

STANDARD – FEWER THAN 5



**The treework industry standard
for quality assured, compliant
arboricultural contracting**



ARB Approved Contractor Scheme

Standard for
Contractors of
fewer than 5
employees

Additional accreditation bodies:



The Arboricultural Association
The Home of Arboriculture

An achievable standard

The ArbAC scheme sets a standard that is achievable by all good tree work contractors

Standards

The Standards are broken down into four modules as follows:

Module 1:

Worksite Audit

Module 2:

Work Quality Inspections and Arboricultural Knowledge

Module 3:

Customer Care and Office Procedures etc.

Module 4:

Health & Safety Management and Workplace Inspection etc.

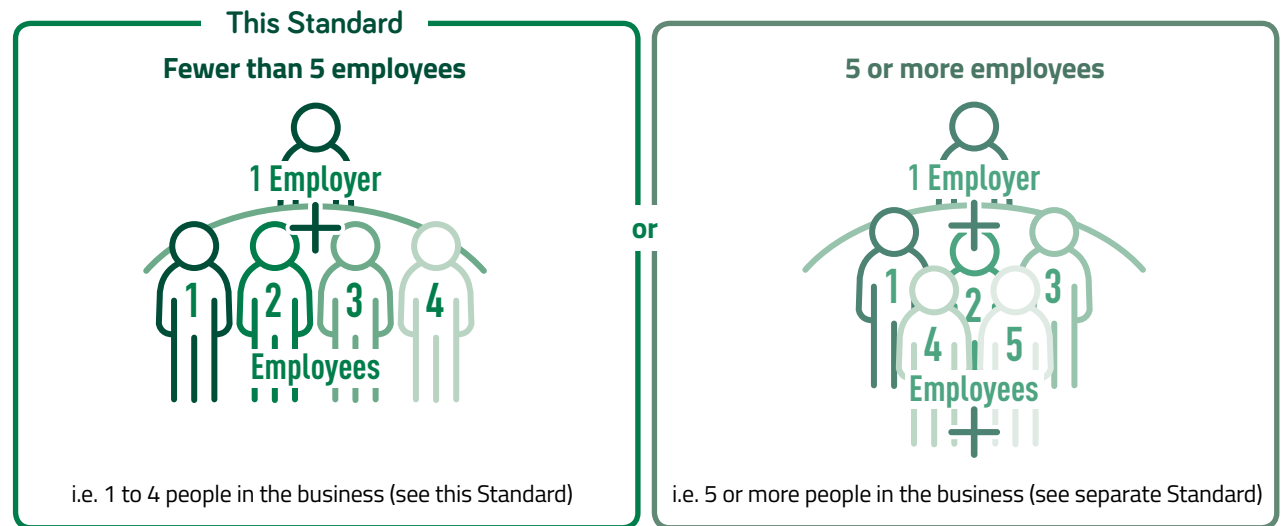
The content assessed in each module may vary according to the size of the business. This is the Standard for smaller businesses, i.e. those with fewer than 5 people. It contains less criteria than the Standard for larger businesses. Some elements are specific to the smaller businesses only.

This is the standard for SMALL businesses

Is this the right standard for your size of business?

Business size is determined by the number of people who work in your business, including yourself (the employer).

Businesses are classed as either:



This standard is also applicable to smaller businesses employing fewer than 5 people in tree surgery activities.

To work out your business size, you need to add up the number of people working in the business full time and part time, including:

- yourself/the employer;
- employed arborists/ground staff etc.;
- self-employed labour-only arborists/ground staff etc.;
- employed or self-employed administrators; *and*
- anyone else who is part of your business, e.g. mechanic, sawmill operator and timber truck driver. Do not include people to whom you subcontract work such as other arboricultural businesses, i.e. bona fide sub-contractors.

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Abbreviations

AIRR	Accident and Incident Reporting and Recording
ACoP	Approved Code of Practice
AFAG	Arboriculture and Forestry Advisory Group (HSE)
BCT	Bat Conservation Trust
CA	Conservation Area
CODIT	Compartmentalisation of Decay in Trees
CoSHH	Control of Substances Hazardous to Health
CPD	continuing professional development
Defra	Department for Environment, Food and Rural Affairs
DSEAR	Dangerous Substances and Explosive Atmospheres

DVLA	Driver and Vehicle Licensing Agency
EA	Environment Agency
EAC	European Arboricultural Council
EFAW	Emergency First Aid at Work
EPS	European Protected Species
FA	first aid
FAW	First Aid at Work
FC	Forestry Commission
FISA	Forest Industry Safety Accord
FRA	Fire Risk Assessment
FSO	Fire Safety Order
HAV	hand-arm vibration
HM	health monitoring
HSE	Health & Safety Executive
ICoP2	Industry Code of Practice for Tree Work at Height (Arboricultural Association, May 2020)
IOSH	Institution of Occupational Safety and Health

LOLER	Lifting Operations and Lifting Equipment Regulations 1998
LPA	local planning authority
MH	manual handling
MS	method statement
MSD	musculoskeletal disorder
MSDS	material safety data sheet
PPG	Planning Practice Guidance
PUWER	Provision and Use of Work Equipment Regulations 1998
RA	risk assessment
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
SD	surplus disposal
SSSI	Site of Special Scientific Interest
TG1	Technical Guide 1: <i>Tree Climbing and Aerial Rescue</i> (Arboricultural Association, December 2020)

TG2	Technical Guide 2: <i>Use of Tools in the Tree</i> (Arboricultural Association, December 2020)
TG3	Technical Guide 3: <i>Rigging and Dismantling</i> (Arboricultural Association, forthcoming)
TG4	Technical Guide 4: <i>Use of Mobile Cranes in Tree Work</i> (Arboricultural Association, December 2020)
TG5	Technical Guide 5: <i>Use of Mobile Elevating Tree Platforms in Tree Work</i> (Arboricultural Association, December 2020)
TPO	Tree Preservation Order
VOSA	Vehicle and Operator Services Agency
WAH	work at height

	Details	✓ or ✗	Requirements	Comments
1.1	<p>On-Site Operation(s) – involving medium/large tree(s), min. 16m in height, to be observed as active worksite(s)</p> <p>a) Initial assessment (applicant business, Year 1 of 4-year cycle) – aerial tree work, e.g. sectional felling/take-down/dismantle, OR large branch removal etc. incorporating rigging operations to be presented (+ one other example of aerial tree work for larger businesses).</p> <p>b) Interim reassessment (new business, Year 3 of 4-year cycle) – tree work operations, aerial or ground based, to be presented.</p> <p>c) Full reassessment (existing business, Year1 of next 4-year cycle) – as initial assessment a) above, incorporating rigging operations.</p> <p>d) Interim reassessment (existing business, Year 3 of next 4-year cycle) – tree work operations, aerial or ground based.</p> <p>NB: Failure in this aspect of the Standards will result in an overall unsuccessful assessment or reassessment outcome.</p>			
1.1a	SMALL businesses (1–4 people)		= 1× active worksite to be presented incorporating rigging (unless an interim reassessment)	

Module 1.0: Worksite Audit

	Details	✓ or ✗	Requirements	Comments
1.1.1	Paperwork: <ul style="list-style-type: none"> ■ Job sheet/work specification ■ Risk assessment, site-specific (inc. COVID-19) ■ Method statement (MS) ■ CoSHH assessments ■ Emergency contingencies (including aerial rescue) ■ Wildlife/European Protected Species (EPS) impact assessments ■ Biosecurity considerations/arrangements ■ TPO consents/CA 6-week expiry/felling licence, or exceptions/exemptions from the above if applicable, to ensure works can proceed lawfully. Consider also planning conditions relating to development. 	Yes No Part	<ul style="list-style-type: none"> ■ All relevant, comprehensive and correctly used. ■ Evidence of staff site briefing of risk assessments/MS/CoSHH assessments through signatures and reviewed daily on multi-day sites. ■ Where tree climbing, a clear hierarchical approach is applied consistent with the ICoP2/TG1. ■ A clear emergency aerial rescue plan is in place with nominated responsible persons. ■ EPS, in particular bats and nesting birds etc., fully considered. ■ A suitable biosecurity risk assessment and arrangements are in place to avoid the spread of pests and diseases. 	
1.1.2	Information and guidance: <ul style="list-style-type: none"> ■ Generic risk assessments ■ AFAG/FISA leaflets/HSE info and booklets ■ Hospital A&E lists and emergency contacts ■ AA Technical Guides (TG1–TG5*) ■ Accident/incident/near-miss forms ■ Biosecurity guidance/information ■ Wildlife/EPS guidance/information. <p>* TG3 available May 2021 (estimated)</p>	Yes No Part	<ul style="list-style-type: none"> ■ Usually contained within vehicle packs to demonstrate staff on site have adequate information/guidance available to operate safely and for reference if they are unsure or in event of emergency. Other forms, as necessary, to be available for eventualities which may occur. ■ Biosecurity guidance/information usually issued by the FC, Defra/Fera or Arb Association. ■ Wildlife info from AA/Bat Conservation Trust/ Natural England etc. 	

Module 1.0: Worksite Audit

	Details	✓ or ✗	Requirements	Comments
1.1.3	On-site personnel: <ul style="list-style-type: none"> ■ On-site personnel suitably proficient/operationally skilled for tasks undertaken (as observed) ■ Good customer care practices followed by all staff on site adhering to Customer Care Policy. 	Yes No Part	<ul style="list-style-type: none"> ■ As observed during on-site working, demonstrating good, efficient and safe working practices. ■ Personnel will be employees OR 'regular' sub-contractors with a history of being engaged. 	
1.1.4	PPE: <ul style="list-style-type: none"> ■ PPE correct (boots, trousers, gloves, helmets, eye/ear protection, hi-vis, personal first aid kits etc.) 	Yes No Part	<ul style="list-style-type: none"> ■ As detailed in AFAG/FISA leaflets and HSE INDGs/AA TGs etc. and being used correctly (PFA kit, inc. catastrophic bleed control: blood-stopper/tourniquet/blood clot compound etc. as appropriate) with suitable training. ■ For further information, visit: www.trees.org.uk/News-Blog/Latest-News/First-aid-kit-guidance 	
1.1.5	First aid provision: <ul style="list-style-type: none"> ■ First aid provision to be suitable and sufficient and industry specific (EFAW +F/+A etc.) 	Yes No Part	<ul style="list-style-type: none"> ■ Both crew and individual FA kits required and eye-wash and clean water. Ensure at least two current, trained first aiders (emergency 1-day course) on any site and the training is industry/arborist/tree surgery specific. ■ LARGER businesses should also have people 3-day trained (FAW) or retained. 	
1.1.6	Fire-fighting equipment: <ul style="list-style-type: none"> ■ Fire-fighting equipment secured, suitable and accessible, as applicable. 	Yes No Part	<ul style="list-style-type: none"> ■ In terms of type/size of extinguishers, as dictated by fire risk assessment process, and evidence of periodic servicing/checking by a competent person. 	
1.1.7	Tools and equipment <ul style="list-style-type: none"> ■ Tools and equipment including chainsaws and climbing/rigging kit, comply with AFAG/FISA guidelines etc. 	Yes No Part	<ul style="list-style-type: none"> ■ These will be checked on site by the assessors for safety features, efficient operation and evidence that pre-use checks have been effective. 	

Module 1.0: Worksite Audit

	Details	✓ or ✗	Requirements	Comments
1.1.8	Organisation/welfare: <ul style="list-style-type: none"> General arrangement of worksite is appropriate, safe and effective (including any necessary liaison with, and coordination of, works affecting others/contractors) Signing, lighting and guarding effective and conforms to industry standards Roles on site clearly understood Effective communication Good manual handling techniques employed Arisings handled/converted appropriately Aerial rescue provision planned, equipment available and personnel competent Fuelling point and spill control arrangements Welfare arrangements identified, available and staff informed Biosecurity control measures and appropriate arrangements/cleaning of workwear/ disinfection of tools, equipment, vehicles, machinery in place (where applicable) COVID-19 controls in place. 	Yes No Part	<ul style="list-style-type: none"> The assessors will expect to observe a well-arranged worksite operating safely, efficiently and with minimum possible disruption to surroundings and with no adverse impacts on others/contractors. Pedestrians in particular and traffic must be safe and well managed at the site. Staff handling timber sections will employ safe manual handling techniques with mechanical aids as necessary. Aerial rescue will be fully planned and 'ready to go!' Fuelling and storage points carefully selected with drip facility in place. Welfare arrangements available, including toilet facilities and hand cleansing. Use of appropriate biosecurity control measures to avoid transmission of serious P&Ds, including cleaning and disinfecting tools with proprietary products etc. as appropriate. Companies should consider the need for a basic biosecurity kit available during work activities. COVID-19 controls active and staff are aware of requirements and implementation. 	
1.1.9	MEWPs (where applicable – if tree is climbed, see section 1.1.10): <ul style="list-style-type: none"> Appropriate selection of MEWP for job in hand Conforms to industry good practice (WAH Regs, LOLER Regs, AA – TG5 (AFAG 403) Competent, safe and proficient techniques to be observed. 	Yes No Part	<ul style="list-style-type: none"> Where use of a MEWP is deemed necessary through WAH risk assessment (or where a MEWP is used in preference to climbing), assessors will expect to see safe and efficient operations of the MEWP demonstrated in line with TG5. 	

Module 1.0: Worksite Audit

	Details	✓ or ✗	Requirements	Comments
1.1.10	Climbing/work positioning (where applicable – if using MEWP, see section 1.1.9): <ul style="list-style-type: none"> ■ Conforms to industry good practice (WAH Regs, LOLER Regs, ICoP2, AA - TG1 & TG2 (AFAG 401 & 402.)) ■ Equipment appropriate, correctly marked/used ■ Competent, safe and proficient climbing techniques to be observed. 	Yes No Part	<ul style="list-style-type: none"> ■ The assessors will expect to see use of friction-saving devices where pruning is demonstrated as a secondary operation (where the MEWP has been used for the sectional dismantle) and modern climbing techniques which accord with current industry good practice including use of a backup line etc. as applicable. 	
1.1.11	Rigging – MANDATORY (unless interim reassessment): <ul style="list-style-type: none"> ■ Conforms to industry good practice: LOLER PUWER and WAH Regs, ICoP2 and AA TG3 (and TG4 if crane is used.) ■ Equipment appropriate, correctly marked, fit for purpose and set up properly ■ Staff competent for work in hand ■ Competent person in charge of operation. 	Yes No Part	<ul style="list-style-type: none"> ■ The assessors will expect to see current rigging techniques and safe/efficient lowering operations, ideally involving both branch and stem sections. ■ Competent ground-based operatives to be observed who are proficient in rigging techniques employed. ■ A rigging plan should be established, agreed, and ideally documented, e.g. method statement, for more complex operations. ■ If a crane is used, a suitable method statement and lift plan are to be produced and competent people used, including banksman/ signaller as required. 	
1.1.12	Ground-based operations (where applicable) including felling single or multiple trees, low-level crown lifting etc.: <ul style="list-style-type: none"> ■ Conforms to industry good practice (FISA/AFAGs/ PUWER etc.) ■ Equipment suitable for task and used safely/ proficiently ■ Staff competent for work in hand and appropriate supervision. 	Yes No Part	<ul style="list-style-type: none"> ■ Generally applicable at interim reassessments ONLY. ■ The assessors will expect to see safe and proficient operations underway following all relevant industry good practice guidance. ■ Where felling is involved, avoiding damage to people, property, underground services, sensitive ground, specimen plants etc. will be expected, with appropriate measures employed. 	

Module 1.0: Worksite Audit

	Details	✓ or ✗	Requirements	Comments
1.1.13	Vehicles <ul style="list-style-type: none"> ■ Displaying correct licences if applicable ■ Vehicle weights legal for driver ■ In roadworthy condition (as far as is possible to assess) ■ No smoking signs in vehicles ■ Hand wash/wipes provision available ■ Biosecurity arrangements if applicable ■ COVID-19 controls in place and active. 	Yes No Part	<ul style="list-style-type: none"> ■ Will be checked to ensure legal and roadworthy (as far as possible). ■ Mandatory 'NO SMOKING' signs to be in place and adequate provision for hand wash/wipe at lunch breaks, i.e. industrial hand-wipes. ■ Cleaning/wash-off area designated/ biosecurity disinfectant mats used etc. as appropriate. ■ COVID-19 signage/welfare etc. ■ Assessors should refer contractors to relevant regulators as applicable, i.e. DVLA/VOSA/DVSA/ Police for confirmation of status. 	

	Details	✓ or ✗	Requirements	Comments
2.1	<p>Completed Works – pruning to involve medium/large tree(s), minimum 16m in height, to be presented as finished jobs and the minimum numbers of examples for each operation must be available for inspection. Ideally, photographs of the job before, during and after should also be available.</p> <p>a) Initial assessment (applicant business, Year 1 of 4-year cycle) – tree planting(s) + crown lifts + crown reductions + other pruning works*.</p> <p>b) Interim reassessment (new business, Year 3 of 4-year cycle) – a range of recently completed tree pruning works to include some BS3998-compliant operations.</p> <p>c) Full reassessment (existing business, Year 1 of next 4-year cycle) – as initial assessment a) above.</p> <p>d) Interim reassessment (existing business, Year 3 of next 4-year cycle) – as interim reassessment b) above to include some BS3998-compliant operations.</p> <p><i>* Numbers of examples are variable dependent upon the operation and business size – see details below.</i></p> <p>NB: Failure in this aspect of the Standards will result in an overall unsuccessful assessment outcome.</p>			
	<p>PLEASE NOTE: MANDATORY completed works must be to a high standard, compliant with any recognised industry standard, e.g. BS3998/BS8545, and observed as individual operations on the assessment day. Where the first example(s) observed do not meet the required standard further examples will need to be seen to avoid the requirement for a revisit at a later date.</p> <p>Other standard pruning operations are not compulsory but can be observed if time permits to support the contractor's application.</p>			

Module 2.0: Work Quality Inspections and Arboricultural Knowledge

	Details	✓ or ✗	Requirements	Comments
2.1.1	Tree planting MANDATORY (unless interim reassessment): <ul style="list-style-type: none"> ■ Appropriate spec (from contractor) ■ Conforms to spec ■ Stock and technique ■ Stakes, mulch and aftercare 	Yes No Part	<ul style="list-style-type: none"> ■ Minimum 1× tree planting example (see across). ■ Standard tree(s), minimum size 8–10 cm girth and of appropriate species, to be observed planted correctly. ■ Awareness of typical aftercare programme to be demonstrated. ■ Knowledge of soil additives, mulching methods, support systems and irrigation etc. 	
2.1.2	Crown lifting MANDATORY (unless interim reassessment): <ul style="list-style-type: none"> ■ Appropriate spec (from contractor) ■ Conforms to spec ■ Correct cuts ■ Correct finished result 	Yes No Part	<ul style="list-style-type: none"> ■ Minimum 1× crown lifting example (see across) and ideally as individual operations. ■ No major stem or limb wounds to be present, not exceeding $\frac{1}{3}$ diameter of parent stem and remaining live crown making up at least $\frac{2}{3}$ of the final height of the tree. 	
2.1.3	Crown reduction MANDATORY (including interim reassessment): <ul style="list-style-type: none"> ■ Appropriate spec (from contractor) ■ Conforms to spec ■ Correct cuts ■ Correct finished result. 	Yes No Part	<ul style="list-style-type: none"> ■ Minimum 2× crown reduction examples (see column 1), including a specific BS3998-compliant crown reduction operation are to be observed, i.e. typically 1–2m height and radial reduction, with the rule of thirds applied. ■ One example should, ideally, involve a tree with a maiden crown (not previously worked) but may also include a fully lapsed pollard/reduced crown, i.e. where the tree has developed a new maiden structure. ■ NB: Pruning back to a previous reduction point/line is not acceptable here. ■ <i>Interim reassessments should also present 1× BS3998-compliant crown reduction operation.</i> 	
The contractor MUST also present at least 2 different examples of completed works from any of the following 4 pruning operations.				

Module 2.0: Work Quality Inspections and Arboricultural Knowledge

	Details	✓ or ✗	Requirements	Comments
2.1.4	Crown thinning (optional): <ul style="list-style-type: none"> ■ Appropriate spec (from contractor) ■ Conforms to spec ■ Correct cuts ■ Correct finished result. 	Yes No Part	<ul style="list-style-type: none"> ■ Example(s) of specific crown thinning operation(s) to be observed, e.g. up to 30% but not less than 15%. Uniform; work mainly at periphery of tree crown to be presented. ■ Completed examples should, wherever possible, involve a tree with a maiden crown, i.e. not previously worked, but thinning out of tree regrowth from previous reductions can be included. 	
2.1.5	Deadwood (optional): <ul style="list-style-type: none"> ■ Appropriate spec (from contractor) ■ Conforms to spec ■ Correct cuts ■ Correct finished result. 	Yes No Part	<ul style="list-style-type: none"> ■ Demonstrating a risk-based approach to deadwood removal operations and, where appropriate, complete removal of deadwood to be observed, either full crown or part crown (this could include deadwood stabilisation for ecology). 	
2.1.6	Pollarding/re-pollarding (optional): <ul style="list-style-type: none"> ■ Appropriate spec (from contractor) ■ Conforms to spec ■ Correct cuts ■ Correct finished result. 	Yes No Part	<ul style="list-style-type: none"> ■ Undertaken as a long-term management regime commenced on the tree at a young age/small size (as per BS3998). Development of a knuckle to be evident and pruning on a cyclical basis. ■ NB: Works described as 'pollards' but which are actually topping/lopping will not normally be considered. 	
2.1.7	Formative pruning (optional): <ul style="list-style-type: none"> ■ Appropriate spec (from contractor) ■ Conforms to spec ■ Correct cuts ■ Correct finished result. 	Yes No Part	<ul style="list-style-type: none"> ■ Generally involving the early years pruning of a younger tree to encourage good form and structure at maturity. However, this may also include targeted pruning to facilitate adjacent infrastructure, e.g. clearance from street furniture. 	
2.1.8 (also 4.1.9)	Work quality inspections: <ul style="list-style-type: none"> ■ An active system exists to monitor work quality and standards (including sub-contractors). 	Yes No Part	<ul style="list-style-type: none"> ■ Evidence of recorded periodic checks covering specification conformance, pruning cuts, tidy and finished site etc. 	

Module 2.0: Work Quality Inspections and Arboricultural Knowledge

	Details	✓ or ✗	Requirements	Comments
2.2	Arboricultural Technical Knowledge (Manager/s)			
2.2.1	Arb technical knowledge/competence: <ul style="list-style-type: none"> ■ Tree identification (including botanical name of common species and characteristics) ■ Tree biology and biomechanics (to include basically how the tree works as a system) ■ Tree pruning practices (to include CODIT, natural target pruning and BS3998) ■ Tree planting practices (to include selection, techniques, root preparations and BS8545) ■ Other tree management operations including veteran tree work, bracing and propping, fruit tree pruning and soil decompaction ■ Tree pests and diseases/fungi (including identification and significance of common species), biosecurity risks/controls associated with tree work operations and planting ■ Tree protections/exceptions (TPOs, Conservation Areas, planning conditions and development, felling licences) ■ Trees and common law (overhanging branches, right to light, duty of care etc.) ■ Trees on development sites, protective fencing and ground protection issues ■ Wildlife/ecological issues (including bats, nesting birds, SSSIs/red data book species) 	Yes No Part	<ul style="list-style-type: none"> ■ The named manager's general competence will be assessed across a range of relevant topic areas considering those listed across. ■ NB: You are not expected to be consultants. However, an adequate working knowledge MUST be demonstrated to ensure clients receive correct and appropriate advice. ■ If gaps are uncovered, a CPD plan will generally be jointly agreed. 	
2.2.2	Supporting factors and experience	Yes No Part	<ul style="list-style-type: none"> ■ Evidence of relevant qualifications (where applicable) and work-based experience (CV). 	

Module 2.0: Work Quality Inspections and Arboricultural Knowledge

	Details	✓ or X	Requirements	Comments
2.2.3	Sufficient CPD (ideally minimum 10 hours per year)	Yes No Part	<ul style="list-style-type: none"> Evidence of CPD e.g. attendance at ARB Show, AA Annual Conference, APF, AA/FC branch events, webinars, online training/seminars (plus reading ARB Magazine and Journals etc.) 	
2.2.4	CPD analysis	Yes No Part	<ul style="list-style-type: none"> Evidence of annual exercise ensuring knowledge is kept relevant and areas of action identified. 	
2.3 Reference Material				
2.3.1	Standards (BS/EAC/PPG etc.)	Yes No Part	<p>Relevant Standards to be available including:</p> <ul style="list-style-type: none"> BS3998:2010 Tree work: Recommendations (BSI full document or Tree Life Concise Guide – small businesses) Planning Practice Guidance: TPOs etc. (see planningguidance.planningportal.gov.uk/blog/guidance/tree-preservation-orders/ previously the Blue Book and applicable in England ONLY) <p>Other standards/information may also be held including:</p> <ul style="list-style-type: none"> BS8545 Trees from Nursery to Independence in the Landscape BS5837 Trees in Relation to Design, Demolition and Construction 	
2.3.2	Guides (AFAG/FISA/HSE/AA/ICoP2 etc.)	Yes No Part	<ul style="list-style-type: none"> All relevant industry best practice guides to be available to staff, i.e. HSE (INDGs)/AFAG/FISA leaflets, AA Technical Guides 1–5 and Industry Code of Practice for Arboriculture – Tree Work at Height (ICoP2). 	
2.3.3	Books: <ul style="list-style-type: none"> Identification P&D etc. 	Yes No Part	<ul style="list-style-type: none"> Suitable library to allow correct advice to be given (possibly to include Research for Amenity Trees series). 	
2.3.4	ARB Magazines/Journals/trade organisations/ArbTalk/Arb Digest emails	Yes No Part	<ul style="list-style-type: none"> To demonstrate updating of knowledge by reference to industry body journals, newsletters, Tree Alerts, wider industry updates etc. 	

Module 3.0: Customer Care and Office Procedures (due diligence)

	Details	✓ or ✗	Requirements	Comments
3.1	Customer Care and Office Systems (Appropriate to size of business and industry sectors serviced)			
3.1.1	Means of recording enquiries	Yes No Part	<ul style="list-style-type: none"> ■ Suitable for size of business and a logical system that ensures all get a response. ■ ADVISORY – be aware of the requirements of the Data Protection Act (see www.ico.org.uk/). 	
3.1.2	System of making appointments	Yes No Part	<ul style="list-style-type: none"> ■ Suitable for size of business and a logical system that ensures all get an appointment within a reasonable timescale. 	
3.1.3	Quotations/tree work specifications: <ul style="list-style-type: none"> ■ Clear and to national standards ■ Comprehensible to enquirer ■ Arrangements for disposal of arisings ■ Responsibility for checking tree protections (engagement with LPA/FC/Natural England etc.) 	Yes No Part	<ul style="list-style-type: none"> ■ Ref. to BS3998 Tree Work – Recommendations where appropriate, or other relevant standards. ■ Terminology accurate and adequately explained. ■ State arrangements for disposal of tree debris. ■ Contractor's ultimate responsibility to ensure official consents are in place or exceptions apply. 	
3.1.4	Contract agreed in appropriate manner	Yes No Part	<ul style="list-style-type: none"> ■ Fair and reasonable, preferably in writing to show a clear chain of custody and client's acceptance of the contract specification and T&Cs. If verbal, it should be logged/recorded. See also 3.1.8 below. 	
3.1.5	Work programming effective and clear for client	Yes No Part	<ul style="list-style-type: none"> ■ Dates set, agreed and adhered to. ■ Applications for TPOs/CON areas – timeline is explained to client with updates at each stage to regulate client expectations. 	

Module 3.0: Customer Care and Office Procedures (due diligence)

	Details	✓ or X	Requirements	Comments
3.1.6	Invoices: <ul style="list-style-type: none"> ■ Linked to contracted works ■ UK addresses and names (both parties) ■ VAT number if applicable ■ Unique reference number ■ Payment terms 	Yes No Part	<ul style="list-style-type: none"> ■ A unique identification number. ■ Your company name, address and contact information. ■ The company name and address of the customer you are invoicing. ■ A clear description of what you're charging for, the date the goods or service were provided (supply date) <p>See www.gov.uk/invoicing-and-taking-payment-from-customers/invoices-what-they-must-include</p>	
3.1.7	Other business stationery , letterheads, receipts etc. show UK address and company names + VAT number if applicable	Yes No Part	<ul style="list-style-type: none"> ■ In line with Companies House/Companies Act ■ VAT number to appear on all stationery where VAT referred to. 	
3.1.8	All terms and conditions clear, fair and reasonable	Yes No Part	<ul style="list-style-type: none"> ■ Appropriate and relevant to the business, i.e. 14-day right-to-cancel' period (Consumer Contracts Regs, Consumer Protection Act), payment terms etc. 	
3.1.9	Debt collection system appropriate and clearly defined	Yes No Part	<ul style="list-style-type: none"> ■ Suitable for size of business and a logical, documented system that ensures all debts are managed. 	
3.1.10	Customer care policy includes robust and effective complaints procedure	Yes No Part	<ul style="list-style-type: none"> ■ Initial logging system, e.g. Incident Log, to ensure all complaints are dealt with on a reasonable timescale and follow-up procedures documented. ■ If TrustMark™ accredited, you must comply with this process: www.trustmark.org.uk/if-things-go-wrong/. 	

Module 3.0: Customer Care and Office Procedures (due diligence)

	Details	✓ or ✗	Requirements	Comments
3.1.11	Customer care policy includes customer satisfaction checking system	Yes No Part	<ul style="list-style-type: none"> Actively checking customer satisfaction is good business practice and in the interests of the business. Evidence can vary from follow-up calls with customer comments noted on file to forms/tear-off slips with invoices to be returned to online systems. As applicable, negative comments to be managed, e.g. inputted to company Incident Matrix and followed up in accordance with adopted Incident Management Procedure. 	
3.1.12	Office set-up and arrangements: <ul style="list-style-type: none"> Well organised/appropriately equipped Filing systems effective Suitable staff welfare Appropriate signage for No Smoking Company website appropriate/accurate and illustrating good/best practice. TrustMark™ Registration – logo use (if applicable). COVID-19 controls in place and active 	Yes No Part	<ul style="list-style-type: none"> Tidy and logical Simple HSE risk assessment available Adequate business equipment Cleaning/toilets etc. Complies with Smoke-free Regs 2007 Company website to be reviewed for accuracy of information/advice and images etc., highlighting good/safe practice and good tree work standards. Once approved, use of scheme logos and marketing will also be checked. Check logo use aligns with TM branding Guidelines see www.trustmark.org.uk/docs/default-source/brand-and-logos/brand-guidelines-for-registered-businesses.pdf?sfvrsn=2cf59107_6 COVID-19 controls, signage, information etc. in place and staff aware/informed. 	

Module 3.0: Customer Care and Office Procedures (due diligence)

	Details	✓ or X	Requirements	Comments
3.2	Insurances			
3.2.1	Employers' Liability cover – usually £10 million MANDATORY	Yes No Part	■ Must be adequate and appropriate (and in place regardless of how staff resources are engaged).	
3.2.2	Public Liability cover – at least £5 million MANDATORY	Yes No Part	■ Should be adequate and appropriate covering all business activities in full.	
3.2.3	Professional Indemnity cover – at least £500,000 (where applicable)	Yes No Part	■ Should be adequate and appropriate. (There will be no vetting of arb reports as these are outside the scope of the ARB Approved Contractor Scheme.)	
3.2.4	Motor Vehicle (MV) cover – as appropriate	Yes No Part	■ Should be adequate and appropriate and cover all vehicles, trucks etc. used by the business.	
3.3	Licences (where applicable assessors should refer contractors to the regulatory body for confirmations of status etc., i.e. VOSA/DVLA/Police/Environment Agency/Local Authority)			
3.3.1	Waste carriers – to be specific to the business/ company	Yes No Part	■ To register as a lower tier waste carrier with the Environment Agency (EA). Seek advice from EA at www.environment-agency.gov.uk/business/sectors/wastecarriers.aspx .	
3.3.2	Waste transfer (including green waste treatment and storage) – as applicable	Yes No Part	■ If not a registered Waste Transfer Centre then a T6 exemption certificate, issued by the EA, should be in place where green waste is processed/treated www.gov.uk/waste-exemption-t6-treating-waste-wood-and-waste-plant-matter-by-chipping-shredding-cutting-or-pulverising . ■ A storage exemption (S2) may also be required if you are responsible for the site www.gov.uk/waste-exemption-s2-storing-waste-in-a-secure-place .	
3.3.3	Operator's licence – if applicable	Yes No Part	■ For vehicles over 3.5t.	
3.3.4	Driving licences legal in relation to vehicle combinations used	Yes No Part	■ To ensure drivers are driving/towing legally – note section 4b (photo/licence expiry). See www.gov.uk/newlicencerules . ■ Copies taken/viewed online see www.gov.uk/check-driving-information both sides of photo-card and repeated annually (ideally February). ■ System to view driving record via www.gov.uk/view-driving-licence to satisfy most fleet policy terms.	

Module 3.0: Customer Care and Office Procedures (due diligence)

	Details	✓ or ✗	Requirements	Comments
3.4	Wildlife and Ecology			
3.4.1	Wildlife and ecology policy: <ul style="list-style-type: none"> State how the company will minimise the impact on wildlife and habitats, in particular European Protected Species (EPS) such as bats, dormice, crested newts etc. and nesting birds. 	Yes No Part	<ul style="list-style-type: none"> The Wildlife and Countryside Act 1981; Countryside and Rights of Way Act 2000; Habitat Regs. 2010; Nature Conservation (Scotland) Act 2004 etc.; and any/all other relevant and current regulatory controls, collectively give very strong levels of protection and if breached can result in significant penalties being imposed. Hence companies should have specific policies and arrangements in place to manage this. 	
3.5	Biosecurity			
3.5.1	Biosecurity policy: <ul style="list-style-type: none"> State how the company will promote and encourage the implementation and understanding of good biosecurity practices to assist in safeguarding the future of our trees from the introduction and spread of harmful organisms. 	Yes No Part	<ul style="list-style-type: none"> Companies have a legal and moral duty to ensure their working practices are effectively planned, managed and supervised to reduce the possibility of introduction or spread of harmful organisms such as tree pests, diseases and invasive tree species. Hence companies should have specific policies and arrangements in place to manage this tailored to their business activities. 	

Module 3.0: Customer Care and Office Procedures (due diligence)

	Details	✓ or X	Requirements	Comments
3.6	Tree and Woodland Statutory Protection			
3.6.1	Tree protections policy and procedures: <ul style="list-style-type: none"> State how the company will ensure all relevant statutory tree and woodland protection measures are checked and complied with, including: <ul style="list-style-type: none"> - Tree Preservation Orders - Trees in Conservation Areas - Trees and Planning Conditions - Trees/woodlands and Felling Licences - Trees located on Sites of Special Scientific Interest (SSSIs) and Areas of Outstanding Natural Beauty (AONBs) etc. 	Yes No Part	<ul style="list-style-type: none"> Companies to have a robust, documented, procedure for checking the presence of any tree protections measures (this is due diligence) and making applications, issuing notifications and communicating as necessary with <ul style="list-style-type: none"> - the Local Planning Authority (LPA), i.e. the Council - Forestry England (Forestry Commission/ Defra), Forestry and Land Scotland, Natural Resources Wales etc. - Natural England/Local Authority. Any exceptions or exemptions to be clearly defined and determined. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or ✗	Requirements	Comments
4.1	Health and Safety Management (Appropriate to size of business, complexity of activities and industry sector serviced)			
4.1.1	Health and safety competent person	Yes No Part	<ul style="list-style-type: none"> Defined role: who performs it? If it is an external advisor, is there a formal contract in place? Can demonstrate a good understanding of H&S management. 	
4.1.2	Health and safety poster (a statutory notice), current version, displayed and filled in OR H&S law leaflet/pocket card supplied www.hse.gov.uk/pubns/books/lawposter.htm	Yes No Part	<ul style="list-style-type: none"> Empty fields filled in and clear to all employees; placed appropriately; more than one may be required. OR Signatures/dates obtained for leaflets/pocket cards if sole means of informing. 	
4.1.3	Fire procedures/signs displayed	Yes No Part	<ul style="list-style-type: none"> Fire Risk Assessment must be undertaken by a competent person for all business premises. Details of what to do in event of discovering a fire and where assembly point is. Fire extinguisher maintenance and checks. 	
4.1.4	Employee H&S consultation effective	Yes No Part	<ul style="list-style-type: none"> A system of effective two-way consultation demonstrated and to be documented and minuted. 	
4.1.5	Health and safety policy: <ul style="list-style-type: none"> Structure and validated – (i) General Statement, (ii) Organisation and (iii) Arrangements Signed and dated by MD/proprietor, including review date Displayed on staff noticeboard/company intranet etc. Roles and responsibilities of relevant staff 	Yes No Part	<ul style="list-style-type: none"> Clear structural composition as detailed in H&S package for contractors referring to Health and Safety at Work Act 1974 as the primary legislation and Management Regs 1999, stating also how implementation of the policy will be managed. Contractors must demonstrate compliance with the company policy at all levels. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or ✗	Requirements	Comments
4.1.6	Health and safety arrangements (see below a–m): <ul style="list-style-type: none"> ■ To ensure the company has appropriate and adequate H&S arrangements documented to achieve compliance. 	Yes No Part	<ul style="list-style-type: none"> ■ Individual references to sections a–m where applicable, i.e. how will the company comply with the requirements of the Work at Height Regs, and how the policy will be monitored and reviewed? ■ Check any system used for compliance reminders. 	
4.1.6a	Risk assessment: <ul style="list-style-type: none"> ■ Generic risk assessments (RAs) cover range of work undertaken ■ Generic RA refer to industry best practice and promote suitable controls ■ Site-specific assessments cover daily operations ■ Employees are trained in use ■ System regularly reviewed and revised if needed Method statements (MS): <ul style="list-style-type: none"> ■ Appropriate in structure and layout ■ Content adequate and usable ■ Details adequate and appropriate emergency procedures ■ Co-operating with others and co-ordinating your work with that of other contractors COVID-19 risk assessment and controls	Yes No Part	Risk assessment: <ul style="list-style-type: none"> ■ RA process in place which must be understood, suitable and sufficient, logical and defensible. ■ If generics used, must cover typical range of work. ■ Up to date and suitable for the task being carried out (including use of backup system for tree climbing.) ■ Evidence of staff site briefing through signatures and reviewed daily on multi day sites. ■ Evidence of staff training through minuted staff consultation. Evidence of regular review. Method statements: <ul style="list-style-type: none"> ■ Derived from the risk assessment process. ■ Production of generic MS for complex/high-risk operations to establish a safe system of work, detailing all relevant information including site, personnel, vehicles, operations, supervision, duration, emergency procedures etc. ■ You should be able to illustrate how co-operation and co-ordination of your work is achieved in practice, and how you involve the workforce in drawing up MS/safe systems of work. COVID-19: <ul style="list-style-type: none"> ■ policy, risk assessment/controls, communications, signage/posters etc. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or X	Requirements	Comments
4.1.6b	Working at height: <ul style="list-style-type: none"> ■ Key roles/responsibilities/personnel identified, including competent person and proficient operators. ■ Risk assessment must take account of the factors considered to determine the most appropriate means of access, i.e. advanced work planning by a competent person. ■ Suitable work equipment is selected and used correctly (including MEWPs where appropriate). ■ Emergency procedures are managed, and adequate arrangements are in place including an aerial rescue plan. ■ ALL above aspects are referenced in the Industry Code of Practice for arboriculture (ICoP2). 	Yes No Part	<ul style="list-style-type: none"> ■ Work at height is potentially high risk and must be planned (including identification of key roles, e.g. responsible person/competent person/proficient operator and a clearly hierarchical approach, i.e. work from ground, work from MEWP, work from rope and harness including backup lines/systems), organised and carried out by competent/proficient persons. ■ Where tree climbing is undertaken it must accord with industry best practice, i.e. AA TG1 (AFAG 401 and 402) and other applicable AA TGs for MEWPs etc. ■ Emergency procedures must be specific to the particular site and method of access employed. They must be planned and available for immediate implementation if required. 	
4.1.6c	Provision and use of work equipment <ul style="list-style-type: none"> ■ Pre-use/daily operator checks for all qualifying equipment are carried out effectively. ■ System of fault recording is in place. ■ Records of inspection and servicing of all qualifying equipment are available ■ Provision of adequate information, instruction and training by employers (see section 3.6) 	Yes No Part	<ul style="list-style-type: none"> ■ Qualifying equipment includes more complex items such as chippers, grinders and vehicles. Evidence of checks required. ■ Chainsaws are considered to be less complex and subject to daily pre-use checks. Hence maintenance (repair/replace)/periodic checks should be carried out and recorded by management. ■ Service records in the form of copy invoices for externally sourced work or service sheet detailing in-house maintenance. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or X	Requirements	Comments
4.1.6d	Lifting operations and lifting equipment: <ul style="list-style-type: none"> ■ Pre-use/daily checks undertaken ■ Interim checks, often weekly, of items subject to high levels of wear and tear undertaken and suitably recorded. ■ Competent and qualified person inspections undertaken and suitable. ■ Out-of-service equipment dealt with effectively. 	Yes No Part	<ul style="list-style-type: none"> ■ Kit will be examined on site to ensure that it meets requirements as far as reasonably practicable. ■ Evidence of adequate inspection records as recommended by LOLER Approved Code of Practice (ACoP) HSE website. ■ Evidence of historical and current competent person checks. ■ System for ensuring redundant equipment cannot be brought back into service. 	
4.1.6e	Control of Substances Hazardous to Health (CoSHH) and Control of Asbestos Regs Assessments: <ul style="list-style-type: none"> ■ Material safety data sheets (MSDSs) available/ stored ■ Pesticide records ■ Health monitoring (HM) ■ Surplus disposal (SD) ■ Asbestos arrangements (generally unlikely to be encountered but a very significant hazard/health risk if dust/fibres inhaled, hence a specific risk assessment should be produced). 	Yes No Part	<ul style="list-style-type: none"> ■ A list of qualifying substances to be drawn up, assessed and MSDSs (often on internet) obtained. Copies of assessments to be kept at point of use, storage and in office (copies of relevant sections included in vehicle packs). ■ Harmful substances produced, e.g. tree sap, wood dust, leaf hairs, should also be risk assessed. ■ In accordance with Green Code, i.e. suitable stock record and application records and access to BASIS-qualified persons where appropriate. ■ HM and SD if necessary and as appropriate. 	
4.1.6f	Manual handling operation: <ul style="list-style-type: none"> ■ Evidence of manual handling training being undertaken with an understanding of manual handling assessments. 	Yes No Part	<ul style="list-style-type: none"> ■ Musculoskeletal disorders (MSDs) are a common cause of workplace absence. Good instruction and supervision must be evidenced to ensure employers are meeting their duties. 	Often further development issues after initial approval, provided an adequate understanding is in place.
4.1.6g	First aid: <ul style="list-style-type: none"> ■ Evidence of a first aid assessment being considered. ■ Evidence of adequate and relevant (i.e. industry-specific) first aid provision in place. 	Yes No Part	<ul style="list-style-type: none"> ■ The contractor needs to have appropriate and adequate arrangements for first aid (FA) provision at the workplace. 	As above

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or X	Requirements	Comments
4.1.6h	Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR) and accident/incident management: <ul style="list-style-type: none"> ■ A good awareness of RIDDOR requirements AND accident reporting (see Appendix 1). 	Yes No	<ul style="list-style-type: none"> ■ Knowledge of the requirements of Accident and Incident Reporting and Recording (AIRR) including investigation and principles of prevention. ■ Knowledge of the RIDDOR regulations and reportable incidents will be required. ■ Knowledge of how to notify and how to report. 	As above
4.1.6i	Personal protective equipment (PPE): <ul style="list-style-type: none"> ■ PPE requirements determined by RA process ■ Staff provided with necessary PPE ■ Records of issuing, checking and maintaining. 	Yes No	<ul style="list-style-type: none"> ■ PPE provided, relevant and compliant with industry good practice, i.e. AFAG/FISAs. ■ PPE register detailing who has received what and signed to acknowledge receipt. 	As above
4.1.6j	Fire Safety Order (FSO) and Dangerous Substances and Explosive Atmospheres (DSEAR): <ul style="list-style-type: none"> ■ Fire risk assessment (FRA) to be undertaken and documented for all premises/offices. ■ DSEAR as applicable. 	Yes No	<ul style="list-style-type: none"> ■ The Fire Safety Order (2005) places the responsibility for undertaking fire risk assessments with the premises' owner/occupier. ■ DSEAR assessment is mainly applicable where petrol vapours build up to create an explosive atmosphere. 	As above
4.1.6k	Control of Vibration in the Workplace – VIBRATION: <ul style="list-style-type: none"> ■ Identify vibrating power tools/machinery and magnitudes. ■ Be aware of typical vibration exposure times/have risk assessment and undertake health surveillance (HS) for all staff. 	Yes No	<ul style="list-style-type: none"> ■ Hand-arm vibration (HAVS) is well known in the industry. The Regs place the onus upon employers to inform employees about HAVS and control the exposure of staff to, vibration from machinery to limit the risk of permanent damage and undertake health monitoring surveillance where appropriate. 	As above
4.1.6l	Control of Noise in the Workplace – NOISE: <ul style="list-style-type: none"> ■ Identify noisy (above 80db) power tools/machinery and be aware of noise exposure times etc. ■ Adequate risk assessment in place (and HS) for all staff. 	Yes No	<ul style="list-style-type: none"> ■ Excessive noise is well known in the industry. The 2005 Regs place the onus upon employers to inform employees about noise, control exposure to limit the risk of permanent damage, and undertake health surveillance of staff. 	As above

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or ✗	Requirements	Comments
4.1.6m	Welfare arrangements To include provision of/access to: <ul style="list-style-type: none"> Clean, working toilet facilities and hand-wash facilities with hot water etc. 	Yes No Part	<ul style="list-style-type: none"> The Workplace Health, Safety & Welfare Regs. place a duty on employers to make adequate provision for welfare facilities (see left). 	As above
4.1.7	Sub-contractors*/consultants (if applicable) <ul style="list-style-type: none"> To have procedures in place to ensure appointment of competent sub-contractors/consultants. To have arrangements in place to monitor sub-contractor performance. 	Yes No Part	<ul style="list-style-type: none"> Sub-contractors* are engaged on a clear, written, contractual basis. Evidence showing how you ensure sub-contractors are competent including examples of assessments you have carried out. Stating Public Liability insurance levels, PPE provision, details of service, evidence of training and competence. Evidence showing your methodology for undertaking sub-contractor performance assessments. 	
*The ArbAC scheme defines a sub-contractor as a separate business entity providing a bespoke operation/service (e.g. timber haulage, stump-grinding) that is outside the mandatory requirements of the ArbAC Standard. ALL mandatory tree work operations must be undertaken by employees of the company using company equipment (however, sub-contract labour only is acceptable). The ArbAC scheme recognises that during busy times contractors may need to utilise arboricultural sub-contractors to undertake works but the scheme does not permit the majority of works to be undertaken by/contracted out as an integral part of ArbAC's business model. ArbAC status cannot be conferred or inferred in part or in its entirety onto a sub-contractor in carrying out an ArbAC's operations.				
4.1.8	An auditable system exists to monitor staff compliance with H&S (including sub-contractors).	Yes No Part	<ul style="list-style-type: none"> Evidence of recorded periodic checks (e.g. use of AFAG/FISA leaflets where appropriate). 	
4.1.9	An auditable system exists to monitor work quality and standards (including sub-contractors).	Yes No Part	<ul style="list-style-type: none"> Evidence of recorded periodic checks covering specification conformance, pruning cuts, tidy and finished site etc. 	
4.1.10	Review and revision of H&S management procedures	Yes No Part	<ul style="list-style-type: none"> A fundamental requirement of all H&S management procedures. Understanding of why this is necessary and evidence of how the process works within the company. How the H&S performance of the company can be assessed to check effectiveness, i.e. sickness records, accident book entries and RIDDOR reports. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or ✗	Requirements	Comments
4.2	Health and Safety Communications and Controls (applicable only to larger contractors, i.e. 10–19 or above employees and multi-office businesses)			
4.2.1	Clear and effective lines of communication and consultation	Yes No Part	<ul style="list-style-type: none"> Evidence of how the senior management ensures communication at all levels and as a two-way process. 	
4.2.2	Public Liability cover – at least £5 million	Yes No Part	<ul style="list-style-type: none"> Dedicated persons responsible for ensuring communications links are effective and compliance is achieved at all levels. 	
4.3	Training and Competence			
4.3.1	Training and information <ul style="list-style-type: none"> To have in place and implement, adequate and effective training arrangements for employees To have in place an effective system for assessing and implementing update and refresher training To have in place adequate health and safety information and guidance (see Appendix 2.0) 	Yes No Part	<ul style="list-style-type: none"> To ensure employees have the necessary skills and understanding to undertake their tasks safely and effectively. Production of a comprehensive skills/ training matrix is useful to manage and administer deficiencies and necessary updates, combined with a system of appraisal/monitoring. 	
4.3.2	Qualifications/certifications and experience <ul style="list-style-type: none"> To ensure employees have the necessary qualifications to undertake their tasks To ensure employees have the necessary and relevant experience. 	Yes No Part	<ul style="list-style-type: none"> To ensure that, combined with training and information, employees have the necessary competence to safely and effectively undertake their tasks unless under controlled, competent supervision. To include City & Guilds NPTC/Lantra/National Award certificates of competence/licence to practise or evidence of auditable training as appropriate (see FISA 805 <i>Training and Certification</i>). 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or ✗	Requirements	Comments
3.3.3	Training records for employees and sub-contractors including: <ul style="list-style-type: none"> ■ Induction training/H&S awareness training ■ Certificates of competence – chainsaw/ MEWPs/ aerial work/pesticide application ■ Evidence of auditable training for chippers/stump grinders, i.e. City & Guilds NPTC or Lantra ITA ■ Driving licences ■ First aid (ideally industry specific +F) ■ Fire fighting ■ Signing, lighting and guarding ■ Arb competence for level/other training (CPD) ■ Insurance details (sub-contractors) ■ CSCS cards (where appropriate) ■ Bat/wildlife awareness training ■ IOSH Working Safely (1 day) e.g. ■ Evidence of in-house/on-the-job training ■ Biosecurity and P&D awareness ■ COVID-19 awareness training (in-house) 	Yes No Part	<ul style="list-style-type: none"> ■ New employees will be expected to be inducted to the company, often with use of a simple checklist. ■ Relevant competence certificates etc. and training will be required as detailed in FISA 805. ■ Driving licences to be copied periodically – at least annually. ■ Personnel combinations to ensure at least two trained first aiders (emergency 1 day) on any site and ideally someone within the company with First Aid at Work. ■ Signing, Lighting & Guarding required to cover roadside tree works which affect the highway. ■ Adequate training in the use of fire extinguishers. ■ Records of any further relevant training, in particular bat awareness. ■ The Forestry Commission e-learning package provides free training on the subject of tree pests and diseases and biosecurity. The course can be found at: www.forestrylearning.org.uk/login/index.php. ■ To understand symptoms, impacts and precautionary measures and requirements for COVID-19. 	
4.3.4	A system exists for assessing training needs of staff (including refresher training for all disciplines)	Yes No Part	<ul style="list-style-type: none"> ■ Training matrix or similar detailing qualifications etc. for all staff available to the company, detailing areas for additional/refresher/update training as required. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or X	Requirements	Comments
4.4	Environmental			
4.4.1	Environmental policy <ul style="list-style-type: none"> ■ Produce a written policy identifying those operations undertaken by the company that may create pollution risks and/or waste generation and state what controls/prevention are in place to minimise any risk identified. ■ Identify and document those operations undertaken by the company which may have an adverse effect on the environment and state the controls imposed. 	Yes No Part	<ul style="list-style-type: none"> ■ Incorporating the Environmental Protection Act and Pollution Prevention & Control Act and any associated regulations, in terms of pollution control and waste management. ■ This will consider issues including fuel and oil run-offs causing ground and watercourse contamination. Oil and fuels storage and controls. Pesticides also. ■ Also, selection of bio-degradable oils over mineral oils where appropriate. 	
4.5	Stores/Workshop			
4.5.1	Secure and generally tidy and safe to work in	Yes No Part	<ul style="list-style-type: none"> ■ No slip, trip, fall hazards, no exposed lighting strips/bulbs, no exposed wiring etc. 	
4.5.2	Appropriate signage <ul style="list-style-type: none"> ■ Externally (Explosive, No Smoking etc.) ■ Internally (electric shock, eye/ear protection, first aid) ■ COVID-19 controls signage/posters 	Yes No Part	<ul style="list-style-type: none"> ■ Relevant to contents of stores/containers etc. and operations conducted, with signs being compliant with H&S (Safety Signs and Signals) Regs. etc. ■ COVID-19 posters in place 	
4.5.3	Appropriate illumination/electricity supply	Yes No Part	<ul style="list-style-type: none"> ■ Required for staff welfare but must not create ignition risk. In remote areas, consider solar/battery lights. 	
4.5.4	Complies with Oil Storage Regs if applicable	Yes No Part	<ul style="list-style-type: none"> ■ Single containers over 200 litres to be bunded. ■ Bulk tanks to be bunded including delivery pipes. 	
4.5.5	Has spill control	Yes No Part	<ul style="list-style-type: none"> ■ Suitable products – not sawdust, to prevent fouling of drains and groundwater etc. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or X	Requirements	Comments
4.5.6	Suitable wall-mounted first aid kit	Yes No Part	<ul style="list-style-type: none"> To be well stocked with in-date eye wash and contents/materials etc. Re-stocking procedures. 	
4.5.7	Suitable fire risk assessment, procedure and equipment (and DSEAR assessment if applicable)	Yes No Part	<ul style="list-style-type: none"> Carry out and record a fire risk assessment to identify and eliminate/reduce risk of fire/explosion. 	
4.5.8	Suitable staff welfare – cleaning/toilets etc.	Yes No Part	<ul style="list-style-type: none"> To comply with Workplace (Health, Safety and Welfare) Regs 1992 (see HSE INDG 244). 	
4.5.9	Pesticide/herbicide storage and records	Yes No Part	<ul style="list-style-type: none"> In line with current legislative requirements for adequate storage and stock lists etc. 	
4.5.10	CoSHH information/controls/PPE etc.	Yes No Part	<ul style="list-style-type: none"> To be available to staff at the point of i) usage, i.e. in the vehicles and ii) storage, e.g. in the stores and clearly defined reviewed date. 	
4.5.11	Equipment has appropriate guards/signs	Yes No Part	<ul style="list-style-type: none"> i.e. eye protection, ear protection and protection guards in situ and in good working order. 	
4.5.12	Equipment is serviceable and tested if necessary	Yes No Part	<ul style="list-style-type: none"> Including portable electrical equipment and pressure vessels (compressors). 	
4.5.13	Suitable biosecurity kit	Yes No Part	<ul style="list-style-type: none"> Appropriate and sufficient items available for routine biosecurity control measures, cleaning and disinfection. 	

Module 4.0: Health & Safety Management and Workplace Inspection etc.

	Details	✓ or ✗	Requirements	Comments
4.6	Yard			
4.6.1	Vehicle movements, control of pedestrians, adequate illumination and equipment adequate	Yes No Part	<div> <div></div> <p>Generally safe and tidy yard with adequate space for vehicle manoeuvring at peak times, i.e. morning and night, in particular in winter. Possible risk assessment required.</p> </div>	
4.6.2	Timber arisings safe, secure and signed as appropriate	Yes No Part	<div> <div></div> <p>Cordwood stored safely and appropriately, i.e. generally not exceeding 1.8 m high unless special measures employed.</p> </div>	
4.6.3	Woodchip storage safe, secure and within EA guidelines etc.	Yes No Part	<div> <div></div> <p>10 m from watercourse; not in groundwater protection area; not more than 500 tonnes in any 7-day period.</p> </div>	

Appendix 1: Accident Reporting and Accident Investigation

We expect you to have satisfactory arrangements for recording, reporting and investigating accidents and incidents. Your arrangements should clearly define your reporting procedure for all RIDDOR-reportable events. Provide evidence of your arrangements and details of two recent accidents or incidents, how they were investigated, and the actions taken to prevent recurrence. Please ensure records containing personal details are managed/stored according to data protection requirements.

Please provide figures for any accidents/incidents in the last 3 years (0 entries across the board will not normally be accepted).

Year Ending	Fatal	SPECIFIED INJURY or OVER 7 DAYS	NON-REPORTABLE (accident book entries)	DANGEROUS OCCURENCES	REPORT ILL-HEALTH	NEAR MISSES (inc. machinery / property damage)
E.g. 2015	0	1	8	0	0	6
2019						
2020						
2021 (to date)						

The above will form the basis of the ArbAC assessment in demonstrating compliance with RIDDOR and competent accident/incident management and procedures. ArbACs will be expected to present relevant information in the above table format.

Appendix 2: Sources of Information and Guidance

Organisation	Web Address
Arboricultural Association	www.trees.org.uk
City & Guilds NPTC	www.nptc.org.uk
Confederation of Forest Industries (ConFor)	www.confor.org.uk
Direct Gov	www.gov.uk
Driver and Vehicle Licensing Agency	www.dvla.gov.uk
Forest Research	www.forestresearch.gov.uk
Forestry England	www.forestry.gov.uk
Forestry Contracting Association	www.fcauk.com
Forestry Industry Safety Accord	www.ukfisa.com
Freight Transport Association	www.fta.co.uk
Health and Safety Executive	www.hse.gov.uk
HSE "Treework"	www.hse.gov.uk/treework
HSE Books	www.books.hse.gov.uk
Institute of Chartered Foresters	www.charteredforesters.org
International Society of Arboriculture (ISA)	www.isa-arbor.com
Lantra	www.lantra.co.uk
Lantra Awards	www.lantra-awards.co.uk
Legislation	www.legislation.gov.uk
Road Haulage Association	www.rha.net

Ref.	Title
AA	Safety Guide 1: Tree Climbing & Aerial Rescue (SG1)
AA	Safety Guides 2, 3, 4 and 5 <i>Safety Guides are supplementary checklist leaflets for use in conjunction with associated Technical Guides.</i>
AFAG 401/2	Tree Climbing Operations / Aerial Tree Rescue
AFAG 403	Mobile Elevating Work Platforms (MEWPs) Tree Work
AFAG 606	Mobile Stump Grinders
AFAG 608	Top-handled Chainsaws
AIS16	Storing Pesticides
AIS38	Power-fed Mobile Wood Chippers – Operator Safety at Infeed Chutes
AS24	Power Take-offs and Power Take-off Drive Shafts
BS3998	Recommendations for Tree Work
BS5837	Trees in Relation to Design, Demolition and Construction – Recommendations
BS8545	Trees from Nursery to Establishment in the Landscape
FISA103	Planting
FISA104	Fencing
FISA202	Application of Pesticides by Hand-held Equipment
FISA203	Clearing Saw
FISA301	Using Petrol Driven Chainsaws
FISA302	Basic Chainsaw Felling and Manual Takedown
FISA303	Snedding
FISA304	Chainsaw Cross Cutting and Manual Stacking
FISA306	Chainsaw Clearance of Windblow
FISA307	Chainsaw Felling of Large Trees
FISA310	Use of Winches in Directional Felling and Takedown

Appendix 2: Sources of Information and Guidance

Ref.	Title
FISA501	Tractor Units in Tree Work
FISA502	Extraction by Skidder
FISA503	Extraction by Forwarder
FISA504	Extraction by Cable Crane
FISA601	Mobile Circular Saw Bench
FISA602	Mobile Peeling Machine
FISA603	Mechanical Roadside Processing
FISA607	Firewood Processors
FISA701	ATV Quad Bikes
FISA702	All-terrain Vehicles
FISA703	De-bogging and Recovery of Forest Machines
FISA704	Excavators in Tree Work
FISA705	Steep Slope Working in Forestry
FISA802	Emergency Planning
FISA803	Fire Fighting
FISA804	Electricity at Work: Forestry and Arboriculture
FISA805	Training and Certification
GS6	Avoiding Danger from Overhead Powerlines
HSE	Determination of Rope Access and Work Positioning Techniques in Arboriculture
HSG47	Avoiding Danger from Underground Services
HSL/2003/18	Karabiner Safety in the Arboriculture Industry
INDG136	A Brief Guide to CoSHH
INDG143	Getting to Grips with Manual Handling
INDG163	Risk Assessment
INDG173	Office-wise

Ref.	Title
INDG175	Control the Risks from Hand-Arm Vibration–Guidance for Employers on Control of Vibration at Work Regulations
INDG185	Using Tractors Safely
INDG214	First Aid at Work: Your Questions Answered
INDG229	Using Work Equipment Safely
INDG236	Maintaining Portable Electric Equipment in Low-risk Environments
INDG259	Health and Safety Made Simple
INDG290	Lifting Equipment at Work – A Brief Guide
INDG296	Hand-Arm Vibration – Advice for Employees
INDG317	Chainsaws at Work
INDG36	Working with VDUs
INDG362	Noise at Work – Guidance for Employers
INDG363	Protect Your Hearing or Lose It (employees’ leaflet)
INDG370	Fire and Explosion
INDG401	Work at Height Regulations 2005 – A Brief Guide for Employers
INDG402	Safe Use of Ladders and Step Ladders – Employer’s Guide
INDG68	You Could be in for a Shock
INDG69	Violence at Work: A Guide for Employers
INDG73	Working Alone
INDG90	Ergonomics and Human Factors at Work
MISC614	Preventing Falls from Boom-type MEWPs
RR668	Evaluation of Current Rigging and Dismantling Practices Used in Arboriculture

Please note: This is not an exhaustive list.

Appendix 3: Assessment/Reassessment Outcomes

New applicant businesses:

The possible outcomes and further steps following initial assessment (costs are indicative – see website for current charges).

Assessment outcome	Entitlements	Timescales for rectification of areas standard not met	Cost for further review/assessment if necessary (+VAT)
1. FULL APPROVAL (COMPLIANT) ArbAC status is awarded as a result of full compliance with the Standard and no further action is required. <i>Full (initial) approval – often requires areas to be improved upon/ become embedded (H&S systems) by next review.</i>	<ul style="list-style-type: none"> ■ Manager's identification card(s). ■ Sample vehicle livery. ■ Directory entry on 'Find a Tree Surgeon' section AA website. ■ An electronic copy of the ArbAC logo for marketing purposes. ■ Entitlement lasts for 4 years (assuming re-approval at any reassessment/revisit/audits after initial assessment). Additionally, access to TrustMark™ and, indirectly, other SSiP registered Safety Schemes.	N/A	N/A
2. PENDING APPROVAL (NON-COMPLIANT) (a) minor rectification(s) (b) major rectification(s) (c) revisit (partial criteria) ArbAC status is deferred because of non-compliance until the issues are rectified by either submission of documents or by a further assessment visit. If a further assessment visit is required, it is normally restricted to the assessment of areas of the Standard deemed not compliant.	<ul style="list-style-type: none"> ■ Open dialogue with ArbAC Scheme Manager/appointed Lead Assessor and AA website resource. 	(a) Submission – minor rectification(s) up to 3 months, OR (b) Submission – major rectification(s) 3-6 months, OR (c) Revisit – partial criteria within 9 months	(a)/(b) £95 - £255 (c) £535 per assessor per day will apply
3. NON-APPROVAL ArbAC status is declined because of significant failings. A further full assessment visit will be required covering the full Standard.	<ul style="list-style-type: none"> ■ Open dialogue with ArbAC Scheme Manager and AA website resource. 	N/A (advisory may be given)	Full assessment fee at re-application

STANDARD – FEWER THAN 5



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