstacles (e.g. tired novice, novice with leg tangled in ladder).

#### **c) Abseil for Group**

The competence of the candidate's abseil techniques for their descent of pitches will be assessed.

The rigging and organisation of life-lined abseiling on suitable pitches will be examined. The leader should be able to deal with emergency situations such as hair or clothing jammed in a descender.

#### **d) Knowledge of Hazards Associated with Vertical Techniques**

Candidates should understand the hazards associated with pitches such as loose debris and dropped gear, increased draught in stream caves and the difficulties accorded by wet pitches.

## **2.3.4 LEVEL 2 MODULE 4 – GROUP VERTICAL SKILLS AND LOCAL KNOWLEDGE**

### **2.3.4.1 Party Leadership**

#### **a) Leadership and Judgement**

The candidate must satisfy the assessor of their ability to make wise decisions with regard to the safety of their parties. In the case of leaders of "self-led" parties, close supervision is essential to ensure safety and proper attention to conservation issues.

A leader is also responsible for selecting suitable assistant leaders, who must be capable of any necessary technical skills and be able to safely evacuate the group in an emergency.

#### **b) Public Relations**

A leader acts as an ambassador for this scheme, as well as for caving and mine exploration, and must ensure that their contact with other cavers, mine exploration groups, the public and other novice parties reflects this well.

#### **c) Conservation**

Candidates will be expected to set a good example at all times and also to be able to put a totally convincing case to their charges on the need to protect the underground environment. They will be able to provide appropriate simple education about this environment.

#### **d) The Organisation and Conduct of Novice Parties**

A leader must be able to exert sufficient control over the party to prevent environmental damage or dangerous situations occurring. Candidates must be able to choose appropriate venues and modify plans in consideration of the weather, the equipment available and the nature and capabilities of the group.

#### **e) Pitch Head Skills**

Candidates must demonstrate good party management when negotiating pitches, understanding the need for supervision at the top and bottom, including those waiting, and should organise their parties accordingly.

### **2.3.4.2 Local Knowledge**

#### **a) Knowledge of Underground Hazards**

Candidates must have a detailed and up to date awareness of cave/mine core skills relevant to the Area and sites in which they wish to operate with groups.

## b) Surface Navigation

The ability to do this adequately will be checked depending on the caves for which the candidate wishes to be assessed.

### **2.3.5 LEVEL 2 MODULE 5 – LEADER’S SINGLE ROPE TECHNIQUES SKILLS**

The LCMLA Scheme does NOT cover the use of Single Rope Techniques (SRT) by groups. Leaders wishing to lead groups using SRT need to achieve the Cave Instructor Certificate award. The use of SRT for the protection of the leader alone on pitches requires fluency in pitch rigging and personal progression in SRT and must be assessed if used.

### **2.3.6 LEVEL 1 & 2 MODULE 6 – CAVE AND MINE TRANSFER**

Candidates may seek to obtain core skills for both caves and mines as part of their assessment for Module 1. However, award holders who wish to extend the scope of sites that they may lead parties in, can take Module 6, which covers the extension of the award to cave (including potholes) or mine type sites. The requirements of this module are based on either the Core Skills Cave or Core Skills Mine component of Module 1 together with the local knowledge component of either Module 2 or 4 depending upon the type of site.

### **2.3.7 LEVEL 1 OR 2 SUPPLEMENTARY MODULE – LOCAL KNOWLEDGE**

Award holders may subsequently add sites, either in the region for which they already hold an award or in another region, to their award. The process is based upon the Local Knowledge component of either Module 2 or 4, depending upon whether the sites are Level 1 or 2.

## **2.4 TRAINING**

### **2.4.1 TRAINING COURSES**

Training courses are an integral part of the LCMLA Scheme and give candidates a clear idea of standards required in technical skills, party management, conservation awareness and other vital areas of the scheme’s syllabus. Before attending a training course candidates must be registered with the scheme. Training specific to the syllabus is provided by LCMLA Trainer / Assessors who are approved and registered with NCA. Details of registration for a training course including relevant application forms, the availability of training courses and contact details of approved Trainer / Assessors are available from the Training Administration Service Provider.

Training courses are aimed at cavers who aspire to be leaders. It assumes candidates will have the basic level of competence in caving. The training input will be part personal skills development but will focus, in the main, on the leader specific skills and awareness. It will emphasise those aspects of the syllabus which candidates typically have difficulty with and which would benefit from expert guidance.

Those candidates with little or no caving background would be well advised to gain some caving experience prior to attending a training course or consider attending an introductory caving course.

### **2.4.2 EXEMPTION FROM ATTENDANCE ON A TRAINING COURSE**

Experienced cavers who already have substantial experience of personal caving and leading and supervising groups on caving trips may seek exemption from attendance on a training course. The relevant application form can be obtained from the Training Administration Service Provider.

Before applying for exemption, candidates should consider that the training course is not a basic caving course but rather introduces candidates to the skills necessary for introducing novices to caving and it will include material that might be unfamiliar even to experienced cavers.

Candidates applying for exemption must be registered with the scheme and then submit a completed exemption application form, appropriate fee and completed logbook to the Training Administration Service Provider.

## 2.5 ASSESSMENT

### 2.5.1 ASSESSMENT PROCEDURES

- a) For each assessment, the candidate must submit an up-to-date logbook to a Trainer / Assessor together with a list of sites covering those caves or mines or parts thereof, that the candidate wishes to lead parties in.
- b) The Trainer / Assessor will decide if the candidate has, on paper, sufficient experience and if so, whether this experience is compatible with their leadership aims. If these two criteria are satisfied, an assessment will be arranged.
- c) The first part of the assessment is theoretical and is normally based upon a written response to a question paper based on the content of the Module. The paper is completed in the candidate's own time and is unsupervised. If desired, a candidate may opt to cover this work orally, though this will increase the duration of the assessment.
- d) The second part of the assessment for all Modules 1 to 6 requires a practical assessment at an appropriate location, normally underground. For Modules 1 and 3, the Trainer / Assessor will choose the site from one equivalent to the upper level of difficulty of the sites on the candidate's list. For Modules 2, 4 and 6, the candidate should nominate a site from their submitted list and agree it with the Trainer / Assessor. However, for Module 4, the suggested site must be one with a vertical element. For Modules 2 and 4 the candidate will also provide their own group (5 minimum), group equipment and assistant leader. The duration of the assessment is at the discretion of the Trainer / Assessor and would normally consist of a full day.
- e) Role play methods are sometimes used by assessors in areas such as dealing with emergency situations but will not be used extensively to assess leadership skills. Trainer / Assessors must ensure that it is made clear to candidates when role-play is to take place.
- f) The Trainer / Assessor has the right to terminate the assessment if the candidate is not up to the required standard in fundamental areas of the syllabus relating to safety or conservation.
- g) Assessment of the supplementary module for adding sites may, at the Trainer / Assessor's discretion, not involve a practical part. However, the Trainer / Assessor will in such cases normally undertake a follow up interview to the theoretical part.

### 2.5.2 ASSESSMENT LIMITATIONS

- a) Except in unusual circumstances, a candidate must be seen by two assessors during their assessment.
- b) Module 1 must be satisfactorily completed prior to undertaking assessment of Module 2. In addition, **Modules 1 and 2 must be completed within a one year period.**
- c) Module 3 must be satisfactorily completed prior to undertaking assessment of Module 4. **Modules 3 and 4 must be completed within a one year period.**
- d) The practical part of Modules 1 and 3 may be undertaken in any region. The practical part of Modules 2 and 4 must be undertaken at one or more sites on the candidate's list.
- e) A candidate cannot obtain a Level 2 award before completing the Level 1 award. A candidate should normally hold a Level 1 award before undertaking assessment of Level 2. However, a candidate may apply via the Training Administration Service Provider to combine the assessment of Modules 2 and 4.
- f) A candidate may with the Trainer / Assessor's agreement, combine the assessment of the core skills for caves and mines in the assessment of Module 1.
- g) A candidate may with the Trainer / Assessor's agreement, combine the assessment of Module 3 and 5.
- h) The Trainer / Assessor to candidate ratio may not exceed 1: 2 for Modules 1 or 3 or 5 or 6.
- i) The Trainer / Assessor to candidate ratio for Modules 2 or 4 must be 1: 1.
- j) A candidate may, with the Trainer / Assessor's agreement, combine the assessment of local knowledge of caves and mines on the candidate's list of sites. The Trainer / Assessor may decline to do so and limit the number of sites that they will assess (Trainer / Assessors do have limitations on the sites which they may assess, especially for alternative regions.) In such cases, it is the responsibility of the candidate to seek alternative Trainer / Assessors who are prepared to assess the other sites on the candidate's list.

## **2.6 THE REPORTS AND AWARD**

### **2.6.1 Verbal Report**

At the end of a training session or an assessment of a module, the candidate should be given a verbal report by the Trainer / Assessor. This will be followed by a written report on the assessment, issued in such a form that it can be kept as an integral part of the candidate's logbook.

### **2.6.2 Written Report – Section 4 Record**

The record will outline the nature of the training course or the assessment undertaken by the candidate. The record will, for Modules 2, 4 and 6, include a list of sites in which the candidate may lead groups.

### **2.6.3 Award**

The award, which takes the form of the Section 5 for the logbook, will be issued on the basis of these records. The award has no validity other than as an opinion of suitability to be read within the context of a complete logbook record. Its use is solely for the benefit of employers or authorities who need to check out the bona-fides of leaders intending to take young people, or adults in their charge, underground.

### **2.6.4 Conditions of Award**

The award will state that the holder must have a valid First Aid Certificate and maintain a level of caving activity. Lack of regular caving experience for a period of 18 months or more should be taken as invalidating the award.

### **2.6.5 Award Time Limit**

The award is valid for a 3 year period providing the holder remains active and shows continued logged experience. The award may be revalidated for a further period by submitting evidence of continued experience to a Trainer / Assessor. The minimum experience required is as follows:

- 6 trips leading groups in caves reflecting a cross section of the difficulty of the caves on the candidates list, and
- 6 different personal exploration trips, (they may be repeats of trips done in the previous 3 year period).

For Level 2 Awards, the number of trips is increased to 10 each, some of which may be experience at Level 1. The Trainer / Assessor will identify the appropriate degree of assessment. Every second revalidation requires a practical element.

### **2.6.7 Withdrawal of Award**

If the NCA Training Committee has any reason to rescind the award it may do so, subject to right of appeal.

## **2.7 INFORMATION**

### **2.7.1 NATIONAL CAVING ASSOCIATION**

The permanent postal address of the National Caving Association is:

National Caving Association  
Monomark House  
27 Old Gloucester Street  
London, WC1N 3XX

This is a forwarding address only. Whenever possible enquiries to the Association should be addressed to the appropriate officer. Current addresses can be found in *SPELEOscene* and Part 7.

## 2.7.2 BIBLIOGRAPHY

### Books

- BCRA Caving Practice and Equipment* ..... D Judson (ed), BCRA/Cordee (1995)  
*Cave Instructor Certificate Syllabus* ..... NCA  
*Karst and Caves* ..... A Waltham, Yorkshire Dales National Park/BCRA (1987)  
*Mountain and Cave Rescue Handbook* ..... Mountain Rescue Committee  
*Mountain Weather for Climbers* ..... D Unwin, Cordee  
*Race Against Time* ..... J Eyre & J Frankland, Lyon (1988)  
*Radon Underground* ..... NCA (1996)  
*The Weather Guide* ..... A Forsdyke, Hamlyn (1969)  
*Venturing Underground* ..... B Lyon, EP Publications (1983)  
Caving Guidebooks and Regional Caving Council Handbooks ..... Various authors & publishers

### Journals

- Hypothermia, Flooding, Survival and First Aid . *Cave Science (BCRA Transactions)*, Vol. 11, No. 3 (1984)  
Symposium on Radon in Caves ..... *Cave Science (BCRA Transactions)*, Vol. 18, No. 2 (1991)  
Techniques and Equipment ..... *Cave Science (BCRA Transactions)*, Vol. 9, No. 4 (1982)

### Leaflets

- Code of Practice for Removal of Artefacts* ..... NAMHO  
*Going Down the Mine. Code of Practice for Mine Exploration* ..... NAMHO  
*Protect Our Caves* ..... NCA  
*So You Want to Go Caving* ..... NCA  
*The Organisation of Novice Caving* ..... BACI  
*Controlling Radon Exposure during Recreational caving and similar activities* .....  
G M Kendall & D W Dixon, National Radiological Protection Board  
*Exposure to Radon during Works and Leisure Activities in Caves and abandoned mines*.....  
G M Kendall & D W Dixon, National Radiological Protection Board

### Mines

- There are few general books on mining but many dealing with specific mines or mining areas, e.g.  
*Mines of North Devon and West Somerset* ..... P Cloughton  
*Mines of the Gwydyr Forest (parts 1–7)* ..... J Bennett & W Vernon, Gwydyr Mines (1989–97)  
*Gold Mines of Merioneth* ..... GW Hall, Griffin (1989)

### For those doing vertical assessments, in addition to the above:

- A Manual of Modern Rope Techniques* ..... N Shepherd, Constable (1990)  
*Alpine Caving Techniques* ..... Marbach & Tourte, Speleo Projects (2002)  
*Rope Techniques in Mountaineering* ..... B March, Cicerone (1994)  
*Single Rope Techniques* (the best training manual currently available) ..... D Elliot, Troll  
SRT Rescue ..... *Cave Science (BCRA Transactions)*, Vol 10, No. 1 (1983)  
*SRT Rigging Guide* ..... D Elliot & D Lawson, Lizard (1987)  
*Vertical Caving* ..... M Meredith & D Martinez, Lyon (1986)  
Manufacturers' catalogues can be a useful source of information

### The following videos are also useful:

- Cave Safe 1 – Enjoying and protecting the underground world in safety* .....  
A Sparrow, Third Eye Films (1992)  
*Cave Safe 2 – Ropes, rigging, ladders and lifelines* ..... A Sparrow, Third Eye Films (1993)  
*Cave Safe 3 – SRT and advanced Ropework* ..... A Sparrow, Third Eye Films (1994)  
*Lost Caves of Britain* ..... NCA

# PART 3

## NOTES FOR CANDIDATES

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## **3.1 REGISTRATION**

### **3.1.1 REGISTRATION AND LOGBOOKS**

An application form for the Local Cave and Mine Leader Assessment (LCMLA) Scheme can be obtained by contacting the Training Administration Service Provider or downloading one from the National Caving Association (NCA) web site, see Part 7.

The completed application form should be sent with the current registration fee to the Training Administration Service Provider, see Part 7 for address. The registration fee covers the administration costs of Level 1 and Level 2 assessments. It does not cover the subsequent addition of other sites and areas, revalidation or the Cave Instructor Certificate (CIC) Scheme. Neither does the registration fee cover the cost of Trainer / Assessors' services.

There is no lower age limit on registration or gaining prior experience. There is, however, an age limit on progressing through the scheme, see Part 3.2.2.2.

### **3.1.2 LOGBOOK**

a) On registration the applicant will be given a logbook and registration number, which should be referred to in all correspondence. A complete logbook contains the following sections:

- Section 1A LCMLA Enrolment (printed on yellow paper)
- Section 2 Related Qualifications and Experience
- Section 3 Experience Record
- Section 4A Training Record
- Section 4B Assessment Record
- Section 5 LCMLA Award (printed on blue paper)

b) A newly issued logbook will contain a completed Section 1A plus blank Sections 2 and 3 along with an index and a preface describing the scheme. Trainer / Assessors will issue a Section 4 following successful completion of a training course or an assessment. On successful completion of the award, the Training Officer will issue a Section 5 LCMLA Award.

c) Candidates with considerable experience, perhaps going back over many years, may find it difficult to give exact details. Candidates should attempt to demonstrate their breadth and depth of experience with the more historic experience summarised. Multiple entries of trips to the same cave or mine with similar groups may also be summarised. Only the most recent experience should be included in more detail.

d) Additional Section 3 Experience Record pages may be obtained from the Training Administration Service Provider, photocopied or downloaded from the NCA web site.

e) If a candidate subsequently registers on the CIC Scheme, an additional Section 1B Enrolment will be issued printed on pink paper.

### **3.1.3 SYLLABUS**

A copy of this Handbook which includes the LCMLA syllabus at Part 2, can be downloaded from the NCA web site. Copies may also be obtained from the Training Administration Service Provider on payment of a charge to cover printing costs and postage.

### **3.1.4 LEAFLETS**

*Protect Our Caves, Bats Underground, Weil's Disease and Cave Conservation Policy – Summary* are normally sent out with registration forms. Further copies may be obtained by sending a stamped self-addressed envelope to the Training Administration Service Provider.

### **3.1.5 SPELEOSCENE**

A copy of *SPELEOscene*, the NCA newsletter, is sent out with the logbook. *SPELEOscene* is a source of up-to-date information about the scheme, access changes etc. All candidates are encouraged to obtain the publication regularly. It is obtainable from some shops or by subscription, see Part 7.

### **3.1.6 MEDICAL CONDITIONS**

Caving is a strenuous activity and emergency situations (e.g. carrying out a hoist on a climb or pitch) can be both physically and mentally exhausting. It is the responsibility of an LCMLA leader to ensure that he/she is physically able to carry out any anticipated and unforeseen roles in caring for their groups/clients. Medical advice should be sought if a condition or disability may limit the ability of a candidate to perform these roles. During training or assessment it is essential that candidates do not put themselves or others at risk and therefore must notify the Trainer / Assessor of any condition which may significantly affect their caving activities.

## **3.2 TRAINING**

### **3.2.1 INTRODUCTION**

A training course is a compulsory part of the LCMLA Scheme at both Level 1 and Level 2. There are no compulsory training courses for the optional Modules 5 and 6.

### **3.2.2 PREREQUISITES**

#### **3.2.2.1 Prior Experience**

##### **a) Level 1**

In order to gain the maximum benefit from a training course, the requirement is that the candidate is personally competent in cave and mine exploration.

The minimum experience prior to undertaking a Level 1 training course is 12 cave or mine exploration trips.

Candidates with less than 12 trips experience can be accepted on specially designed courses. However the Training Record issued to the candidate at the end of the course should note this fact and advise the candidate that more training may be required before assessment.

##### **b) Level 2**

The requirement is that the candidate has done some vertical caving and has completed a Level 1 training course.

##### **c) Right of Refusal**

The Trainer / Assessor shall have the right to refuse attendance on a training course if the candidate has insufficient experience. The candidate shall have a right of appeal to the Training Officer.

#### **3.2.2.2 Minimum Age**

Candidates must be over 18 years old to undertake a Training Course.

### **3.2.3 ATTENDING A TRAINING COURSE**

#### **3.2.3.1 Finding a Training Course**

a) The candidate can attend a training course in any area, as they are not area specific.

b) The course must be run by an NCA approved Trainer / Assessor. A list of Trainer / Assessors is in Part 7. A current list may also be found on the NCA's web site or can be obtained from the Training Administration Service Provider. Details of some forthcoming training courses are advertised in *SPELEOscene*, on the NCA's web site and elsewhere. In addition, the Training Administration Service Provider and the Area Liaison Officer will be aware of forthcoming training courses.

- c) The candidate should advise the Trainer / Assessor if the candidate has any medical problems that may affect their own or other persons' safety.
- d) The candidate should be advised by the Trainer / Assessor, preferably in writing, of the basic details of the course.

### **3.2.3.2 Duration of Level 1 and 2 Training Courses**

The minimum requirements are 2 days (16 hours) for each course. At least 6 hours should be spent underground. Trainer / Assessors may take into account appropriate vertical rope work qualifications held by candidates and reduce the duration of Level 2 training courses e.g. Mountain Leader Training Board, Mountain Instructor Assessment.

### **3.2.3.3 Size of Course**

There are no minimum numbers but Trainer / Assessors should take account of the benefits of discussion possible in larger groups and the difficulties of finding suitable underground venues for larger groups at Level 2. There is no maximum size for a course but conservation and access requirements may place restrictions on the use of venues.

### **3.2.3.4 Ratios of Candidates to Trainer / Assessors**

The ratio of Trainer / Assessors to candidates is as follows:

- Level 1 maximum – 6 candidates: 1 Trainer / Assessor
- Level 2 maximum – 4 candidates: 1 Trainer / Assessor

It may however be desirable to work in smaller groups. If the number of candidates is exceeded the number of Trainer / Assessors will need to be increased at the above ratio. Courses run which exceed the above ratios will not be recognised by NCA.

## **3.2.4 EXEMPTION FROM TRAINING**

a) Candidates with exceptional experience may apply for an exemption from training. No exemption will be given to persons under the age of 18. The criteria for exemption are that the candidate should have suitable and sufficient recent experience of relevant caving or mine exploration and leadership.

b) If applying for exemption from Level 1 training course only, a guide to suitable and sufficient recent experience is:

- Caving for a period of over 3 years, and
- At least 60 caving trips, of which:
  - At least 20 were as the leader (under supervision) or assistant leader of a novice group, and
  - At least 40 were sporting trips with peers and self-led, covering at least 25 different sites in at least 2 different regions.

c) If applying for exemption from Level 2 training course only (already holding an LCMLA Level 1 Award), a guide to suitable and sufficient recent experience is:

- Caving for a period of over 3 years, and
- At least 100 caving trips, of which:
  - At least 40 were as the leader (under supervision) or assistant leader of a novice group on trips that included pitches, and
  - At least 60 were sporting trips with peers and self-led, covering at least 25 different sites, involving at least 40 different pitches in at least 2 different regions.

d) Candidates who apply for exemption from a Training Course will not be granted exemptions to combine the assessment of Modules 2 and 4.

e) The candidate should ask the Training Administration Service Provider to send an application form for exemption from training. The candidate should complete the form and get it countersigned by an approved Trainer / Assessor or CIC holder to verify the contents and provide a reference as to the candidate's

competence. The form should be returned to the Training Administration Service Provider with the appropriate non-refundable fee, see Part 7.

f) The application will be assessed by the Technical Training Advice Service Provider who will make a recommendation to the Training Officer. The Training Officer will consider the recommendation. Normally the Training Officer will make a decision but seek post ratification by the National Coordinating Panel. In finely balanced cases, the Training Officer will involve the National Coordinating Panel in the decision-making process. The candidate will be notified of the outcome. The candidate should not apply for assessments until they have been notified of the outcome. If successful, the candidate will receive a Section 4A Training Record, which should be kept in the logbook.

### **3.3 PRE-ASSESSMENT EXPERIENCE**

a) There is no specific requirement for additional experience between training and assessment. The pre-assessment requirement is for sufficient total experience which must include current experience. Candidates are expected to be able to show personal experience in a variety of caves or mines.

b) As a guide, the minimum experience is:

(i) For Level 1:

Caving and/or Abandoned Mine Exploring for a period of over one year at least 30 underground trips, of which a proportion should be as the leader under supervision. The variety of caves or mines should cover two different caving areas, or two different types of Mine (e.g. Metal and Stone), or Mines and Caves.

(ii) For Level 2 an additional:

30 underground trips including vertical pitches, of which a proportion should be as the leader under supervision.

### **3.4 ASSESSMENT**

#### **3.4.1 OVERVIEW**

a) To attain Level 1, a candidate will need to successfully complete the following assessments:

- Complete a written paper prior to attending the practical assessment (candidates may opt to cover this work orally),
- Module 1 on Core Skills,
- Module 2 on Group Leadership, and
- Local Knowledge (usually part of Module 2).

b) To attain Level 2, a candidate will need to have completed Level 1 (or have written permission to combine assessment Modules 2 and 4 and have successfully completed Module 1) and complete the following assessments:

- Complete a written paper prior to attending the practical assessment (candidates may opt to cover this work orally),
- Module 3 on Core Skills,
- Module 4 on Group Leadership, and
- Local Knowledge (usually part of Module 4).

c) There is no minimum or maximum time between training and assessment. However the candidate may not book an assessment until they have completed the training course.

d) Once assessment has been started it must be completed within one year.

### **3.4.2 INITIATING ASSESSMENT**

- a) When the candidate feels that they are ready for assessment they should contact an approved Trainer / Assessor of their choice, see Part 7. The first assessment is the Module 1 or 3 Core / Vertical Skills assessment. These Modules are done first for safety reasons, so that the candidate can prove their personal competence before taking a group caving.
- b) For candidates undertaking the cave option, the Trainer / Assessor for Modules 1 or 3 can be from any Area Panel and the assessment may be done at any appropriate location.
- c) For candidates undertaking the mine option, the practical element of Module 1 is assessed in the area in which the candidate is requesting sites, as well as the Trainer / Assessor coming from that area. However, the Mine Leader Module 3 may be assessed in another area.
- d) Modules 2, 4 and 6 will normally be in the area in which the candidate is requesting sites. It is possible to do Modules 2 or 4 with one Trainer / Assessor and the local vetting with another.
- e) Candidates may undertake Module 5 with any Trainer / Assessor in any appropriate location.
- f) Assessment ratios are:  
1 Trainer / Assessor to 2 candidates for Module 1 or 3 or 5 or 6  
1 Trainer / Assessor to 1 candidate for Module 2 or 4
- g) The contract for each assessment is between the candidate and the Trainer / Assessor. NCA offers no warranty over such contracts and will not enter into any disputes that might arise.
- h) At each assessment level, the candidate must be assessed by different Trainer / Assessors for each module. The Trainer / Assessor who trained the candidate for Level 1 may not assess the candidate for Module 1. The Trainer / Assessor who trained the candidate for Level 2 may not assess the candidate for Module 3.
- i) Candidates should declare to the Trainer / Assessor at the time of application, which modules they wish to be assessed for and if any exemptions from training have been granted.
- j) The Trainer / Assessor will send the candidate a written paper, which should be returned as soon as possible along with a photocopy of the following sections of the logbook
- Section 1A LCMLA Enrolment (printed on yellow paper)
  - Section 2 Related Qualifications and Experience
  - Section 3 Experience Record
  - Section 4 Training and Assessment Records

The original logbook should not be posted.

k) The written paper is completed at home and serves to give the candidate an indication of the overall standard required at assessment, and also the Trainer / Assessor a chance to identify areas of strength and weakness. As the paper is answered at home the Trainer / Assessor will need to verify the depth of understanding of the answers given.

l) The Trainer / Assessor may take into account in the assessment other relevant qualifications as listed in the logbook.

### **3.4.3 THE ASSESSMENT**

#### **3.4.3.1 Prerequisites**

- a) The Trainer / Assessor will confirm that the candidate:
- Is 18 or more years old,
  - Has attended a training course at the appropriate level or gained exemption from training (this should be recorded on a Section 4A Training Record in the logbook), and
  - Has logged sufficient experience.
- b) If the candidate is ready for assessment the Trainer / Assessor will confirm the details of the assessment, preferably in writing.

- c) The candidate will need to bring the following to all assessments:
- Original logbook,
  - Original certificates from other activities being taken as evidence of competence,
  - All personal kit, and
  - Group kit as confirmed by the Trainer / Assessor.
- d) The candidate should advise the Trainer / Assessor if the candidate has any medical problems that may affect their own or other persons' safety.
- e) Candidates should note that they will be assessed on the suitability of the equipment they provide. The candidate should therefore clarify with the Trainer / Assessor exactly what is involved.
- f) The assessment will cover all areas of a Module. Check lists in Part 6 provide a simple reference as to what will be assessed.

#### **3.4.3.2 Modules 1 & 3 – Core & Vertical Skills**

- a) Details of the organisation of the assessment and of the checklist to be used by the Trainer / Assessor are included in Part 6.
- b) The assessment of either module will be mainly practical and will be carried out at a site of the Trainer / Assessor's choice. When running an assessment the Trainer / Assessor will be very pro-active in seeking situations for the candidate to deal with.

#### **3.4.3.3 Modules 2 & 4 – Group Skills, Group Vertical Skills & Local Knowledge**

- a) Details of the organisation of the assessment and of the checklist to be used by the Trainer / Assessor are included in Part 6.
- b) The candidate will need to:
- Organise the whole activity,
  - Arrange for the Trainer / Assessor to see the whole process including kitting up and paperwork,
  - Provide or organise to provide all group kit, and
  - Provide a group of at least 5 novices who should be at a level that is appropriate for the envisaged trip.
- c) The candidate may choose to have an assistant leader or not. If there is an assistant leader the candidate will be assessed on the way the assistant is used. On the other hand if there is no assistant, the candidate will be asked to justify the situation and in particular explain what would happen in the event of an accident.
- d) The candidate is expected to be pro-active and lead the trip. The Trainer / Assessor should only need to observe. The Trainer / Assessor does however have to consider the safety of the group and will take any steps necessary to maintain this, even to the point of stopping the assessment. The Trainer / Assessor will also intervene if the trip is not covering the relevant areas of the syllabus.
- e) The candidate is normally assessed for their local knowledge of the sites for which they are seeking to lead groups during Modules 2 or 4. This must be done by a member of the relevant Area Panel. This assessment is normally done by written paper (completed before hand) and discussion. The candidate will need to make arrangements for the care of the group during the discussion.
- f) If the candidate requires sites from more than one area, then they should contact a Trainer / Assessor from the other area to obtain a separate Assessment Record of local knowledge for those sites, see Part 7 for a list of Trainer / Assessors by area.

#### **3.4.3.4 Module 5 – Leader's SRT Skills**

Details of the organisation of the assessment and of the check list to be used by the Trainer / Assessor are included in Part 6.

### **3.4.3.5 Module 6 – Cave and Mine Transfer**

- a) Details of the organisation of the assessment and of the check list to be used by the Trainer / Assessor are included in Part 6.
- b) The assessment of Module 6 covers the extension of the award to cover both mine and cave leadership skills. Provided the Trainer / Assessor is from the relevant Area Panel, the Module 6 assessment can also cover the assessment of the local knowledge to permit the addition of sites to the award. Otherwise, the candidate should make other arrangements to obtain assessment of the local knowledge.
- c) For candidates undertaking a mine option, the practical element of Module 6 is assessed in the area in which the candidate is requesting sites, as well as the Trainer / Assessor coming from that area.

### **3.4.3.6 Addition of Sites**

Award holders can request the addition of sites to their list at any time. To do this they should contact a Trainer / Assessor from the Area Panel that the sites are in. The form of the assessment is at the discretion of the Trainer / Assessor, depending on the candidate's experience, current list of sites and those sites (s)he wishes to add.

### **3.4.3.7 Combining Assessment Modules**

- a) The combination of Modules 1, 3, 5 and 6 is at the discretion of the Trainer / Assessor.
- b) Exceptional candidates may apply to combine the assessments of Modules 2 and 4. The criteria for combination are that the candidate should have suitable and sufficient recent experience of relevant caving or mine exploration and leadership. As a guide, "suitable and sufficient experience" is:
  - Suitable and sufficient recent experience of vertical caving or mine exploration. This normally means a minimum of 3 years of continuous caving, including at least 100 trips of which at least 50 were sporting trips with peers and self led, covering at least 30 different sites, involving at least 25 pitches in at least three different regions,
  - Suitable and sufficient recent experience of leading groups. This normally means a minimum of 2 years of continuous caving as the leader (under supervision) or assistant leader, of novice groups in at least 3 sites covering a minimum of 50 trips. At least 25 of these should involve pitches.

Candidates who have already been granted exemption from Training Courses will not be permitted to combine Modules 2 and 4.

- c) The candidate should ask the Training Administration Service Provider to send an application form for combining Modules 2 and 4. The candidate should complete the form and get it countersigned by a Trainer / Assessor or CIC holder to verify the contents and provide a reference as to the candidate's competence. The form should be returned to the Training Administration Service Provider with the appropriate non-refundable fee, see Part 7.
- d) The application will be assessed by the Technical Training Advice Service Provider who will make a recommendation to the Training Officer. The Training Officer will consider the recommendation. Normally the Training Officer will make a decision but seek post ratification by the National Coordinating Panel. In finely balanced cases, the Training Officer will involve the National Coordinating Panel in the decision making process. The candidate will be notified of the outcome. The candidate should not apply for assessments until they have been notified of the outcome. If successful, the candidate will receive a Training Record, which should be kept in the logbook.

## **3.4.4 ASSESSMENT OUTCOMES**

- a) At the end of the assessment the Trainer / Assessor will advise the candidate whether they have Passed, Failed or been Deferred.
- b) The Trainer / Assessor will give feedback at the end of the assessment on the candidate's performance and help the candidate plan the next stage of their progression through the award.
- c) If the candidate has either passed or failed on the day, then they will be given or sent a completed Assessment Record as soon as possible.

d) A candidate can be deferred if the Trainer / Assessor requires supplementary information or requires more time to review the evidence before making a decision. A Trainer / Assessor may also defer a candidate who has not come up to standard in one or two areas but the Trainer / Assessor is able to take on the reassessment of these skills at a later date. When a Trainer / Assessor defers a candidate, they will agree an action plan with the candidate and confirm this in writing. The Trainer / Assessor should keep a copy to refer to when the candidate is being reassessed.

e) In the case of deferral the Trainer / Assessor will not issue an Assessment Record until they are satisfied the candidate is up to standard. The date by the signature will then be the date the candidate was finally up to standard.

#### **3.4.5 APPLYING FOR THE AWARD**

The candidate will receive an Assessment Record for the assessment of each Module. When all of the Modules required for a given Level have been completed and Trainer / Assessors have submitted all Assessment Records to the Training Administration Service Provider, the Training Administration Service Provider will organise the issue of the award.

#### **3.4.6 HOLDING AN AWARD**

a) The award is only valid for three years from the date the last practical assessment was successfully completed, the “Valid From” date. The candidate will have to revalidate after three years if they wish to maintain the validity of the award.

b) The award is also only valid if the holder possesses a valid First Aid certificate and has been caving or mine exploring within the last 18 months.

c) If the candidate should fail to meet the above criteria the NCA will consider the award to be invalid until the situation is rectified. Time limits apply, see Part 3.6 on Revalidation. The NCA will not make any judgement on the competency of anyone who is not an award holder.

d) The LCMLA Scheme is not intended for persons seeking to assess the competence of others to lead parties in caves or mines.

#### **3.4.7 FEES**

The registration fees cover the issue of the Level 1 and 2 awards. NCA charges an administration fee for any other issue of an award, see Part 7. This fee is separate from the Trainer / Assessor’s charges for an assessment. Candidates are encouraged to submit several additions and/or other changes at the same time, since this will only require a single administration fee. This grouping can also include revalidation.

### **3.5 OPERATING AS A LEADER**

#### **3.5.1 MAINTAINING CAVING ACTIVITY**

The LCMLA Award Holder shall maintain a level of caving activity. Lack of regular caving experience for a period of 18 months or more should be taken as invalidating the award.

#### **3.5.2 FIRST AID CERTIFICATES**

a) Suitable First Aid course should take account of the remoteness involved in underground trips. It is therefore recommended that candidates try to attend First Aid courses aimed at outdoor activities or if possible caving.

b) The First Aid course should have a minimum of 16 hours duration and include an element of assessment. The certificate should have a 3 year duration.

#### **3.5.3 CONSERVATION AND ACCESS**

a) The continued use of sites is totally dependent upon leaders operating in a considerate and professional manner. NCA’s Conservation and Access policy statement requires that sites should be assessed to identify the appropriate maximum party size. Access agreements and Cave Conservation Plans may stipulate a minimum and/or a maximum party size. In the absence of such an assessment, the leader must make a judgement on acceptable party size that is unique to every group and every site. In addition to the safety

of the group and quality of the experience, the attitude and ability of the party, as well as the presence of an assistant, are as significant as the presence of potential sensitive areas within the site, in making the judgement.

b) Leaders should also comply with other requirements of any access agreement in force on the site.

#### **3.5.4 INSURANCE**

All cave and mine leaders are strongly recommended to get their own personal liability and professional indemnity insurance or ensure they are covered by their employer's scheme. NCA does not offer such insurance and the holding of a NCA award does not confer any such insurance.

#### **3.5.5 WORKING WITH UNDER 18s**

Anyone charging to take under 18s underground will probably need to hold an Adventure Activities Licensing Authority (AALA) licence or be working for someone who holds such a licence. The AALA can advise on applying for a licence.

#### **3.5.6 EXPLORATION OF ABANDONED MINES**

There is a requirement to have abandoned mines inspected for use by led groups. For further information, award holders should consult the relevant Area Liaison Officer or the Technical Training Advice Service Provider.

### **3.6 REVALIDATION**

#### **3.6.1 OVERVIEW**

a) The objectives of revalidation are:

- Ensure that award holders remain active both as leaders and as explorers,
- Techniques used by award holders remain appropriate and are up to date,
- Encourage current award holders to progress within the scheme, and
- Enable Area Panels to gain feedback from award holders on the operation of the scheme.

b) An award holder is required to revalidate every 3 years. Without revalidation the award ceases to be valid. NCA cannot give an opinion as to the competence of someone whose award has expired in the same way as it cannot give an opinion on someone who has not been assessed. It is recommended that an award holder whose award is out of date, should consider their position with regard to the expectations of the following:

- the Adventure Activities Licensing Authority,
- their own or employers liability insurance,
- Local authorities, parents, schools, and
- the legal position.

#### **3.6.2 STANDARD REVALIDATION**

a) The Standard Revalidation runs for an additional three years from the "Valid Until" date on the original award or on an award issued following a leadership development revalidation. The award "Valid From" date can be reset by taking a Module with a practical element. The award does not run from the date of achieving the Standard Revalidation. There is therefore no loss of time by revalidating early. The candidate may revalidate up to one year prior to the "Valid Until" date.

b) The onus is on the candidate to apply to an approved Trainer / Assessor for Revalidation.

c) The candidate should contact a Trainer / Assessor from the Area Panel that covers their list of sites. If the list covers more than one area, the candidate can choose a Trainer / Assessor from any area on the candidate's list. Revalidation can be an opportunity to add sites in the same area to their list at no additional cost. If the candidate wants to add sites in another area altogether, they should contact a Trainer / Assessor from the new area.

d) The Trainer / Assessor will ask for a copy of logged experience and the last award. The minimum experience required is as follows:

- 6 trips leading groups in caves reflecting a cross section of the difficulty of the caves on the candidates list, and
- 6 different personal exploration trips (they may be repeats of trips done in the previous 3 year period).

For Level 2 Awards, the number of trips is increased to 10 each, some of which may be experience at Level 1.

e) The Trainer / Assessor will, on the basis of the extent of the continued experience, make a judgement on the extent and nature of the revalidation process. The Trainer / Assessor may also cover assessment of any requested additions of sites which are in the Trainer / Assessor's area.

f) The candidate will be advised of the Trainer / Assessor fees and may be asked to include the NCA administration fee, see Part 7, at the same time.

### **3.6.3. LEADERSHIP DEVELOPMENT REVALIDATION**

#### **3.6.3.1 Overview**

a) After 6 years from gaining the award and having undergone a Standard Revalidation, the award holder is required to undertake a "Leadership Development Revalidation". This Leadership Development Revalidation may again be taken up to one year prior to the "Valid Until" date without loss of time or may be used to "reset the clock" if the candidate's award is past its "Valid Until" date. (See 3.6.4 if no Standard Revalidation has been undertaken.)

b) The Leadership Development Revalidation can be done in any of the following ways:

- Attend a leadership development revalidation workshop run by an approved Trainer / Assessor,
- Attend a training course run by an approved Trainer / Assessor who has agreed that the course can also be used for revalidation,
- Do a practical underground assessment or partial assessment at any level of the LCMLA or Cave Instructor Certificate Schemes.

c) The candidate should make enquiries to the Area Liaison Officer or a Trainer / Assessor for details of available Leadership Development Revalidation workshops.

d) The Trainer / Assessor will ask for a copy of logged experience and the last award, together with an indication of the candidate's aspirations within the scheme. The candidate should advise the Trainer / Assessor if the candidate has any medical problems that may affect their own or other persons' safety.

e) The minimum experience required is as follows:

- 6 trips leading groups in caves reflecting a cross section of the difficulty of the caves on the candidates list, and
- 6 different personal exploration trips (they may be repeats of trips done in the previous 3 year period).

For Level 2 Awards, the number of trips is increased to 10 each, some of which may be experience at Level 1.

f) The Trainer / Assessor should review the information submitted and take it into account in organising the Leadership Development Revalidation.

#### **3.6.3.2 Leadership Development Revalidation Workshop**

a) Leadership Development Revalidation Workshops are run either by the Area Panel or individual Trainer / Assessors. The Area Liaison Officer should be able to advise the candidate what is happening in their area.

b) The course must be run by an approved Trainer / Assessor who is present at all times. A ratio of 1 Trainer / Assessor per 6 candidates must be maintained. Other appropriate speakers can be used but cannot be included in the ratio. There is no minimum or maximum size course.

c) The workshop must include the following elements:

- An update on developments including, as appropriate, equipment, developments in legal requirements and NCA policies,

- Local issues, and
  - A practical training element which reflects the candidate's aspirations within the scheme or any competencies that the Trainer / Assessor considers may be weak, in the light of reviewing the candidate's logged experience.
- d) The workshop should normally last 8 hours, which may be run as several sessions.
- e) The candidate will be advised of the Trainer / Assessor fees and may be asked to include the NCA administration fee (see Part 7) at the same time.

### **3.6.3.3 Training Course used for Revalidation**

- a) Any of the following training courses may be used:
- Level 1 training,
  - Level 2 training,
  - Module 5 training,
  - Module 6 training, or
  - Any CIC training (see CIC syllabus).
- b) Provided that the following criteria are met:
- The course is run by an approved Trainer / Assessor,
  - The Trainer / Assessor has agreed to review the candidate's logbook and do a standard revalidation in addition to the training course,
  - The duration of the course is at least 8 hours, and
  - The Trainer / Assessor considers the course is appropriate to the candidate's Leadership Development needs.
- c) The Trainer / Assessor will issue a Training Record in the normal way for the module, together with an Assessment Record.
- d) The candidate will be advised of the Trainer / Assessor fees and may be asked to include the NCA administration fee (see Part 7) at the same time.

### **3.6.3.4 Practical Underground Assessment**

- a) Any practical underground assessment module can be used e.g.:
- LCMLA Modules 1 to 6,
  - Cave Instructor Certificate modules, or
  - Additional sites and areas (only if a practical underground assessment is required).
- b) Provided that the following criteria are met;
- The module is run by an approved Trainer / Assessor,
  - The Trainer / Assessor has agreed to review the candidate's logbook and do a standard revalidation in addition to the training course, and
  - The Trainer / Assessor considers the module is appropriate to the candidate's Leadership Development needs.
- c) The Trainer / Assessor will issue an Assessment Record in the normal way for the module, together with a separate Assessment Record covering the revalidation.
- d) The candidate will be advised of the Trainer / Assessor fees and may be asked to include the NCA administration fee (see Part 7) at the same time.

### **3.6.4 REVALIDATION AFTER THE "VALID UNTIL" DATE**

- a) The Trainer / Assessor shall confirm that the candidate has achieved the minimum level of experience.
- b) If candidates have not revalidated after 3 years from the "Valid From" date, but is not yet due for the leadership development revalidation 6 years after the "Valid From" date, they may either:

- Do a standard revalidation for the remainder of the period until 6 years after the original “Valid From” date, or
- Do a Leadership Development Revalidation, which will reset the “Valid From” and “Valid Until” dates and will make the next revalidation after this 3 year period a standard revalidation.

c) If the candidate has not had some form of revalidation for more than 6 years since the original “Valid From” date, then the candidate will need to do a reassessment. In such cases the candidate shall undertake a reassessment, which should cover the full range of the syllabus for the relevant level of the award with an approved Trainer / Assessor.

d) The candidate will be advised of the Trainer / Assessor fees and may be asked to include the NCA administration fee (see Part 7) at the same time.

### **3.6.5 EVIDENCE OF REVALIDATION**

a) On successful completion of revalidation, the Trainer / Assessor will send the candidate an Assessment Record.

b) The candidate should send the Training Administration Service Provider the NCA administration fee or give it to the Trainer / Assessor. The Trainer / Assessor will send a copy of the completed Assessment Record and administration fee (if submitted) to the Training Administration Service Provider.

c) The Training Administration Service Provider will organise the issue to the candidate of a new Section 5 LCMLA Award.

## **3.7 DOWNGRADING QUALIFICATION**

If the holder of a NCA award feels they are unable to meet the requirements of revalidation, then they are entitled to revalidate to a lower award according to the revalidation requirements of that award. If they have allowed their award to lapse then Part 3.6.4 or Part 3.8 will apply.

## **3.8 ANOMALIES**

a) No document can be sufficiently thorough to cover every eventuality. If there is a good reason for doing something non-standard, the candidate may apply to the Technical Training Advice Service Provider in writing for approval.

b) The application will be assessed by the Technical Training Advice Service Provider who will make a recommendation to the Training Officer. The Training Officer will consider the recommendation. Normally the Training Officer will make a decision but seek post ratification by the National Coordinating Panel. In finely balanced cases, the Training Officer will involve the National Coordinating Panel in the decision making process. The candidate will be notified of the outcome. The candidate should not apply for assessments until they have been notified of the outcome. If successful the candidate will receive a Training Record, which should be kept in the logbook and sent in with relevant Assessment Records when requesting an award.

c) In the absence of a Technical Training Advice Service Provider, then the candidate should consult with the Training Officer who will organise alternative arrangements. If the Training Officer is also absent, then the candidate should approach a member of NCA’s Executive who will undertake to resolve the situation.

## **3.9 APPEALS**

All candidates have the right of appeal against any decision. In the first instance, the candidate should discuss the decision with the Training Officer, or if the decision involves the Training Officer, with a member of the NCA’s Executive.

# PART 4

## NOTES FOR TRAINER / ASSESSORS

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## **4.1 ACHIEVING TRAINER / ASSESSOR STATUS**

### **4.1.1 OVERVIEW**

#### **4.1.1.1 Prior Qualification**

a) All approved Trainer / Assessors for the Local Cave and Mine Leader Assessment (LCMLA) Scheme should be holders of the Cave Instructors Certificate (CIC). Trainer / Assessors who are involved in mine assessments also need to show competence in the exploration of abandoned mines. This may be done by holding either a Mine Level 1, Module 1, Core Skills assessment or Mine Transfer Module in the area they assess for, as well as listed sites of 2 different types of mining.

b) There are a few exceptions, which fall into 2 categories:

(i) Those persons appointed when the scheme was started because:

- There was a shortage of suitably qualified personnel in the area, or
- The person had been an integral part of the previous regional schemes.

(ii) Those persons with specialist knowledge of special sites or special techniques. Such persons may have restricted status as an assessor or trainer.

#### **4.1.1.2 LCMLA Trainer / Assessors Level 1**

Trainer / Assessors registered for Level 1 can run training, assessment and revalidation courses for Level 1 Modules 1, 2 and 6 in any area where there are suitable sites, subject to the following conditions

- Assess local knowledge for the areas for which they are panel members.
- Run Level 1 revalidations for candidates who have sites listed in the Trainer / Assessor's Panel Area. (They may also run revalidations for candidates who are taking the opportunity of revalidation to extend their list of sites to the area covered by the Trainer / Assessor's panel. In such a case the candidate should have successfully completed the question paper, which forms the first part of "Adding Sites or Areas to Existing Qualifications", see Part 4.3.5.)
- Assess the local knowledge for sites within their area that they have a sound personal knowledge of. This is a matter for the Trainer / Assessor's personal integrity and mutual agreement by the Area Panel.
- Assess cave or mine core skills and assess Module 6 transfers if they themselves possess that cave or mine specific qualification or better. (NB The CIC award does not by itself denote the suitability of the holder to assess mine related skills.)

#### **4.1.1.3 LCMLA Trainer / Assessors Level 2**

Trainer / Assessors registered for Level 2 can run training, assessment and revalidation courses for Level 1 Modules 1, 2 and 6 and Level 2 Modules 3 and 4 and also Module 5 in any area where there are suitable sites, subject to the following conditions:

- Assess local knowledge for the areas for which they are panel members.
- Run Level 1 or 2 revalidations for candidates who have sites listed in the Trainer / Assessor's Panel Area. (They may also run revalidations for candidates who are taking the opportunity of revalidation to extend their list of sites to the area covered by the Trainer / Assessor's panel. In such a case the candidate should have successfully completed the question paper, which forms the first part of "Adding Sites or Areas to Existing Qualifications", see Part 4.3.5.)
- Assess the local knowledge for sites within their area that they have a sound personal knowledge of. This is a matter for the Trainer / Assessor's personal integrity and mutual agreement by the Area Panel.
- Assess cave or mine core skills and assess Module 6 transfers if they themselves possess that cave or mine specific qualification or better. (NB The CIC award does not by itself denote the suitability of the holder to assess mine related skills.)

#### **4.1.1.4 Specialist**

Who does not hold a CIC award and is restricted to roles specified when appointed by the Training Committee.

#### **4.1.1.5 Probationary Trainer / Assessor**

Who can assist a fully qualified Trainer / Assessor at the level of the full status Trainer / Assessor but cannot work unsupervised or sign Section 4 records.

### **4.1.2 APPLICATION TO BECOME A LEVEL 1 OR 2 TRAINER / ASSESSOR**

- a) Any one wishing to become a Trainer / Assessor should apply to the Training Administration Service Provider for an appropriate form. The Training Administration Service Provider will check that the applicant meets the criteria and endorse the form to say this has been done, before issuing the form to the applicant.
- b) The completed form, including a reference from a current Trainer / Assessor, should be submitted to the Area Liaison Officer for the relevant area. The Area Liaison Officer should raise the issue at the next Area Panel meeting.
- c) The Area Panel should take into account the qualifications and local knowledge of the applicant as well as considering whether there is a need for more Trainer / Assessors in that area.
- d) If the Area Panel accepts the application, the Area Liaison Officer should inform the National Coordinating Panel and the Training Administration Service Provider. Whatever the outcome the applicant will be informed. The Training Administration Service Provider will invoice the successful applicant for the annual Probationary Trainer / Assessor fee, see Part 7. The annual probationary fee will become due every January 1<sup>st</sup>, irrespective of when the first payment is made.
- e) On receipt of this fee, the Training Administration Service Provider will send a “Record of apprentice observations and assessments” form and enter the candidate on the database as a “Probationary Trainer / Assessor”.
- f) Applicants may appeal direct to the Training Officer if they feel that they have been unfairly treated, see Part 4.5.

### **4.1.3 PROBATION**

a) Probationary Trainer / Assessors are required to satisfactorily complete a training and assessment process in addition to mirroring all the other requirements of a Trainer / Assessor, to maintain their status. The training and assessment process for a LCMLA Trainer / Assessor consists of:

#### **(i) LCMLA LEVEL 1**

Attend two complete training courses, working under the direction of an approved Trainer / Assessor.

Attend a Module 1 assessment as an apprentice/observer.

Attend a Module 2 assessment as an apprentice/observer.

Arrange to be observed whilst conducting the assessment of a candidate undertaking a Module 1 assessment.

#### **(ii) LCMLA LEVEL 2**

Attend one complete training course, working under the direction of an approved Trainer / Assessor.

Attend a Module 3 assessment as an apprentice / observer.

Attend a Module 4 assessment as an apprentice / observer.

Arrange to be observed whilst conducting the assessment of a candidate undertaking a Module 3 assessment.

Although the probationary Trainer / Assessor will have conducted some of the assessments, the approved Trainer / Assessor observer will sign the logbook Section 4B Assessment Record to confirm their adequacy. If necessary, the approved Trainer / Assessor observer will take steps to ensure that the assessment achieves an appropriate standard to ensure that the candidate being assessed is subject to a fair assessment.

- b) The probationary Trainer / Assessor is expected to take an active part in an assessment even when observing. The approved Trainer / Assessor will have to assess both the LCMLA candidate and the probationer during the assessment. For these reasons, the probationary Trainer / Assessor is not included in the Trainer / Assessor to candidate ratio.
- c) The probationer must work with at least two different approved Trainer / Assessors.
- d) The approved Trainer / Assessor observer should only sign the “Record of apprentice observations and assessments” if they are satisfied with the conduct of the probationary Trainer / Assessor.
- e) The payment of fees by the candidate being assessed for the issue of an Assessment Record and the probationary Trainer / Assessor are a matter for resolution between the probationary and approved Trainer / Assessors. The resolution of the payment of fees is not a matter for NCA.
- f) On successful completion of the “Record of apprentice observations and assessments”, the probationary Trainer / Assessor should send the form to the relevant Area Liaison Officer and retain a copy. The Area Liaison Officer will then nominate the candidate and present the paperwork at the next National Coordinating Panel meeting. If approved Trainer / Assessor status is recommended by the National Coordinating Panel, the Training Officer will take the matter to the Training Committee for ratification. The Training Officer will then advise the Training Administration Service Provider and the candidate of the outcome.
- g) The applicant may not operate as a Trainer / Assessor until the Training Officer has informed the applicant in writing of their approved status.
- h) The probationary Trainer / Assessor may complete the steps in any order they like including Levels 1 and 2. The probationary Trainer / Assessor must attain approved Trainer / Assessor status for at least Level 1, within 3 years. If a probationary Trainer / Assessor fails to achieve approved Trainer / Assessor status within 3 years from being accepted as a probationary Trainer / Assessor, the probationary status may be withdrawn, subject to review by the Area Panel.
- i) Once a probationary Trainer / Assessor has achieved approved Trainer / Assessor status at any level or type, then she or he may undertake more training and assessment to achieve further levels and types of assessment. There is no time limit to achieving higher Trainer / Assessor status.

#### **4.1.4 APPLICATION BY AN EXISTING TRAINER / ASSESSOR TO BECOME A TRAINER / ASSESSOR FOR ANOTHER AREA**

- a) Only an approved Trainer / Assessor may apply to become a Trainer / Assessor for another area. The applicant should in the first instance discuss with the Area Liaison Officer of the other area, the needs of that area and the manner in which the applicant can demonstrate their competence to train or assess in the additional area. Normally, the applicant’s existing approval status (i.e. Level 1 or Level 2) will be taken as being sufficient for the new area and the focus of determining competence will be on ensuring that the applicant has sufficient local knowledge to be able to properly assess LCMLA candidates’ applications for sites.
- b) The Area Liaison Officer should confirm with their Area Panel what process should be followed by the applicant and this should be recorded. The applicant should fulfil the process and return the written evidence to the Area Liaison Officer, and retain a copy.
- c) The Area Liaison Officer will then nominate the candidate and present the paperwork to the next National Coordinating Panel meeting. If approved Trainer / Assessor status is recommended by the National Coordinating Panel, the Training Officer will take the matter to the Training Committee for ratification. The Training Officer will then advise Training Administration Service Provider and the candidate of the outcome.
- d) The applicant may not operate as a Trainer / Assessor until the Training Officer has informed the applicant in writing.

#### **4.1.5 APPLICATION TO BECOME A SPECIALIST TRAINER / ASSESSOR**

- a) Specialist Trainer / Assessors are people with specialist knowledge that falls outside of the area covered by CIC assessment. This is particularly true for abandoned mine exploration where qualifications such as “Pit Deputy” or Mine Engineer may be appropriate. Also, in areas with very few underground sites or when sites are remote from the main area, there may be a need for Trainer / Assessors with specialist local knowledge.
- b) Applicants for Specialist Trainer / Assessor status will in the first instance, discuss their position with the Area Liaison Officer for the area. The applicant must produce a written statement of their experience and any appropriate awards, which make them suitable for the Specialist status. A CIC holder should endorse the statement.
- c) The Area Liaison Officer in discussion with the Area Panel, will define the role that the Specialist Trainer / Assessor will undertake, an assessment of how the applicant meets that justification and a written process for the applicant to achieve Specialist status. These documents should be sent to the Technical Training Advice Service Provider for assessment, who will advise the Area Liaison Officer on the acceptability of the application.
- d) The Area Liaison Officer will take the application to the next meeting of the National Coordinating Panel for endorsement of the process and forward the documentation to the Training Administration Service Provider for records. The National Coordinating Panel Chairman will inform the Training Officer, the applicant and the Area Liaison Officer of the outcome of the National Coordinating Panel deliberation.
- e) The applicant should then undertake the process and produce written evidence of achieving the process. The applicant should fulfil the process and return the written evidence to the Area Liaison Officer, retaining a copy themselves.
- f) The Area Liaison Officer will then nominate the candidate and present the paperwork to the next National Coordinating Panel meeting. If approved Specialist Trainer / Assessor status is recommended by the National Coordinating Panel, the Training Officer will take the matter to the Training Committee for ratification. The Training Officer will then advise Training Administration Service Provider and the candidate of the outcome.
- g) The applicant may not operate as a Specialist Trainer / Assessor until the Training Officer has informed the applicant in writing and the applicant has paid the Trainer / Assessor annual fee.

## **4.2 MAINTAINING TRAINER / ASSESSOR STATUS**

### **4.2.1 REQUIREMENTS**

It is imperative that Trainer / Assessors maintain up to date competence. To do this they are required to do the following:

- Maintain a valid Cave Instructor Certificate (or other relevant award),
- Attend a one day Trainer / Assessors’ workshop at least every other year,
- Abide by the NCA Trainer / Assessor agreement,
- Maintain appropriate public liability and professional indemnity insurance cover,
- Attend at least one meeting per year, of each Area Panel of which they are a member,
- Abide by any policies adopted by NCA, and
- Pay the annual registration fee to NCA.

### **4.2.2 TRAINER / ASSESSOR WORKSHOPS**

#### **4.2.2.1 Overview**

- a) Trainer / Assessors are required to attend one workshop every other year to maintain their approved status. The workshop is of one day duration and is not area specific. Workshops will be held in each area on a nominal rotational basis. The workshop will be held in an appropriate “meeting room” venue, with access to flip charts, overhead projectors, etc. The workshop may also contain practical elements either above or below ground if the points under discussion are best dealt with in that way.

b) There may be additional caving trips run by the Area Panel. These will be the evening before or the day before or day after a workshop. The additional caving trips are not compulsory either on the part of the Area Panel running the workshop or the Trainer / Assessors attending the workshop.

c) The running of Trainer / Assessor workshops is the joint responsibility of the Area Liaison Officer, or another panel member nominated by the Area Panel, of the area concerned and the Technical Training Advice Service Provider.

d) The purpose of Trainer / Assessor Workshops is as follows:

- Achieve uniform standards across the country,
- Highlight problems Trainer / Assessors are having running the scheme and suggest solutions,
- Inform Trainer / Assessors of recent changes in NCA policy,
- Discuss ideas for improving and developing the scheme, and
- Exchange of ideas about providing training and assessment.

e) The conclusions from every workshop shall be documented by the responsible Panel Member and presented to the National Coordinating Panel. The Training Officer is responsible for ensuring that the conclusions are circulated to all assessors on at least an annual basis.

f) It should be noted that workshops can only make proposals to the National Coordinating Panel, they have no formal power to implement change.

#### **4.2.2.2 Responsibility of the National Coordinating Panel**

The National Coordination Panel should:

- Ensure even distribution of dates around regions,
- Suggest topics for debate over the 2 year cycle, and
- Organise the payment of the facilities used by the workshop but this does not cover personal expenses.

#### **4.2.2.3 Responsibility of the Area Liaison Officer or Nominated Person**

The Area Liaison Officer, or panel member appointed in their place, with the help of the Panel will need to do the following:

- Liase with the National Coordinating Panel and the Technical Training Advice Service Provider to book a venue and fix a date (this should be done in October / November for the following year),
- Inform the Training Administration Service Provider for inclusion in the December letter to all Trainer / Assessors,
- Provide the Training Administration Service Provider and Technical Training Advice Service Provider with details of the event,
- Deal with all enquiries about the workshop and be able to send out details of the event and how to get there,
- Identify local accommodation for Trainer / Assessors attending the workshop, usually of the caving hut variety,
- Take an attendance list and forward it to the Training Administration Service Provider after the event, keeping a copy,
- Collect in monies, settle expenses and present an account to the Training Officer,
- Ensure that the conclusions from every workshop shall be documented and presented to the National Coordinating Panel,
- Ensure an attendance record is sent to the Training Administration Service Provider, and
- Ensure that the workshop is chaired.

#### **4.2.2.4 Responsibility of the Technical Training Advice Service Provider**

The Technical Training Advice Service Provider should prepare the agenda for all workshops in a 2 year cycle to include:

- Topics for discussion (which will remain the same for 2 years and then be completely replaced, following consultation with Trainer / Assessors),
- Changes in policy which need to be disseminated (which will need to appear on the agenda as they arise and remain there for a period of 2 years),
- Educational points about new developments and equipment (which will need to appear on the agenda as they arise and remain there for a period of 2 years),
- Administration details (which will need to appear on the agenda as they arise and remain there for a period of 2 years),
- Arrange for a suitable representative to attend the workshop and make a presentation,
- Either chair the workshops or provide the Area Liaison Officer with the information to do so,
- Correlate the feelings and conclusions of workshops and forward to the National Coordinating Panel for discussion, and
- Liaise with the Training Officer and or the NCA Treasurer regarding financial aspects.

#### **4.2.2.5 Responsibility of the Training Administration Service Provider**

The Training Administration Service Provider shall:

- Keep records of attendance,
- When informed, publicise forthcoming workshops via *SPELEOscene* and NCA's web site, and
- Advise the Training Officer of those Trainer / Assessors who do not fulfil the requirements.

#### **4.2.3 TRAINER / ASSESSOR AGREEMENT**

a) The Trainer / Assessor agreement is sent to all Trainer / Assessors on achieving probationary status. The agreement is normally updated annually and sent out with the request for fees. Whilst it is **NOT** a contract of employment between NCA and the Trainer / Assessor, it is a statement of the expectations that NCA has of all Trainer / Assessors.

b) A copy of the current agreement is in Part 6.

#### **4.2.4 REMOVAL OF TRAINER / ASSESSOR STATUS**

a) An approved or probationary Trainer / Assessor may resign by advising the Training Administration Service Provider in writing.

b) NCA may remove the approved or probationary status if the person fails to comply with the requirements of that status, subject to a right of appeal, see Part 4.5.

c) Any Trainer / Assessor unable to comply, should write to the Technical Training Advice Service Provider stating the reasons and giving an action plan of how they intend to rectify the situation. The Technical Training Advice Service Provider may accept the plan and may allow the Trainer / Assessor to continue to operate. The Technical Training Advice Service Provider will confirm this in writing and copy the letter to Training Administration Service Provider. The Technical Training Advice Service Provider will ask for such concessions to be considered on an individual basis at the next National Coordinating Panel meeting. The National Coordinating Panel may change the decision made by the Technical Training Advice Service Provider, in which case they will inform the Technical Training Advice Service Provider, who will inform the Trainer / Assessor and copy to Training Administration Service Provider.

d) Trainer / Assessors should not conduct training or assessment if they do not fulfil the above requirements. Any training or assessment carried out with candidates after removal of the status will not be accepted by NCA as evidence of the candidate's achievement.

e) Applicants may appeal direct to the Training Officer if they feel that they have been unfairly treated, see Part 4.5.

## **4.3 OPERATING AS A TRAINER / ASSESSOR**

### **4.3.1 NOTIFICATION OF COURSES**

Trainer / Assessors should inform the Training Administration Service Provider of all forth-coming courses including training and revalidations. The Training Administration Service Provider uses this information in responding to candidates' enquiries. Appropriately timed information will be posted on the NCA's web site and also forwarded for inclusion in *SPELEOscene*. This information is also required for monitoring purposes.

### **4.3.2 ADMINISTRATION**

- a) The Trainer / Assessor is responsible for ensuring that the course runs properly and according to the criteria set out.
- b) The Trainer / Assessor will be responsible for all administration relating to the course; i.e. sending out information about the course, e.g. venue, times, costs, equipment to be brought; liaising with the venue manager and ensuring records are written for each candidate's logbook.
- c) Training Records will only be issued to candidates attending for the minimum period required for a training course and where the syllabus has been covered.
- d) Trainer / Assessors will also provide a Training Course log sheet to the Training Administration Service Provider.

### **4.3.3 PROVIDING A TRAINING COURSE**

Trainer / Assessors should read Part 3.2 in conjunction with the following:

#### **4.3.3.1 Location**

Training courses can be run by any Trainer / Assessor at any appropriate location. The location is not restricted to the Trainer / Assessor's area.

#### **4.3.3.2 Registration**

Candidates should be registered before attending a training course. In exceptional circumstances, if the candidate is not registered, the Trainer / Assessor is responsible for supplying forms, collecting the correct registration fee and sending it all to the Training Administration Service Provider promptly after the course. The Trainer / Assessor **MUST NOT** issue a Training Record until the Trainer / Assessor has been advised of the candidate's registration number by the Training Administration Service Provider.

#### **4.3.3.3 Ratios**

The course must have an approved Trainer / Assessor present at all times. CIC holders can work on the course as well, provided the ratio of one approved Trainer / Assessor per 6 candidates is maintained for Level 1 or 1:4 at Level 2. Other appropriate speakers can be used but cannot be included in the ratio. Failure to adhere to these ratios will result in NCA rejecting the course.

#### **4.3.3.4 Non-mandatory Training Courses**

There are no specific requirements for training courses in Single Rope Techniques or Mine/Cave transfer modules. Trainer / Assessors may offer courses of their own design appropriate to individual candidates.

### **4.3.4 PROVIDING ASSESSMENT**

- a) The Trainer / Assessor should discuss the candidate's objectives within the scheme, ascertaining the "Big Picture" so as to be able to advise the candidate on how and where to get assessed and what, if anything can be combined.

b) The syllabus states what is to be assessed. The appropriate assessment checklist in Part 6 gives a quick reference to this. Parts 3.3 and 3.4 state how the assessment should be conducted. Trainer / Assessor should ensure that candidates have read all the relevant information.

c) During the assessment the Trainer / Assessor should be as fair and objective as possible. The following will help the Trainer / Assessor achieve this:

- Use the Trainer / Assessor's checklist and read the syllabus carefully to understand the scope of each point on the list.
- All aspects of the syllabus must be assessed but the Trainer / Assessor may choose to take other qualifications as evidence of competence.
- Trainer / Assessors should discuss standards regularly at panel meetings and Trainer / Assessor workshops.
- Assessments should be to the nationally agreed standards for the level being assessed, not the personal standards of the Trainer / Assessor.
- The Trainer / Assessor should consider standards maintained during their probation and possibly attend further observations of other assessments from time to time to maintain uniform national standards.
- The assessment should be as practical as possible.
- It should be made clear to the candidate what aspect of the syllabus is being assessed.
- If using role-play it should be made clear what role everyone is playing at all times.
- At the end of the assessment the candidate should receive clear feedback and be allowed to challenge the Trainer / Assessors observations.
- After each assessment there should be some method of assessing the candidates satisfaction with the way the assessment was handled. The results of these evaluations should be used to review the way future assessments are run.
- Trainer / Assessors will not include any site that they do not have comprehensive personal knowledge unless they have consulted another Trainer / Assessor who does. In that case the other Trainer / Assessor's name should also appear on the Assessment Record though the other Trainer / Assessor does not have to sign the record.
- Assessment records sent in after the issue of the first "LCMLA Award" for Levels 1 or 2 will attract an extra administration fee, see Part 6.
- The Trainer / Assessor of the last assessment before qualification should advise the candidate they do not hold the award until the logbook Section 5 LCMLA Award has been issued to the candidate.

#### **4.3.5 ADDING SITES OR AREAS TO EXISTING QUALIFICATIONS**

Candidates may approach Trainer / Assessors from other areas to add sites and thus an area to their list of sites. Alternatively Trainer / Assessors may be asked to add further sites to LCMLA Assessment holders in their own area. In either case the process is the same and is as follows:

- a) Advise candidate of the assessment charge for addition of sites as well as the administration fee charged by the NCA, see Part 7.
- b) Advise the candidate that the Trainer / Assessor fee is based on a paperwork exercise only and that if further practical assessment is required there may be an extra charge.
- c) Obtain a copy of the logbook.
- d) Consider whether the candidates experience and level of award is appropriate for the additions they are requesting. In doing this the Trainer / Assessor should consider the following:
  - Experience at sites being requested,
  - Experience in the caving area,
  - General experience with both groups and at a sporting level,
  - The technical difficulty of the requested sites in comparison to the sites already on the list, and
  - Consider whether it is appropriate for the candidate to revalidate at the same time saving them money in the long run.

e) It may be appropriate send the candidate a question paper for each proposed site asking the following questions:

- Access and Conservation details,
- Hazards such as flooding,
- Suitable routes for groups, and
- What sort of kit/clothing is appropriate.

f) The question papers should be returned to the Trainer / Assessor. The candidate will be advised of the Trainer / Assessor fees and may be asked to include the NCA fee, as a cheque made out to “NCA training a/c”, at the same time.

g) The Trainer / Assessor should mark the papers and clarify any points arising in an interview with the candidate. The interview may be by telephone.

h) The Trainer / Assessor may feel that the only appropriate assessment is a practical one and will advise the candidate what they will have to do.

i) If the candidate is successful the Trainer / Assessor should complete an Assessment Record including all the information on the current LCMLA Award plus the new additions. The Assessment Record should be given to the candidate and one copy be sent to the Training Administration Service Provider (with the administration fees if they have been collected) and another copy retained by the Assessor. The Assessment Record must state whether the assessment was practical or not as this may effect revalidation. The Training Administration Service Provider will organise the issue of a new Section 5 LCMLA Award on receipt of the fee and copy of the Assessment Record.

j) If the candidate is unsuccessful, any NCA administration fees collected should be returned to the candidate.

#### **4.3.6 ASSESSMENT PAPERWORK**

a) The Trainer / Assessor must complete all Section 4B Assessment Records promptly. The Trainer / Assessor should retain a copy for their records and must send signed and dated copies to the candidate and the Training Administration Service Provider.

b) The Assessment Record must state whether the assessment was practical or not as this may affect the “Valid From” and “Valid Until” dates.

c) Trainer / Assessors are reminded that the Training Administration Service Provider cannot issue a Section 5 LCMLA Award until the Training Administration Service Provider has received copies of the Assessment Records. Candidates are **not** required to send copies of their records to the Training Administration Service Provider. Failure to send copies of the Assessment Records to the Training Administration Service Provider may be construed as being a breach of contract between the Trainer / Assessor and the candidate.

#### **4.3.7 PROVIDING REVALIDATION**

##### **4.3.7.1 Standard Revalidation**

a) Details of revalidation are included in Part 3.

b) A Trainer / Assessor will only normally revalidate an award whose sites already on the award are within the Trainer / Assessor’s own area. If however the candidate wishes to undertake an extension to a new area, at the same time as revalidation, they may be revalidated by a Trainer / Assessor from the new area. The Trainer / Assessor may revalidate the existing sites in the same way as any award holder with more than one area on their list, as described below. The Trainer / Assessor should first establish that the candidate is ready to extend their list to the new area first. This may be done by discussion or a question paper.

c) If a Trainer / Assessor is revalidating an award with more than one area, the Trainer / Assessor must include the name of a Trainer / Assessor from each of the other areas outside his / her own, that has

been consulted, before confirming the site list. It is not necessary for these other Trainer / Assessors to sign the Assessment Record.

d) The Assessment Record should state the exact current level of the candidate's qualification, whether "cave", "mine" or "cave and mine" as well as the complete list of sites, including all original sites still appropriate as well as additions.

#### **4.3.7.2 Leadership Development Revalidation Workshop**

a) The Area Panel or the Trainer / Assessor providing the course can put together any course they wish that fulfils the criteria, see Part 3. It is recommended, however, that there is some method of evaluating the candidate's satisfaction with the course and reviewing the structure of further courses. There should be feedback to the Area Panel and thus to the National Coordinating Panel on the content of such courses.

b) It is suggested that prior to the course, the Trainer / Assessor should:

- Review the candidate's logbooks,
- Seek advice/agreement on the presentation topic, and
- Provide a question paper asking:
  - What are candidate's aspirations in leading groups,
  - What are candidate's aspirations in personal caving, and
  - What further training will support these aspirations.

c) It is suggested that during the course, the Trainer / Assessor should cover:

- Introductions,
- Presentation from Trainer / Assessor – updates/current issues,
- Presentations from candidates, including time for discussion,
- Underground trip involving training and assessment,
- Review of day,
- Feedback,
- Evaluation, and
- Paperwork.

d) Topics for inclusion will change from time to time and may well be indicated at local level by the Area Panel or by the National Coordinating Panel. The workshop should evolve as the needs of award holders change.

#### **4.3.7.3 Revalidation after Six Years without Revalidation**

Lapsed award holders seeking revalidation when they have failed to undertake **both** the Standard Revalidation after 3 years and the Leadership Development Revalidation after 6 years are required to undergo a reassessment, see Part 3. Careful consideration should be given to the level of caving activity which the lapsed holder has recorded during the previous 6 years. It may be appropriate to consult with the Technical Training Advice Service Provider after seeking details from the lapsed award holder and before undertaking any assessment. The reassessment should normally involve at least a 1 : 1 practical session covering all of the relevant modules.

## **4.4 ANOMALIES**

a) There may be very valid reasons for doing things differently to the way they are laid down in this handbook. However, they must not differ from the requirements of the syllabus. This is essential if a national standard, with transferability, is to be maintained. NCA may consider any Training or Assessment that is not run to standard procedures or accompanied by a Training Record authorising the change as invalid.

b) If a Trainer / Assessor runs a training course or assessment that is invalid, the candidate may well have cause to complain. The NCA will not get involved in the contract between candidate and Trainer / Assessor. The NCA would however expect the Trainer / Assessor to take reasonable measures to address the problem

and be fair to the candidate. If such matters were not sorted reasonably, the NCA may have reason to question the Trainer / Assessor's continued status.

#### **4.5 APPEALS**

All Trainer / Assessors have the right of appeal. If a Trainer / Assessor feels that they have been treated unfairly, they should contact the Training Officer direct, or if the Training Officer is involved, a member of the Executive of NCA.

#### **4.6 SPELEOSCENE**

This publication is a suitable place for Trainer / Assessors to advertise their courses, free of charge. Details should be sent to both the Training Administration Service Provider and the Editor of *SPELEOscene*.

# PART 5

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## 5.1 GENERAL

### 5.1.1 WEB SITE

The web site will display information for cavers in general and details of the Local Cave and Mine Leaders Assessment (LCMLA) and Cave Instructor Certificate (CIC) Schemes. Under the heading of “Awards” the following information will be included:

- The LCMLA Trainer / Assessor Handbook as downloadable text and PDF files,
- The form – “Application to register for the Local Cave and Mine Leader Assessment Scheme”,
- The CIC Scheme as downloadable text and PDF files,
- The form – “Application to register for the Cave Instructor Certificate Scheme”,
- A list of forthcoming LCMLA courses, and
- Spare logbook pages for Section 2 and 3.

*For security purposes the following information from the logbook must NOT be included*

- Section 4 Training and Assessment Records forms, and
- Section 5 LCMLA Award.

The web site should be updated regularly.

### 5.1.2 DEALING WITH ENQUIRIES

Training administration is the focal point for all initial enquires from candidates. The majority of enquiries should be answerable from this handbook. If not, the candidate should be put in contact with the Technical Training Advice Service Provider, their Area Liaison Officer or a Trainer / Assessor, whoever is most appropriate.

## 5.2 ADMINISTRATION OF LCMLA AWARD

### 5.2.1 APPLICATION TO REGISTER AS AN LCMLA LEVEL 1 OR 2 CANDIDATE

a) Candidate may either download the application form from the web site or ask the Training Administration Service Provider to fax or post a copy.

b) Upon return of the form with appropriate fee, the Training Administration Service Provider should:

- (i) Enter details on database, allocate registration number and enter details in “Black Book”, as a hard copy in case of total electronic failure,
- (ii) Complete enrolment page of logbook,
- (iii) File registration form having completed payment details,
- (iv) Bank the payment,
- (v) Send to the candidate:

A logbook containing a completed Section 1A enrolment page plus blank Section 2 and 3 pages

List of courses,

Copy of SPELEOscene,

Free leaflets as available:

*Caving Notes for Beginners,*

*Bats Underground,*

*Weil’s Disease,*

*Cave Conservation Policy Summary,*

*Protect Our Caves,* and

*So You Want to Go Caving.*

(vi) Other publications as indicated on the form if paid for:

*LCMLA Trainer / Assessor Handbook,*

*Radon Underground,*

*Cave Conservation.*

## **5.2.2 ISSUING LCMLA AWARD**

### **5.2.2.1 Overview**

- a) Details of the Section 5 LCMLA Award must be entered on the database and a hard copy must be filed along with photocopies of the Assessment Records attached. The award should be signed and dated by the Training Officer.
- b) There is no charge for issuing the first Award for Levels 1 and 2 as the cost is included in registration.
- c) If at a point in the future an enquiry is made into the status of an LCMLA Award Holder, they will be deemed to have been a holder of the award from the “Valid From” date until the “Valid Until” date on the latest issued award.

### **5.2.2.2 Level 1 or 2**

- a) The Training Assessment Service Provider should check that all of the following have been completed before issuing an LCMLA Award:

- Level 1 Training Record and Modules 1 and 2 Assessment Record, or
- Level 2 Training Record and Modules 3 and 4 Assessment Record.

The Module 2 and 4 records must contain a list of sites.

- b) All the above records must be signed and dated by an approved Trainer / Assessor on a Section 4B Assessment Record.

- c) The Training Administration Service Provider also has the responsibility of checking that:

- The candidate was seen by at least two Trainer / Assessors during the course of the assessment,
- The candidate is over 18,
- The candidate is registered,
- The Core Skills assessment was done before the group module,
- The date of completion of the first partial assessment was less than 1 year before the date of completion of the last assessment or that a dispensation has been issued by the Technical Training Service Provider or the Training Officer, and
- The local vetting was done by a member of the appropriate Area Panel.

- d) For Level 1, the Training Administration Service Provider should also check that the candidate attended a Level 1 training course, mine or cave as appropriate, and that it was not done by the same Trainer / Assessor who assessed Module 1, or else the candidate has an exemption from the training course.

- e) For Level 2, the Training Administration Service Provider should also check that the candidate attended a Level 2 training course, mine or cave as appropriate, and that it was not done by the same Trainer / Assessor who assessed Module 3, or else the candidate has an exemption from the training course and also that the candidate is a holder of the Level 1 Award or has permission to combine Modules 2 and 4.

- f) If the Training Administration Service Provider holds no details of training records, then the candidate must be asked to supply proof of training if it is not recorded on the Section 4B Assessment Record.

- g) If the Training Administration Service Provider is unable to confirm the above checks, then the Training Administration Service Provider should follow the procedure laid in down in Part 5.4.1.

### **5.2.2.3 Details to be Entered on LCMLA Award:**

- a) The Section 5 LCMLA Award should have the following

- (i) as the level, either:

Level 1, or

Level 2 with Abseil for Group, or

Level 2 with Abseil for Group and Leader’s SRT Skills,

- plus as the type, either:

Cave, or  
Mine, or  
Cave and Mine.

- (ii) the number of sites and name for each Area, plus a list of the sites within each specified area.
- (iii) The names of the assessors and whether the assessment was a Standard Revalidation or a Leadership Development Revalidation (otherwise leave blank).
- (iv) Any restrictions or qualifications which are specified on the Section 4B Assessment Records or have been imposed by the Area Panel.
- (vi) The “Valid From” date, being calculated on the basis of Part 3.4.6 a) and Part 3.6.4 b) or c).
- (v) The “Valid Until” date being 3 years after the relevant “Valid From” date.
- (viii) the NCA Stamp (Logo and REGISTERED WITH NCA) in red ink.

b) The Training Administration Service Provider should then update the database and send the Award to the Training Officer who will date and sign it before sending it on to the candidate.

### **5.2.3 ADDITIONS TO THE LEVEL 1 OR 2**

#### **5.2.3.1 Overview**

- a) The LCMLA Award is issued as stated above, but where the issue of an Award is separate from an issue due to gaining a Level 1 or 2 award, then there is an additional charge, see Part 7. If the application is included in a revalidation that already includes an administration fee, then there is no additional charge.
- b) All of the following can be added using one Trainer / Assessor’s records for proof and it does not matter what other training or assessments that Trainer / Assessor has done with the candidate. However in the case of partial assessments there may be more than one Assessment Record required. The Assessment Record will state clearly if it does not cover the whole assessment.
- c) Several additions can be added at once, in which case there will only be one fee.

#### **5.2.3.2 Addition of Sites or Areas**

- a) This assessment may be theoretical or practical and the onus is on the Trainer / Assessor to state this clearly on the Assessment Record. The Training Administration Service Provider needs to check that the Trainer / Assessor is from the area (or areas) being added and that the candidate has an award (Level 1 or 2, Cave or Mine).
- b) If the assessment was a practical one, the LCMLA Award should bear a “Valid Until” date of 3 years after successful completion of it. If the assessment was not practical, then the LCMLA Award should bear the same “Valid Until” date as the LCMLA Award it is replacing.

#### **5.2.3.3 Addition of Mine or Cave Leader Status to Existing Award (Module 6)**

- a) This is always a practical assessment and must be done in the area the candidate is applying for sites in. The Training Administration Service Provider needs only to check that the candidate already has Level 1 or 2 status as a Cave or Mine Leader. This award will usually be accompanied by addition of area/sites (if not, it may be worth checking).
- b) A CIC holder may undertake a Mine Transfer Module to show competence to that standard in mines. In the case of mines, unlike caves, the CIC holder will need a list of sites.
- c) As the assessment was a practical one, the LCMLA Award should bear a “Valid Until” date of 3 years after successful completion of it.

#### **5.2.3.4 Addition of Leader's SRT Skills (Module 5)**

- a) This can be done separately as a stand-alone assessment, Module 5 or together with Module 3. The Training Administration Service Provider will need to check that the candidate is Level 2 if the Module 5 Assessment Record does not come with the Level 2, Modules 3 and 4, Assessment Records.
- b) As the assessment was a practical one, the LCMLA Award should bear a "Valid Until" date of 3 years after successful completion of it.

### **5.2.4 REVALIDATIONS**

#### **5.2.4.1 Action**

- a) The Training Administration Service Provider shall use the database to advise candidates when their revalidation is due and advise them how to revalidate. Normally they should be advised 3-4 months before the "Valid Until" date, on a monthly basis. However if they need a Leadership Development Revalidation they should be advised 6 months before on a quarterly basis.
- b) On completion of revalidation, the Training Administration Service Provider will normally receive the fee and a copy of the Section 4B Assessment Record from the Trainer / Assessor. The Training Administration Service Provider should check the Trainer / Assessor status and that the candidate has completed the Leadership Development Revalidation if appropriate.
- c) The Award can only be issued after receiving payment of the appropriate fee and a copy of the Section 4B Assessment Record.

#### **5.2.4.2 Valid From and Until dates**

- a) The "Valid From" date is calculated according to the following rules:
  - (i) When determining the next "Valid From" date in relation to an Award issued prior to 19/5/01:
    - If the LCMLA Award states a "Valid Until" date, that is the one which will apply,
    - Otherwise it will be taken from the last Group Module assessment being the date by the Trainer / Assessor's signature.
  - (ii) When determining the next "Valid From" date in relation to an Award issued after 19/5/01:
    - Three years after the completion of a Level 1 or Level 2 Award.
    - Three years after the completion of a further Level 1 or Level 2 practical assessment.
    - Three years after the completion of a Leadership Development Revalidation
    - a Standard Revalidation "Valid Until" date.
- b) A further three years can be added to any of the above "Valid From" dates to determine the "Valid Until" date, on receipt of an Assessment Record. Candidates may revalidate up to one year early without penalty.
- c) If the candidate has not had some form of revalidation for more than 6 years since the original "Valid From" date, then the candidate will need to do a reassessment, see Part 3. The "Valid From" date of the award will be based on the date of the signature of the assessment record of the reassessment.

### **5.2.5 EXEMPTIONS AND COMBINATIONS**

- a) Candidates may only be granted one of the following:
  - Application to be exempt from training, or
  - Application to combine Modules 2 and 4.
- b) There are several ways of combining modules but only the combination of Modules 2 and 4 requires application for approval. In all other cases the Training Administration Service Provider will need to check that the rules have been followed. Full details are given in Part 3.

- c) The Training Administration Service Provider should check that the candidate is registered before sending the appropriate form, titled as above.
- d) The form should be returned to the Training Administration Service Provider completed, along with a photocopy of logbook and appropriate fee. The fee should be banked, as it is non-returnable. The form and the copy of the logbook should be forwarded to the Technical Training Advice Service Provider.

### **5.2.6 REPLACEMENT LOGBOOKS**

- a) There are three possibilities and this list corresponds to the fees shown in Part 7:

- (i) Logbook only

- This would be the case for someone who has recently registered. They will require the logbook as it is sent out at registration. Training Administration Service Provider will need to ask the candidate for the appropriate fee plus the information they need to locate candidate's details on the database. Provided the Training Administration Service Provider can locate the candidate's details, ensuring that they have registered, the payment can be banked and Section 1 completed, before sending out the logbook.

- (ii) Completed Records only

- This would be for a candidate who has retained most of their logbook but lost the Assessment Records and the LCMLA Award. The Training Administration Service Provider will need to ask the candidate for the appropriate fee plus the information they need to locate the candidate on the database. Provided the Training Administration Service Provider can locate the candidate's details, ensuring that they have the qualifications stated, the payment can be banked and copy records prepared as required. The copies should be sent to the Training Officer for signing, dating and stamping before being issued to the candidate.

- (iii) Logbook, including completed Records

- This would be the case for some one who has lost everything. The Training Administration Service Provider will need to complete both of the above stages, charging the combined fee indicated.

- b) If the applicant cannot be traced in the records, then the Training Administration Service provider should not bank the applicant's cheque but seek further details from the applicant. If no trace can be found, then the cheque and details should be forwarded to the Training Officer to reply to the applicant.

## **5.3 ADMINISTRATION OF LCMLA TRAINER / ASSESSOR**

### **5.3.1 APPLICATION**

- a) Any one wishing to become a Trainer / Assessor should apply to the Training Administration Service Provider for an appropriate form. The Training Administration Service Provider will check that the applicant meets the criteria and endorse the form to say this has been done, before issuing to the applicant. The full process is explained in Part 4.
- b) If the applicant is successful, the Area Liaison Officer will inform the Training Administration Service Provider who will send an invoice to the successful applicant for the appropriate Annual Probationary fee. On receipt of this fee, the Training Administration Service Provider will send a "Record of apprentice observations and assessments" form and enter the candidate on the database as a "Probationary Trainer / Assessor". The Annual Probationary fee will become due every January 1<sup>st</sup>, irrespective of when the first payment is made.
- c) The Training Administration Service Provider must not accept any Assessment Records signed only by a probationary Trainer / Assessor.

### **5.3.2 REGISTERING APPROVED TRAINER / ASSESSOR STATUS**

The Training Officer will advise the Training Administration Service Provider when a probationary Trainer / Assessor has achieved approved status. The Training Administration Service Provider should amend the database but invoice the approved Trainer / Assessor fees only when fees next become due.

### **5.3.3 MAINTAINING TRAINER / ASSESSOR STATUS**

a) The Training Administration Service Provider will need to send out an invoice to all Trainer / Assessors at the beginning of January each year accompanied by:

- A copy of the National Caving Association Approved Trainer / Assessor Agreement,
- Any new policies that have come in to being over the last year,
- A covering letter telling the Trainer / Assessor whether they have attended the necessary workshop and advising them that their Area Liaison Officer will be asked for Area Panel meeting attendances over the last year (a list of workshops for the following year should also be included).

b) Any Trainer / Assessor not able to conform should be advised to contact the Technical Training Advice Service Provider as in the procedures explained in Part 4.2.4.

c) At the beginning of December the Training Administration Service Provider will need contact all Area Liaison Officers asking for Panel Meeting attendances over the last year. Area Liaison Officers should reply by the 1<sup>st</sup> of January. Also check that the Trainer / Assessor has attended a Trainer / Assessor workshop at some time in the past two years ending 31<sup>st</sup> December.

d) Any Trainer / Assessor who, by the 31<sup>st</sup> January has not:

- Paid appropriate fee, or
- Attended a workshop in the last 2 years (Jan–Dec), or
- Attended an Area Panel meeting in the last year (Jan–Dec), or
- Maintained their qualifying award;

should be sent a letter stating that they no longer met the criteria. A copy of the letter should be sent to the Training Officer and the Technical Training Advice Service Provider. The Trainer / Assessor should contact the Technical Training Advice Service Provider to discuss the matter and arrange an action plan within 1 month to recover their status.

e) The Technical Training Advice Service Provider should agree a plan with the Trainer / Assessor and send a copy to the Training Administration Service Provider for information. If the plan is not implemented, then the Trainer / Assessor will lose their status. It is not the duty of the Training Administration Service Provider to chase proof as the onus is on the Trainer / Assessor to be proactive in preserving their status.

f) The Training Administration Service Provider should forward any Training or Assessment Records which are signed after the date of sending the letter, to the Technical Training Advice Service Provider. The Technical Training Advice Service Provider will make a decision on whether the records should be accepted, taking into account the credibility of the scheme. The Technical Training Advice Service Provider should report to the next National Coordinating Panel meeting his/her actions and they will decide whether a precedent has been set.

g) If no response is received by the end of the month, then the Training Officer should send a final letter by recorded delivery, stating that they no longer are considered to be valid Trainer / Assessors. 7 days after the Training Officer has sent the final letter, the Training Administration Service Provider shall delete their name from the Directory (Part 7), the web site and the Editor of *SPELEOscene* should be advised not to publish details of their courses.

### **5.3.4 REGISTER AS AN EXISTING TRAINER / ASSESSOR TO BECOME A TRAINER / ASSESSOR FOR ANOTHER AREA**

There are no application forms to be sent out. The Training Officer will advise the Training Administration Service Provider when the Trainer / Assessor has attained their status. The Trainer / Assessor's details should be added to the database.

### **5.3.5 APPLICATION TO REGISTER FOR SPECIALIST TRAINER / ASSESSOR STATUS**

a) There are no application forms to be sent out. The Training Officer will advise the Training Administration Service Provider when the Specialist Trainer / Assessor has attained their status. The Specialist Trainer / Assessor has to do exactly the same to maintain their award as any other Trainer / Assessor, however they will not have a Cave Instructor Certificate to keep up to date. They will however

have to prove continued competence under other awards that the National Coordinating Panel considered relevant to the original application. The National Coordinating Panel will advise which awards are relevant and how they are to be maintained in each individual case.

b) The Training Administration Service Provider will need to keep records of the original application and subsequent maintenance. The Trainer / Assessor's details should be added to the database.

### **5.3.6 NOTIFICATIONS**

a) Trainer / Assessors are requested to advise the Training Administration Service Provider as soon as possible, before they run LCMLA training or revalidation courses. They should state the Venue, whether the course is Open or Closed, the Module and how many Spaces available

b) On receipt of the above information, the Training Administration Service Provider will include open courses on the list of information for candidates and advise the editor of *SPELEOscene* for inclusion in the Newsletter if appropriately timed. The Training Administration Service Provider will advise the Technical Training Advice Service Provider of all courses for monitoring purposes.

## **5.4 PROBLEM SOLVING**

### **5.4.1 ANOMALIES**

a) If an anomaly is identified in undertaking the checks, then the Training Administration Service Provider should seek clarification from the candidate. If the clarification is insufficient to meet the requirement, then the candidate should be asked to resolve the matter with either the Trainer / Assessor or if appropriate, the Technical Training Advice Service Provider.

b) If the issue of a Training Record should have covered the anomaly, then the candidate should be asked for a copy of the Training Record. If no Training Record exists, then the candidate should be advised to discuss the problem with the Technical Training Advice Service Provider.

c) The Training Administration Service Provider should advise the candidate that no LCMLA Award can be issued until the anomaly has been resolved.

### **5.4.2 WHEN PROCEDURES ARE NOT ADHERED TO**

If any Trainer / Assessor is making the job of Training Administration Service Provider difficult due to poor or delayed paperwork or they are not running the scheme according to the rules, then the time spent chasing paperwork is increasing the cost of the scheme. The Training Administration Service Provider should contact the Trainer / Assessor concerned and explain the problems the Training Administration Service Provider is having and find out if there is a way to resolve the problem. If the problem persists, the Training Administration Service Provider should contact the Area Liaison Officer and ask them to mediate. If the problem continues then the Training Administration Service Provider should make a log of the problem. The Training Administration Service Provider should then contact the Technical Training Advice Service Provider who will deal with the matter or raise it with the Training Officer.

### **5.4.3 HANDLE COMPLAINTS AND ALLEGATIONS**

a) If the Training Administration Service Provider receives a complaint that implicates any member of the scheme, in a serious contravention of National Caving Association Policy, then the Training Administration Service Provider should follow the reporting policy outlined in the relevant document. Serious contravention includes matters relating to any allegations of child abuse.

b) If the Training Administration Service Provider receives a serious complaint that implicates any member of the scheme in any matter, then the Training Administration Service Provider must take the following action:

- **If possible, contact both the Training Officer and Technical Training Advice Service Provider immediately by phone.**
- As long as it has been possible to contact at least one of them, send a report immediately by first class post to both asking for an acknowledgement of receipt by return.

- **If neither the Training Officer nor the Technical Training Advice Service Provider can be contacted, then the Training Administration Service Provider should contact a member of NCA's Executive**
- Anyone who is implicated must not be contacted. If they are part of the above chain then the next link should be contacted.

**IT MUST BE STRESSED THIS WOULD BE AN UNSUBSTANTIATED ALLEGATION AND SHOULD BE TREATED BY ALL PARTIES WITH THE STRICTEST CONFIDENCE.**

c) If the Training Administration Service Provider receives a complaint of a less serious nature it is preferable to ask for the complaint to be put in writing. The Training Administration Service Provider should then discuss the complaint with the Training Officer, or in his or her absence, the Technical Training Advice Service Provider. The Training Officer will advise on a means of dealing with the complaint.

#### **5.4.4 HANDLE APPEALS**

Any appeals against any decisions should be directed to the Training Officer.

#### **5.4.5 ABSENCE OF OFFICE HOLDERS**

If the Technical Training Advice Service Provider post is not filled or the person is not available, then the Training Administration Service Provider should seek advice from the Training Officer. If the Training Officer post is not filled or the person is not available, then the Training Administration Service Provider should seek advice from a member of NCA Executive.



# **PART 6**

## **GLOSSARY, APPENDICES AND CHECK LISTS PART CONTENTS**

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## 6.1 GLOSSARY OF TERMS

# GLOSSARY

- Abseil** Technique for a caver to descend a fixed rope by lowering him or herself using a variable friction device.
- Adventure Activity Licensing Authority (AALA)** Agency commissioned by the government to oversee the safety standards of providers who offer adventurous activity activities to under 18 year olds for a fee.
- Area Liaison Officers** LCMLA Trainer / Assessors who chair Area Panels of the LCMLA Scheme in a specific Area.
- Area Panels** Meetings to coordinate the activities of approved LCMLA Trainer / Assessors who provide LCMLA training and assessment functions in specific areas, namely Derbyshire, Forest of Dean, North Wales, Northern (covering Yorkshire, Scotland and other northern areas) South Wales and Southern (including Devon, Cornwall and Mendip).
- Ascender** A mechanical device (rope clamp or jammer) which will move in one direction only on a rope. Can be used for prusiking.
- Assisted handline** Rope technique for short climbs offering a fixed line for cavers to pull on, whilst also providing protection/assistance.
- Autolock descender** Abseil device designed to stop if the abseiler lets go of the device and/or rope.
- BCRA** The British Cave Research Association whose objective is to promote the study of caves and associated phenomena wherever they may be situated, for the benefit of the public.
- Belay** A natural or artificial anchor point used to attach ropes or wire ladders. Alternatively the action of operating a safety rope for another caver whilst he/she ascends or descends by moving the rope through a friction device.
- Bight** A loop of rope used in tying certain knots.
- Bolt** An artificial anchor point created by drilling a hole into the cave wall and inserting a metal fixing point to which ropes and other equipment may be attached.
- Boulder choke** A section of cave passage partially blocked by boulder collapse. Often only negotiable with great care.
- Canal** A section of cave passage with ponded water, sometimes requiring swimming and personal flotation to negotiate safely.
- Carbon Dioxide (CO<sub>2</sub>)** Potentially dangerous accumulations are now more frequently occurring in some British caves and mines. CO<sub>2</sub> build up appears to be related to modern farming practices (e.g. slurry spreading). Bacteria acting on contaminated groundwater generate high CO<sub>2</sub> levels in poorly ventilated passages.
- Cave** A natural passage developed by water action, typically in limestones.
- Child Protection Legislation** Government law designed to ensure the physical and emotional well being of young people whilst in the care of adults. The NCA has child protection policies, which are relevant to those leading/instructing young people underground.
- CIC Panel** A panel of CIC Trainer / Assessors and NCA representatives who oversee the practical aspects of administering and running the CIC Scheme. The CIC Panel is responsible to the NCA Training Committee for all aspects of the operation of the CIC Scheme such as revisions to the syllabus, approval of CIC Trainer / Assessors, exemption applications, appeals and other related matters.
- CIC Scheme** The Cave Instructor Certificate Scheme. A higher accreditation award operated by the NCA Training Committee for those requiring a formal check of their competence to lead others and instruct in any caving region and using a wide range of vertical techniques.
- Cows-tail** Safety cords attached to the caver's harness used with karabiners to temporarily connect the caver to ropes or anchor points. Used to protect the caver from falling.
- Descender** (e.g. figure of 8, Rack, Stop) A friction device used by cavers to abseil (i.e. lower themselves) down a fixed rope.
- Deviation** A cord and karabiner attached to an anchor point used to deflect a fixed rope away from an abrasion point on a shaft.
- Duck** A section of cave passage, which is almost flooded to the roof.
- Flood Pulse** A potentially lethal surge of floodwater down a stream passage. Caused by a combination of precipitation, run-off and hydrological factors.

**Frog SRT system** A well established prusiking system, typically using jammers in pairs to enable cavers to ascend a fixed rope by repeatedly standing up in a foot loop attached to one jammer and then sitting on a second jammer attached to a sit harness (alternatively called the sit-stand system).

**Handline** A fixed line installed by cavers as a point of aid on a short climb.

**Health & Safety Executive** The body responsible for enforcing health and safety regulation of both persons in work and the public affected by that work. The principle law is the Health & Safety at Work Act, but others of significance to cavers are the Mines and Quarries Act and the Ionising Radiations Regulations.

**Hypothermia** Potentially fatal loss of body heat through cold air and water often combined with exhaustion and/or lack of effective clothing in the cave environment.

**Ionising Radiation Regulations (IRRs)** Legislation to protect employees and the public against ionising radiation arising from work activities. This law may be applicable to those in employment as cave leaders or instructors who work in caves known to contain quantities of radon above normal surface concentrations and also to those being taken underground by such leaders.

**IRATA** Industrial Rope Access Trade Association. The industry body responsible for setting standards and accreditation of persons employed to use rope access systems in industrial/construction contexts.

**Italian Hitch** Friction knot used for belaying or as an improvised abseil method.

**Jammer** A mechanical device (rope clamp or ascender) which will move in one direction only on a rope (used for prusiking).

**Karabiner (krab)** A metal link or connector used to attach ropes or pieces of vertical caving equipment.

**Ladder & lifeline techniques** Traditional method of descending or ascending drops in caves using flexible wire ladders. Another caver operates a safety rope or lifeline to protect the person climbing.

**LCMLA Scheme** The Local Cave and Mine Leader Assessment Scheme. An award scheme set up by the NCA for those requiring formal recognition of their competence to lead groups in a limited number of caves or mines (typically in one region). The Level 1 scheme is restricted to predominantly horizontal systems, the Level 2 scheme enables the accreditation of leaders who wish to use ladder and lifeline techniques or lifelined abseiling with groups.

**Lifelining** The operation of a safety rope to protect a caver whilst he/she climbs or descends (alternatively known as belaying).

**Lowering** The use of rope and an anchored friction device to lower a caver down a shaft or climb.

**Maillon Rapide** An industrial metal link or connector used to attach or connect ropes or vertical caving equipment.

**Mao prusiking system** A prusiking system making use of a foot loop running through a pulley (attached to the top jammer) and connected to the harness. Each time the caver stands up he/she lifts up approximately half their own body weight.

**Metaliferous mines** (See mine) mines used for the extraction of metal ores e.g. tin, lead, copper.

**MIA/MIC Scheme** (The Mountain Instructor Award/Mountain Instructor Certificate.) Higher mountaineering and climbing accreditations operated by the Mountain Leader Training Board.

**Mine** Man-made cavities for the extraction of stone or valuable minerals (e.g. sandstone for building stone or tin/lead. Now covered by Mines and Quarries Legislation even if disused and regardless of the age of the workings).

**Mines and Quarries Act** A law laying down responsibilities on owners of mine for the safety of persons in mines and other duties. The law also lays down a duty on the owner of an abandoned mine to prevent accidental entry to the mine.

**Mines Inspections** Formal inspections of mines carried out by mine engineers to assess the structural stability and suitability of a disused mine for use with groups. Mines inspections are often commissioned by groups of outdoor providers / centres in close consultation with regional caving councils / mine exploration bodies.

**Mountain Leader Award** An accreditation operated by the Mountain Leader Training Boards to approve leaders to lead groups on the British hills.

**NAMHO** The National Association of Mine History Organisations whose aim is to increase the knowledge of mining history in the United Kingdom and Ireland and to promote it in all its aspects.

**National Coordinating Panel (NCP)** A panel of LCMLA Area Liaison Officers and NCA representatives who oversee the practical aspects of administering and running the LCMLA Scheme. The NCP is responsible to the NCA Training Committee for all aspects of the operation of the LCMLA Scheme such as revisions to the syllabus, approval of LCMLA Trainer / Assessors, exemption applications, appeals and other related matters.

- NCA** The National Caving Association who, as a national federation of caving groups, supports its members in obtaining access arrangements, support cave conservation, cave science, caver training and caving equipment safety and also to act as a national spokesman and negotiating body on behalf of Members.
- Percolation fed cave system** An underground drainage system fed predominantly by water which has percolated through the overlying limestones rather than being fed from a surface stream that has entered the cave at a sink or swallet.
- Phreatic** Cave passages formed mainly by corrosion when completely flooded. Water flow is by hydrostatic pressure rather than gravitational flow.
- Pitch** A vertical section in a cave.
- Pothole** A local term (Yorkshire Dales) for a cave system with a vertical entrance (often with a stream descending).
- Prusiking** Climbing a fixed rope by using mechanical clamps, (alternatively known as ascenders or jammers). Jammers are used typically in pairs to enable cavers to progress up a rope by repeatedly standing up in a foot loop attached to one jammer and then sitting on a second jammer attached to a sit harness.
- Pull-through abseil** Means of abseil descent by which ropes are pulled down after the last caver has descended, enabling cavers to exit the cave via a different route.
- Rack descender** Variable friction abseil device.
- Radon** The heaviest naturally occurring gaseous element formed by the radioactive decay of uranium. The quantity of radon in the air above and below ground depends on the amount of uranium present in the surrounding rocks and ventilation. Cellars, buildings, caves and mines can all potentially have significant radon accumulations in air. During radioactive decay when inhaled, radon and its daughters emit ionising radiation that may collide with and damage living cells in the body. Exposure to radon gives rise to a risk of developing cancer. Refer to Radon Underground (NCA1996) for further guidance.
- Rebelay** Anchor point part way down a shaft used to re-attach a fixed rope for Single Rope Techniques.
- Regional Caving Council** 5 constituent members of the NCA responsible for access, conservation and other matters in a specific caving region, namely Devon and Cornwall, Derbyshire, Mendip and other southern areas, Yorkshire and other northern areas and Wales.
- Regionally Important Geological Site (RIGS)** Legislative identification and protection of important geological sites.
- Resin Anchors** Artificial anchor or bolt which is cemented with resin into a hole drilled into the rock.
- Resurgence** Point at which an underground stream returns to the surface.
- Rigging** The installation of vertical caving equipment in the cave by attaching ropes and sometimes wire ladders to secure natural or artificial anchor points.
- Rope clamp** A mechanical device (ascender or jammer) which will move in one direction only on a rope. Can be used for prusiking.
- Rope walking SRT system** A fast method of ascending a fixed rope using a prusiking technique which uses an alternate stepping system rather than a sit-stand system.
- Run-off** The factors which affect the ability of precipitation to increase water flow in underground stream ways (e.g. types of soil/vegetation cover).
- Self-drilling anchors** An artificial anchor made by drilling a hardened toothed anchor sleeve into the rock with hammer action. An expansion cone locks the anchor in place when hammered home into the completed hole.
- Self-lining** Vertical Caving Technique enabling a caver to protect him/herself whilst climbing wire ladders underground by attaching a jammer to the caver's harness and sliding this up a fixed rope whilst climbing.
- Shaft** A vertical drop in a cave or mine.
- Single Rope Techniques (SRT)** Vertical techniques used by cavers for descending a fixed rope (abseiling) and ascending by using prusiking techniques.
- Sit Stand SRT system** A well established prusiking system, typically using jammers in pairs to enable cavers to ascend a fixed rope by repeatedly standing up in a foot loop attached to one jammer and then sitting on a second jammer attached to a sit harness (alternatively called the Frog system).
- SSSI** Site of Special Scientific Interest. An important designated site for habitat, landforms etc (above or below ground) that has legislative protection from certain potentially damaging operations (e.g. quarrying).

- Stone mines** (see mines) Sites used for the extraction of stone e.g. for building stone rather than for the extraction of minerals/metals.
- Stop descender** Abseil device designed to stop if the abseiler lets go of the device and rope.
- Stream sink** The point where a surface stream enters the limestones.
- Sump** A flooded section of cave passage.
- Sump (free diveable)** A flooded section of cave passage, which is short enough to be passed without breathing apparatus.
- Suspension Trauma** Potentially fatal respiratory and circulatory trauma to a caver caused by being suspended and inactive in a harness.
- Swallet cave** A regional name (Mendips) for a cave fed by a surface stream.
- Technical Training Advice Service Provider** This service provides technical advice to candidates, Trainer / Assessors and other interested parties on the running of the CIC and LCMLA Schemes and is managed by the NCA Training Officer.
- Topo** A diagram prepared by cavers to enable other cavers to anticipate the quantity of rope and the location of anchors when descending a vertical cave system.
- Training Administration Service Provider** This service provides the day to day administration of the LCMLA and CIC Schemes. This includes dealing with registrations and the supply of LCMLA & CIC syllabi and associated documentation.
- Training Committee** A committee of NCA with representation from NCA's constituent member groups, which on behalf of the NCA, oversees all aspects of both recreational caver training and cave leader / instructor accreditation.
- Training Officer** An honorary post with responsibility for the coordination of all areas of work of the NCA Training Committee.
- Traverse (Aid & Protection)** Horizontal progression above a shaft or drop. To protect cavers from a fall, traverse ropes to which cavers can attach themselves with cows-tails are anchored along the traverse. An aid traverse requires the caver to suspend him/herself from cows-tails whilst moving sideways.
- Vadose** Cave passages formed by corrosion through down cutting of streams flowing under gravitational control.
- Weil's Disease** A dangerous form of leptospirosis infection caused by contact with rats urine. A potential problem in caves close to farmyards or contaminated by seepage from domestic drains and sewers.

## **6.2 APPENDICES**

### **6.2.1 STRUCTURE OF LEADERSHIP SCHEMES WITHIN NCA**

#### **6.2.1.1 The Local Cave and Mine Leader Assessment Scheme**

##### **THE NATIONAL CAVING ASSOCIATION**

The National Caving Association (NCA) is a national federation of caving groups to which all the committees and subsidiary panels ultimately answer. Whilst the Annual General Meeting is the principle meeting, most business is undertaken by NCA's Council, which meets 4 times per year. The Local Cave and Mine Leader Assessment (LCMLA) Scheme is administered under the control and direction of NCA's Training Committee by a National Coordinating Panel and Area Panels.

##### **THE TRAINING CONVENOR (otherwise known as Training Officer)**

This is the chairperson of the Training Committee. The post is voluntary and is elected every three years. The Training Officer sits on NCA's Council and reports the work of the Training Committee to Council. The Training Officer has to sign all final assessment records before they are issued. Normally the candidate has no reason to contact the Training Officer other than to lodge an appeal. The Training Officer is also responsible for ensuring the training schemes are maintained, manage the service contracts and generally promote the development of training in all areas of caving and mine exploration, both by individuals, clubs and those persons who wish to undertake the training schemes.

##### **TRAINING COMMITTEE**

The National Caving Association's Training Committee shall report to the National Caving Association National Council at each National Council meeting on the operation of the LCMLA and CIC Schemes and other training matters.

##### **NATIONAL COORDINATING PANEL**

A National Coordinating Panel (NCP) shall be set up to deal with the overall operation, organisation and administration of the scheme, the arrangements for Trainer / Assessors' workshops and the monitoring and periodic review of the syllabus.

The NCP membership shall comprise of the Training Officer or his delegated representative as Chairman, Area Liaison Officers and two other members appointed by the Training Committee to provide broad based experience and advice as necessary. The Technical Training Advice Service Provider and Training Administration Service Provider have a standing invitation to send representatives to the NCP.

To be quorate, the Training Officer or his delegated representative as Chairman and at least one other Training Committee representative must be present at each meeting of the Panel. Area Liaison Officers may not concurrently be Training Committee representatives at any meeting.

Minutes and reports of meetings shall be prepared and circulated to the Area Panel, NCP and Training Committee members.

The Training Committee shall define the Terms of Reference of the NCP and shall, from time to time, review those Terms of Reference.

##### **The terms of Reference for National Coordinating Panel are:**

- To operate and administer the Local Cave and Mine Leader Assessment Scheme in conjunction with Area Panels and under the control and direction of the Training Committee.
- To recommend on the appointment of Trainer / Assessors for the scheme and establish and operate a continuing validation and approval system for Trainer / Assessors.
- To deal with applications for exemption from formal assessment, to arbitrate and make decisions regarding re-assessments, technical or procedural queries and to resolve disputes relating to individual candidates.
- To maintain a continuing review of the syllabus.
- To establish and operate a system of re-validation of candidates.
- To prepare and operate a budget for the administration and organisation of the scheme on behalf of the Training Committee and to maintain suitable accounts of all income and expenditure.

- To arrange meetings as necessary to carry out the business of the scheme always ensuring adequate notice of all meetings is circulated to those entitled to receive minutes and to keep clear and adequate records of all meetings.
- To ensure that any correspondence which may involve the NCP in any legal, financial or media commitments are cleared and approved by the Training Officer, in the first instance, prior to issue.
- To provide reports of all meetings and an annual report to Training Committee for incorporation within its own report.
- To maintain a continuing commitment to ensuring the highest standards of safety and best practice by all candidates and Trainer / Assessors involved with the scheme.

### **AREA LIAISON OFFICERS**

Area Liaison Officers (ALO) are responsible for acting as secretary and convenor to Area Panels and keeping the National Coordinating Panel informed of local matters relating to the scheme, liaising with the Training Officer and ensuring dissemination of information in both directions. ALOs also coordinate activities within the Areas such as Trainer / Assessor Workshops.

Area Liaison Officers can assist candidates in their area with information about the scheme and the availability of Trainer / Assessors. Area Liaison Officers can also provide information or contacts on suitable cave or mine sites for use by groups. The list of Area Liaison Officers is in Part 7.

### **AREA PANELS**

These are made up of all Trainer / Assessors in that area. The Area Panel is required to meet at least once per year. Their main purpose is to debate and provide views on proposals being made by the National Coordinating Panel and other committees, identify local issues for the attention of the National Coordinating Panel and discuss information being disseminated to Areas.

Area Liaison Officers and Trainer / Assessors appointed by the Training Committee on the recommendation of the National Coordinating Panel shall form Area Panels to deal with the operation and administration within their areas. Area Panel meetings may be held in conjunction with workshops.

Minutes and reports of meetings shall be prepared by the Area Liaison Officer and circulated to the National Coordinating Panel and Training Committee members.

### **TRAINER / ASSESSORS**

Trainer / Assessors are appointed by the NCA to deliver the LCMLA Scheme training courses and make assessments under the scheme. The NCA will not recognise Training or Assessment Records from persons who are not appointed.

### **TRAINING COORDINATOR**

This role has now been replaced by two service provision contracts.

### **TECHNICAL TRAINING ADVICE SERVICE PROVIDER**

This service contract provides technical advice to candidates, Trainer / Assessors and other interested parties on the running of the scheme and is managed by the Training Officer. The service is delegated by the Training Officer to make day-to-day decisions in areas where policy, processes or precedent is not clear, so as to expedite the running of the scheme. However such decisions are case by case and do not set a precedent, as any change of substance must go to NCP and if necessary to the Training Committee and possibly onwards via Council to an AGM. In addition the Technical Training Advice Service Provider provides technical assessment of candidates for various roles and makes recommendations to the Training Officer.

### **TRAINING ADMINISTRATION SERVICE PROVIDER**

This service contract is to undertake the day-to-day administration of the scheme according to Part 5 of this document. Any anomalies are referred to the Technical Training Advice Service Provider mentioned above.

### **6.2.1.2 Cave Instructor Certificate Scheme**

NCA also operates a higher-level award called the Cave Instructor Certificate (CIC) Scheme, which is administered by the CIC Panel.

## **6.2.2 NCA APPROVED TRAINER / ASSESSOR AGREEMENT**

Prior to the beginning of each year National Caving Association (NCA) Approved Trainer / Assessors for the Local Cave and Mine Leader Assessment (LCMLA) Scheme will be invited to renew their accreditation for the period 1st January until 31st December. Letters requesting the annual Trainer / Assessor fee will be issued in December with payment required before 31<sup>st</sup> January.

In paying the annual fee, Trainer / Assessors agree to fulfil their responsibilities to the following criteria:

- To provide the Training Administration Service Provider details of all training and assessments prior to the occurrence of said events. Furthermore, that in the event that the Trainer / Assessor decides to add additional courses or cancel courses, they undertake to notify the Training Administration Service Provider as soon as possible after the decision to add or cancel is taken.
- To ensure that all training courses and assessments are conducted strictly in accordance with the criteria set out in the LCMLA Scheme Syllabus and Handbook for Trainer / Assessors.
- To supply to the Training Administration Service Provider a Course Report in the form of Log Sheets or copy of Section 4s on any and all courses (training and assessments) operated by themselves or under their direction, as soon as possible after completion of the relevant course or at the latest within 30 days of its completion.
- To ensure the appropriate completion and return of all candidates' logbooks, training and assessment records to the candidate as soon as possible and submit copies as required to the Training Administration Service Provider.
- To attend a LCMLA Trainer / Assessor workshop at least once every two years.
- To maintain the "current" status of the NCA award (CIC or in special cases LCMLA) that bestows on them their approved Trainer / Assessor status.
- To attend at least one LCMLA Area Panel meeting for each of their local area.
- To ensure at all times that they are covered by a valid public liability insurance policy in respect of their role as a LCMLA Scheme Trainer / Assessor.

*(Based on version revised at November 2002 by R D Mehew, Pro Tem Training Officer)*

### 6.3.1a MODULE I CHECK LIST – CORE SKILLS ASSESSMENT – LEVEL I CAVE

Name		Date of assessment	
Registration No	Date	Date of birth	
Training Date		Trainer	

<p><b>PRE-TRIP CHECKS</b></p> <p>Weather Forecast &amp; Sources          Water Levels and Fluctuations – recent rainfall / catchment areas          Effects of Bad Weather – surface          Access Procedures          Conservation Awareness – surface          Destination Notes          Cave Rescue Call Out Procedure          Guidebook / Survey Information          Navigation – surface          Clothing – suitability for wet / dry venues          Helmet / Belt / Boots – suitability          Lighting – suitability / duration / maintenance etc          Technical Gear – suitability / limitations / maintenance of rope / krabs / sling etc</p> <p><b>UNDERGROUND EMERGENCY GEAR</b></p> <p>Spare Lighting – suitability / duration          First Aid Kit          Emergency Food          Survival – shelter / warmth          Knife          Writing Material</p> <p><b>UNDERGROUND HAZARDS</b></p> <p>Pollution          Weil's Disease          Radon Gas          Loose / Slippery Rocks          Holes          Deep / Fast Water          Awareness of Flooding – speed of / likely effects          Evidence of Cave's reaction to Flooding          Difficulty of Rescue          Statistics / Common Rescue Incidents</p> <p><b>CONSERVATION &amp; ACCESS</b></p> <p>Site Specific          General          Public Relations</p>	<p><b>CAVE ENVIRONMENT</b></p> <p>Basic Surface Geology / Topography / Karst Features          Cave Development / Bedding &amp; Joints / Passage Shapes          Cave Deposits          Temperatures / Draughts          Flora &amp; Fauna          Fossils          Formations (Speleotherms)</p> <p><b>TECHNICAL SKILLS</b></p> <p>Underground movement skills – over a variety of passage types          Underground Navigation / Survey Interpretation / Timing          Suitable Knots          Selection and use of suitable Belay Points (natural and artificial)          Emergency Lifeline (use of rope only)          Lifeline using Italian Hitch / Slings / Krabs etc          Assisted Handline / Hoist          Improvised Harness – rope only / other          Handlines – limitations / position of leader          Unprotected Climbs – position of leader          Use of Fixed Aids – chains / ladders / ropes etc          Communications / Group Management          Leadership / Judgment</p> <p><b>ACCIDENT &amp; EMERGENCY PROCEDURES</b></p> <p>Incident Management          Assessment / First Aid Treatment / Plan of Action          Rescue Call Out          Hypothermia – Awareness / Treatment / Action          Light Failure          Cancellation of Destination Note          Overdue Problems          Surface Navigation in Poor Visibility / Darkness          Access to Dry Clothing</p>
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*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*

### 6.3.1b MODULE I CHECK LIST – CORE SKILLS ASSESSMENT – LEVEL I MINE

Name		Date of assessment	
Registration No	Date	Date of birth	
Training Date		Trainer	

<p><b>PRE-TRIP CHECKS</b>  Weather Forecast &amp; Source  Water Levels and Fluctuations – recent rainfall / catchment areas  Effects of Bad Weather – surface  Access Procedures  Conservation Awareness – surface  Destination Notes  Mines / Cave Rescue Call Out Procedure  Guidebook / Survey Information  Navigation – surface  Clothing – suitability for wet / dry venues  Helmet / Belts / Boots – suitability  Lighting – suitability / duration / maintenance etc  Technical Gear – suitability / limitations / maintenance of rope / krab / sling etc</p> <p><b>UNDERGROUND EMERGENCY GEAR</b>  Spare Lighting – suitability / duration  First Aid Kit  Emergency Food  Survival – shelter / warmth  Knife  Writing Material</p> <p><b>UNDERGROUND HAZARDS</b>  Adit or Other Entrance  Roof Supports  Bad Ground  False Floors  Stacked Deads  Shafts – Bypass Method  Flooded Shafts – Bypass Method  Submerged Obstacles  Hoppers  Rotten Stemples / Ladders / Staging  Cables / Chains / Pipework  Abandoned Machinery  Old Explosives / Detonators  Dumped Chemicals  Dangerous Gases (inc. Radon)  Poor Ventilation – treatment / action  Weil's Disease  Pollution  Loose / Slippery Rocks  Deep Water  Awareness of Flooding – speed of / likely effects  Evidence of mine's reaction to flooding  Difficulty of Rescue  Statistics / Common Rescue Incidents</p>	<p><b>SURFACE HAZARDS</b>  Shaft Tops  Loose Shaft Lining (Ginging)  Unstable Spoil Heaps  Unfenced Excavations (Stopes)  Wheelpits  Abandoned Buildings  Abandoned Machinery  Unconsolidated Slimes Dams</p> <p><b>CONSERVATION</b>  Artefacts  Minerals / Formations  Flora &amp; Fauna (inc. Bats &amp; Hibernacula)  Effect of Litter &amp; Pollutants  Public Relations</p> <p><b>HISTORY</b>  Brief History of Named Mines  General Working Methods  Minerals Obtained</p> <p><b>ACCESS / LAW / INFORMATION</b>  Land Ownership / Access Arrangements  Mine Ownership  Mineral Rights Ownership  Application of Legislation  Survey &amp; Information Sources</p> <p><b>TECHNICAL SKILLS</b>  Underground navigation / survey interpretation / timing  Suitable Knots  Selection and use of suitable Belay Points (natural and artificial)  Emergency Lifeline (use of rope only)  Lifeline using Italian Hitch / Slings / Krabs etc  Handlines – limitations / position of leader  Improvised Harness – rope only / other  Unprotected Climbs – position of leader  Use of Fixed Aids – chains / ladders / ropes  Communication / Group Management  Leadership / Judgement</p> <p><b>ACCIDENT &amp; EMERGENCY PROCEDURES</b>  Incident Management  Assessment / First Aid Treatment / Plan of Action  Rescue Call Out  Hypothermia – awareness / treatment / action  Light Failure  Cancellation of Destination Note  Overdue Problems  Surface Navigation in Poor Visibility / Darkness  Access to Dry Clothing</p>
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*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*

**6.3.2 MODULE 2 CHECK LIST – GROUP SKILLS ASSESSMENT –  
LEVEL 1 CAVE OR MINE**

Name		Date of assessment	
Registration No	Date	Date of birth	
Core Skills Assessment Date		Assessor	
Assistant Leader(s)			
Group Numbers		Group ability	

Suitability of Venue & Trip

Weather Conditions / Water Levels / Flood Awareness

Compliance with Access Procedures

Surface Navigation / Care of Groups en-route to Venue

Suitability of Clothing & Personal Equipment of Group

Vertical aspects

Appropriateness of technical equipment

Protection of group on scrambles with and without a rope

Suitability and effectiveness of techniques for descent / ascent

Own progression

Leadership Style / Rapport / Sensitivity to Group

Effectiveness of Party Management / Group Control & Safety

Education / Conservation / History etc

Suitability of Group Briefings (Technical, Educational, Information, Hazards)

Use of Assistant Leader(s)

Appropriate Emergency Kit & Rescue Call-Out

Organization & Running of Day

*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*

**6.3.3 MODULE 3 CHECK LIST – VERTICAL SKILLS ASSESSMENT –  
LEVEL 2 CAVE OR MINE**

Name		Date of assessment	
Registration No	Date	Date of birth	
Core Skills Assessment Date		Assessor	
Group Skills Assessment Date		Assessor	

<p><b>VERTICAL EQUIPMENT</b>  Leader's Personal Equipment – suitability / care  Choice and suitability of equipment for group members' use – harness / cows-tails / descender etc  Knowledge of PPE regulations and Equipment Standards  Ropes – types / construction / longevity / usage / storage / care etc  Karabiner / Maillons – types / usage / limitations etc  Ladders / Spreaders / Tethers – types / construction / linkage / limitations / coiling / storage etc  Descenders / Ascenders / Pulleys / Belay devices etc – types / usage / limitations  Bolts – types / usage / limitations  Other Artificial Anchors – types / usages / limitations</p> <p><b>KNOTS</b>  Use of an appropriate range of knots  Knowledge of suitability / limitations</p> <p><b>RIGGING</b>  Equipment Preparation / Packing  Rigger Protection – methods and their advantages / limitations  Natural Anchors – suitability and use  Artificial Anchors – pre-use checks  Knowledge of Fall Factors  Traverse Lines Belay systems – construction using rope / slings – alignment and forces – sharing loads  Pitch head – approach / ease of access / position of leader etc  Ladders – use of spreaders etc / deployment etc  Group abseil rope – releasable  Lifeline – inc. for double lifelining</p>	<p><b>LIFELINING METHODS</b>  Belay Methods and Devices – use and limitations  Position of Leader  Safety of group members – waiting / to &amp; from pitch head  Efficiency / Fluidity of Lifeline Techniques  Double Lifelining Communication</p> <p><b>DESCENT / ASCENT</b>  Group Ladder climbing – pros and cons / hazards / style  Group Abseiling – pros and cons / hazards  Lowering – pros and cons / hazards  Leader Personal safety – ladder / abseil</p> <p><b>EMERGENCY VERTICAL TECHNIQUES</b>  Improvised Harness – rope only / slings &amp; krabs  Use &amp; Limitations of Waist Belay  Chosen belay method or device – ability to lock off / ability to lower off / ability to convert to hoist etc  Ladder problems and solutions  Abseil problems and solutions  Lowering problems and solutions  Traverse problems and solutions  Assistance to exhausted ladder climber  Hoist of exhausted / injured group member – with assistance / without assistance  Conversion of hoist to lower</p>
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*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*

**6.3.4 MODULE 4 CHECK LIST – GROUP VERTICAL SKILLS ASSESSMENT –  
LEVEL 2 CAVE OR MINE**

Name		Date of assessment	
Registration No	Date	Date of birth	
Vertical Skills Assessment Date		Assessor	
Assistant Leader(s)			
Group Numbers		Group ability	

Suitability of Venue & Trip

Weather Conditions / Water Levels / Flood Awareness

Compliance with Access Procedures

Surface Navigation / Care of Groups en-route to Venue

Suitability of Clothing & Personal Equipment of Group

Vertical aspects

Appropriateness of technical equipment

Protection of group on scrambles with and without a rope

Protection of group at pitch head / foot

Suitability and effectiveness of techniques for descent / ascent

Own progression

Leadership Style / Rapport / Sensitivity to Group

Effectiveness of Party Management / Group Control & Safety

Education / Conservation / History etc

Suitability of Group Briefings (Technical, Educational, Information, Hazards)

Use of Assistant Leader(s)

Appropriate Emergency Kit & Rescue Call-Out

Organization & Running of Day

*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*

### 6.3.5 MODULE 5 CHECK LIST – LEADER’S SINGLE ROPE TECHNIQUES SKILLS

Name		Date of assessment
Registration No	Date	Date of birth
Module 3 Vertical Skills Assessment Date		Assessor
Module 4 Group Vertical Skills Assessment Date		Assessor

#### PERSONAL SRT

Due consideration of accident to leader

Personal SRT equipment – suitability and use

SRT personal skills – pitch head / descent / ascent / deviations / rebelay etc

Self Rescue – improvisation in case of equipment failure or loss etc

Ropes and Knots for SRT

Use of Rigging Guides / Topos

Rigging for SRT – principles / personal safety / traverse lines / pitch head / rebelay / deviations

Conversion of SRT Rigging for lifeline / group abseil / group lower

Use and suitability of Personal SRT equipment for lifelining / lowering / rescue

Consideration and use of Travelling Ladders

*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*

**6.3.6a MODULE 6 CHECK LIST – TRANSFER MODULE ASSESSMENT –  
MINE TO CAVE**

Name		Date of assessment
Registration No	Date	Date of birth
Module 1 and / or 3 Assessment Dates		Assessor
Module 2 and / or 4 Assessment Dates		Assessor

**UNDERGROUND HAZARDS**

- Pollution
- Weil's Disease
- Radon Gas
- Loose / Slippery Rocks
- Holes
- Deep / Fast Water
- Awareness of Flooding – speed of / likely effects
- Evidence of Cave's reaction to Flooding
- Difficulty of Rescue
- Statistics / Common Rescue Incidents

**CONSERVATION & ACCESS**

- Site Specific
- General
- Public Relations

**CAVE ENVIRONMENT**

- Basic Surface Geology / Topography / Karst Features
- Cave Development / Bedding & Joints / Passage Shapes
- Cave Deposits
- Temperatures / Draughts
- Flora & Fauna
- Fossils
- Formations (Speleothems)

*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*

**6.3.6b MODULE 6 CHECK LIST – TRANSFER MODULE ASSESSMENT –  
CAVE TO MINE**

Name		Date of assessment
Registration No	Date	Date of birth
Module 1 and / or 3 Assessment Dates		Assessor
Module 2 and / or 4 Assessment Dates		Assessor

<p><b>UNDERGROUND HAZARDS</b></p> <p>Adit or Other Entrance Roof Supports Bad Ground False Floors Stacked Deads Shafts – Bypass Method Flooded Shafts – Bypass Method Submerged Obstacles Hoppers Rotten Stemples / Ladders / Staging Cables / Chains / Pipework Abandoned Machinery Old Explosives / Detonators Dumped Chemicals Dangerous Gases (inc. Radon) Poor Ventilation – treatment / action Weils Disease Pollution Loose / Slippery Rocks Deep Water Awareness of Flooding – speed of / likely effects Evidence of mine's reaction to flooding Difficulty of Rescue Statistics / Common Rescue Incidents</p> <p><b>SURFACE HAZARDS</b></p> <p>Shaft Tops Loose Shaft lining (Ginging) Unstable Spoil Heaps Unfenced Excavations (Stopes) Wheelpits Abandoned Buildings Abandoned Machinery Unconsolidated Slimes Dams</p>	<p><b>CONSERVATION</b></p> <p>Artefacts Minerals / Formations Flora &amp; Fauna (inc. Bats &amp; Hibernacula) Effect of Litter &amp; Pollutants Public Relations</p> <p><b>HISTORY</b></p> <p>Brief History of Named Mines General Working Methods Minerals Obtained</p> <p><b>ACCESS / LAW / INFORMATION</b></p> <p>Land Ownership / Access Arrangements Mine Ownership Mineral Rights Ownership Application of Legislation Survey &amp; Information Sources</p>
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*The Trainer / Assessor is encouraged to make a record of evidence and his / her judgement against the above items as evidence of his / her recommendation on assessment.*