

# Arboricultural Association



## **ARB Approved Contractor** Standard

for

## **Contractors of fewer than 5 employees**

## 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 Safety Inspection

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 of each module may vary according to the size of the business: This is the Standard for larger businesses, i.e. more than 5 people, which contains more criteria than the Standard for small businesses. Some elements are specific to the largest businesses only.

### **THIS IS THE STANDARD FOR SMALL BUSINESSES**

Is this the right standard for your size of business?

#### **BUSINESS SIZE:**

Business size is determined by the number of people who work in your business, **including yourself (the employer)**. Businesses are classed as either:

- (i) “fewer than 5 employees”, , i.e. up to 5 people in the business (see this standard) *or*  
(ii) “5 or more employees”  +, i.e. more than 5 people in the business (see separate standard)

In working 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 sub-contract work such as other arboricultural businesses, i.e. bona fide sub-contractors.

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## MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS
1.1	<p><b>On Site Operation(s) - involving medium/large sized tree(s), min. 16m in height, to be observed as <u>active worksite(s)</u></b></p> <p>a) Initial assessment (applicant business, Yr.1 of 4 yr. cycle) – aerial tree work, e.g. sectional felling/take-down/dismantle, OR large branch removal etc <u>incorporating rigging operations</u> to be presented (+ one other example of aerial tree work for larger businesses.)</p> <p>b) Interim reassessment (new business, Yr.3 of 4 yr. cycle) – tree work operations, aerial or ground based, to be presented.</p> <p>c) Full reassessment (existing business, Yr.1 of 'next' 4 yr. cycle) – as initial assessment a) above <u>incorporating rigging operations</u></p> <p>d) Interim reassessment (existing business, Yr.3 of 'next' 4 yr. cycle) – tree work operations, aerial or ground based.</p> <p><i>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment/reassessment outcome.</i></p>			
1.1a	SMALL SIZED businesses (1-5 people)		= <b>1x active worksite to be presented</b> incorporating rigging (unless an interim reassessment)	
1.1.1	<p>Paperwork:</p> <p>Job sheet/work specification</p> <p>Risk assessment, site specific</p> <p>Method statement (MS, should be presented)</p> <p>CoSHH assessments</p> <p>Emergency contingencies (including aerial rescue)</p> <p>Wildlife/EPS impact assessments</p> <p>Biosecurity considerations/arrangements</p>		<p>All relevant, comprehensive and correctly used.</p> <p>Evidence of staff site briefing of risk assessments/MS/CoSHH assessments through signatures and reviewed daily on multi-day sites.</p> <p>A clear emergency aerial rescue plan is in place with nominated responsible persons.</p> <p>European Protected Species (EPS), in particular bats and nesting birds etc fully considered.</p> <p>To ensure any suitable biosecurity risk assessment and arrangements are in place to avoid the spread of pests &amp; diseases.</p>	
1.1.2	<p>Information and guidance:</p> <p>Generic risk assessments</p> <p>AFAG/FISA leaflets/HSE info and booklets</p> <p>Hospital A&amp;E lists and emergency contacts</p> <p>Guide to Good Climbing Practice</p> <p>Accident/incident/'near-miss' forms</p> <p>Biosecurity guidance/information</p>		<p>Usually contained within vehicle packs to demonstrate staff on site have adequate information/guidance available to operate safely and for reference if unsure or in event of emergency.</p> <p>Other forms, as necessary, to be available for eventualities which may occur.</p> <p>Biosecurity guidance/information usually issued by the FC, DEFRA/FERA or Arb Association.</p>	

## MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
1.1.3	On site personnel suitably proficient/operationally skilled for tasks undertaken (as observed)		As observed during on site working demonstrating good, efficient and safe working practices.	
1.1.4	PPE correct (boots, trousers, gloves, helmets, eye/ear protection, hi-viz, personal first aid kits etc)		As detailed in AFAG/FISA leaflets and HSE INDGs etc and being used correctly (PFA kit, blood-stopper/tourniquet/blood clot compound etc as appropriate).	
1.1.5	First Aid Provision to be suitable and sufficient and industry specific (EFAW +F/+A etc)		Both crew and individual FA kits required and clean water. Ensure at least two current, trained first aiders (emergency 1-day course) on any site and ideally the training is industry/arborist/tree surgery specific.	
1.1.6	Fire-fighting equipment secured, suitable and accessible, as applicable		In terms of type/size of extinguishers, as dictated by fire risk assessment process, and evidence of servicing/checking by a competent person.	
1.1.7	Tools and equipment, including chainsaws and climbing/rigging kit, comply with AFAG/FISA guidelines etc		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 Safety Inspection

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS
1.1.8	<p>Organisation:</p> <p>General arrangement of worksite is appropriate, safe and effective (including any necessary liaisons with, and coordination of, works affecting others/contractors)</p> <p>Signing, lighting and guarding effective and conforms to industry standards</p> <p>Roles on site clearly understood</p> <p>Effective communication</p> <p>Good manual handling techniques employed</p> <p>Arisings handled/converted appropriately</p> <p>Aerial rescue provision planned, equipment available and personnel competent</p> <p>Fuelling point and spill control arrangements</p> <p>Welfare arrangements identified, available and staff informed</p> <p>Biosecurity control measures and arrangements/cleaning of workwear/disinfection of tools, equipment, vehicles, machinery in place (where applicable)</p>		<p>The assessors will expect to observe a well-arranged worksite operating safely, efficiently and with minimal disruption possible 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.</p> <p>Aerial rescue will be fully planned and 'ready to go!'</p> <p>Fuelling and storage points carefully selected with 'drip facility' in place.</p> <p>Welfare arrangements available, including toilet facilities and hand cleansing.</p> <p>Use of appropriate biosecurity control measures to avoid transmission of serious P&amp;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.</p>	
1.1.9	<p>MEWPs (where applicable – if tree is climbed, see section 1.1.10)</p> <p>Appropriate selection of MEWP for job in hand</p> <p>Conforms to industry good practice (WAH Regs., LOLER Regs, AFAG 403 and Guide to Use of MEWPs in Arb (GUMA)</p> <p>Competent, safe and proficient techniques to be observed</p>		<p>The assessors, where deemed necessary through WAH risk assessment (or where used in preference to climbing), will expect to see safe and efficient operations of the MEWP demonstrated in line with GUMA.</p>	

## MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS
1.1.10	<p>Climbing/work positioning (where applicable – if using MEWP, see section 1.1.9)</p> <p>Conforms to industry good practice (WAH Regs, LOLER Regs, AFAG 401 &amp; 402, GGCP)</p> <p>Equipment appropriate, correctly marked/used</p> <p>Competent, safe and proficient climbing techniques to be observed</p>		<p>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.</p>	
1.1.11	<p>Rigging - <b>MANDATORY</b> (unless interim reassessment)</p> <p>Conforms to industry good practice (LOLER PUWER and WAH Regs)</p> <p>Equipment appropriate, correctly marked, 'fit for purpose' and set up properly</p> <p>Staff 'competent' for work in hand</p> <p>Competent person in charge of operation</p>		<p>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.</p>	
1.1.12	<p>Ground based operations (where applicable) including felling, single or multiple trees, low level crown lifting etc</p> <p>Conforms to industry good practice (FISA/AFAGs/PUWER etc)</p> <p>Equipment suitable for task and used safely/proficiently</p> <p>Staff competent for work in hand and appropriate supervision</p>		<p>Generally applicable at interim reassessments <b>ONLY</b>, the assessors will expect to see safe and proficient operations underway following all relevant industry good practice guidance. Where felling is involved, avoidance of damage to persons, property, underground services, sensitive ground, specimen plants etc will be expected, with appropriate measures employed.</p>	



## MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
1.1.13	<p>Vehicles</p> <p>Displaying correct licences if applicable</p> <p>Vehicle weights legal for driver</p> <p>In roadworthy condition (as far as possible to assess)</p> <p>No smoking signs in vehicles</p> <p>Hand wash/wipes provision available</p> <p>Biosecurity arrangements if applicable</p>		<p>Will be checked to ensure legal and roadworthy (as far as possible).</p> <p>Mandatory 'NO SMOKING' signs to be in place and adequate provision for hand wash/wipe at lunch breaks, i.e. industrial hand-wipes</p> <p>Cleaning/wash-off area designated/biosecurity disinfectant mats used etc as appropriate.</p> <p><i>Assessors should refer contractors to relevant regulators as applicable, i.e. DVLA/VOSA/DVSA/Police for confirmation of status.</i></p>	

## MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.1	<p><b>Completed Works – pruning to involve medium/large sized tree(s), minimum 16m in height, to be presented as <u>finished jobs</u> 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.</b></p> <p>a) Initial assessment (applicant business, Year 1 of 4-year cycle) – tree planting(s) + crown lifts + crown reductions + other pruning works*.                      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.                      c) Full reassessment (existing business, Year 1 of next 4-year cycle) – as initial assessment a) above.                      d) Interim reassessment (existing business, Year 3 of next 4-year cycle) – as interim reassessment b) above to include some BS3998 compliant operations                      *numbers of examples are variable dependent upon business size – see details below.</p> <p><i>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment outcome.</i></p>			
	<p><b>PLEASE NOTE: MANDATORY</b> completed works <b><u>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.</u></b></p> <p><i>Other standard pruning operations are not compulsory but can be observed if time permits to support the contractor’s application.</i></p>			
2.1.1	<p>Tree planting <b>MANDATORY</b> (unless interim reassessment)</p> <ul style="list-style-type: none"> <li>• appropriate spec (from contractor)</li> <li>• conforms to spec</li> <li>• stock and technique</li> <li>• stakes, mulch and aftercare</li> </ul>		<p>1x tree planting example: standard tree, minimum size 8-10cm girth and of appropriate species, to be observed planted correctly. Awareness of typical aftercare programme to be demonstrated. Knowledge of mulching methods, support systems and irrigation etc.</p>	
2.1.2	<p>Crown lifting <b>MANDATORY</b> (unless interim reassessment)</p> <ul style="list-style-type: none"> <li>• appropriate spec (from contractor)</li> <li>• conforms to spec</li> <li>• correct cuts</li> <li>• correct finished result</li> </ul>		<p>1x crown lifting example and ideally as individual operations.                      No major stem or limb wounds to be present, not exceeding 1/3 diameter of parent stem, and if undertaken some time ago, a complete ring of wound wood to be present.</p>	

## MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.1.3	<p>Crown reduction <b>MANDATORY</b> (including interim reassessment)</p> <ul style="list-style-type: none"> <li>• appropriate spec (from contractor)</li> <li>• conforms to spec</li> <li>• correct cuts</li> <li>• correct finished result</li> </ul>		<p>Minimum 2x crown reduction examples* including a specific BS3998 compliant crown reduction operation is to be observed, i.e. typically 1-2m height and radial reduction, with the 'rule of thirds' applied.</p> <p>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.</p> <p><b>NB Pruning back to a previous reduction point/line is not acceptable here!</b></p> <p><i>*Interim reassessments should also present 1x BS3998 compliant crown reduction operation.</i></p>	
<p><b>The contractor MUST also present at least 2 examples of completed works from any of the following 4 pruning operations:</b></p>				
2.1.4	<p>Crown thinning (optional)</p> <ul style="list-style-type: none"> <li>• appropriate spec (from contractor)</li> <li>• conforms to spec</li> <li>• correct cuts</li> <li>• correct finished result</li> </ul>		<p>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.</p> <p>Completed examples should, wherever possible, involve a tree with a maiden crown, i.e. not previously worked, but thinning out of tree re-growth from previous reductions can be included.</p>	
2.1.5	<p>Deadwood (optional)</p> <ul style="list-style-type: none"> <li>• appropriate spec (from contractor)</li> <li>• conforms to spec</li> <li>• correct cuts</li> <li>• correct finished result</li> </ul>		<p>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.</p>	

## MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.1.6	Pollarding (optional) <ul style="list-style-type: none"> <li>• appropriate spec (from contractor)</li> <li>• conforms to spec</li> <li>• correct cuts</li> <li>• correct finished result</li> </ul>		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"> <li>• appropriate spec (from contractor)</li> <li>• conforms to spec</li> <li>• correct cuts</li> <li>• correct finished result</li> </ul>		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.	
<b>2.2</b>	<b>Arboricultural Technical Knowledge (Manager/s)</b>			
2.2.1	Arb Technical Knowledge/Competency <ul style="list-style-type: none"> <li>• tree identification and characteristics</li> <li>• tree biology and biomechanics</li> <li>• tree pruning and planting practices</li> <li>• other tree management operations including veteran tree work, fruit trees, bracing and soil decompaction</li> <li>• tree pests and diseases/fungi/biosecurity</li> <li>• tree protections and controls</li> <li>• trees and common law</li> <li>• trees on development sites</li> <li>• wildlife and ecological issues</li> </ul>		The named manager's general competence will be assessed across a range of relevant topic areas considering those listed across. Note – you are not expected to be consultants. However, an adequate working knowledge <b>MUST</b> be demonstrated to ensure clients receive correct and appropriate advice. If gaps are uncovered, a CPD plan will generally be jointly agreed.	

## MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.2.2	Supporting factors and experience		Evidence of relevant qualifications (where applicable) and work-based experience (CV).	
2.2.3	Sufficient CPD (ideally minimum 15 hours per year)		Evidence of CPD eg attendance at Arb Show, APF, AA branch events, reading ARB Magazine and journals etc.	
2.2.4	CPD analysis and undertaking		Evidence of annual exercise ensuring knowledge is kept relevant and identify areas of action.	
<b>2.3</b>	<b>Reference Material</b>			
2.3.1	Standards (BS/EAC/PPG etc)		<p>Relevant Standards to be available including:</p> <ul style="list-style-type: none"> <li>• <b>BS 3998:2010 Tree work Recommendations</b> (BSI full document or Tree Life Concise Guide)</li> </ul> <p>Other standards/information may also be held including:</p> <ul style="list-style-type: none"> <li>• BS8545 Trees from Nursery to Independence in the Landscape</li> <li>• BS5837 Trees in relation to Design, Demolition and Construction</li> <li>• European Tree Pruning Guide</li> <li>• European tree and Palm Planting Guide</li> <li>• Planning Guidance: TPOs etc (see <a href="http://planningguidance.planningportal.gov.uk/blog/guidance/tree-preservation-orders/">http://planningguidance.planningportal.gov.uk/blog/guidance/tree-preservation-orders/</a> previously the 'Blue Book' and applicable in England ONLY)</li> </ul>	

## MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.3.2	Guides (AFAG/FISA/HSE/AA/ICoP etc)		All relevant industry best practice guides to be available to staff i.e. HSE (INDGs)/AFAG/FISA leaflets, Guide to Good Climbing Practice 2005 (GGCP), Guide to use of MEWPs in Arb 2008 (GUMA) and Industry Code of Practice for Arboriculture - Treework at Height (ICoP)	
2.3.3	Books (identification/P&D etc: Identification P&D		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		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 etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
<b>3.1</b>	<b>Customer Care and Office Systems</b> (Appropriate to size of business and industry sectors serviced)			
3.1.1	Means of recording enquiries		Suitable for size of business and a logical system that ensures all get a response. ADVISORY – be aware of requirements for Data Protection Act (see <a href="https://ico.org.uk/">https://ico.org.uk/</a> ).	Often customer contact pad or note pad.
3.1.2	System of making appointments		Suitable for size of business and a logical system that ensures all get an appointment within a reasonable timescale.	Often manager's diary or MS Outlook.
3.1.3	Quotations/tree work specifications Clear and to national standards Comprehensible to enquirer Arrangements for disposal of arisings Responsibility for checking tree protections		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 (advise Client).	Often hand-written pad with quote supplied on site (bear in mind Consumer Contract Regs including 14 day 'right to cancel'). Specs to be in line with BS3998 terminology and adequately prescriptive eg "crown reduce all round by approx. 2.0m" etc.
3.1.4	Contract agreed in appropriate manner		Fair and reasonable, preferably in writing to show a clear chain of custody (if verbal it should be logged/recorded). See also 3.1.8 below.	Often verbal, BUT record this, i.e. who and when (time and date) on copy quote. Ideally in writing (email or acceptance tear-off slip).
3.1.5	Work programming effective and clear for client		Dates set, agreed and adhered to.	Often a call from manager with diary.
3.1.6	Invoices Linked to contracted works UK address and names (individual, partners, corporate) VAT number if applicable Unique and sequential reference number Payment terms		Clear chain of custody. Detailed as appropriate. On all stationery where VAT referred to stating rate charged i.e. VAT @ x%. To clearly identify a particular invoice. States payment upon completion or within 28 days etc.	Logical invoices containing all relevant information and payment terms advised.

## MODULE 3.0: Customer Care and Office Procedures etc

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
3.1.7	Other business stationery, letterheads, receipts etc shows UK address and names (individual, partners, corporate) VAT number if applicable		In line with Companies House/Companies Act VAT number to appear on all stationery where VAT referred to.	As appropriate and mainly applicable to limited companies, not sole traders/partners.
3.1.8	All terms and conditions clear, fair and reasonable		Appropriate and relevant to the business, i.e. 14-day 'right to cancel' period (Consumer Contracts Regs. Consumer Protection Act), payment terms etc.	See across – 14-day 'right to cancel' period (Consumer Contracts Regs), payment terms etc.
3.1.9	Debt Collection System appropriate and clearly defined		Suitable for size of business and a logical, documented, system that ensures all debts are managed.	Ideally a simple documented procedure, i.e. 14 days – follow-up call; 28 days – follow-up letter; 42 days – implement online small claims etc.
3.1.10	Complaints procedure robust and effective		Initial logging system to ensure all complaints are dealt with in a reasonable timescale and follow up procedures documented. If TrustMark accredited, you must comply with this process: <a href="http://www.trustmark.org.uk/if-things-go-wrong/">http://www.trustmark.org.uk/if-things-go-wrong/</a> .	A simple documented procedure, i.e. within 24 hours – return call; within 3 days – return site visit; within 7 days – rectification (if appropriate) and signed off.
3.1.11	Customer satisfaction checking system		Actively checking customer satisfaction is good business practice and in the interest 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.	See across. Strongly encouraged, as customers/clients greatly value a follow up call etc to check they are happy with the job and the service.



## MODULE 3.0: Customer Care and Office Procedures etc

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
3.1.12	Office set up and arrangements 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 (TM) Registration – logo use (if applicable)		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 treework standards. Check logo use aligns with TM branding guidelines - see <a href="https://www.trustmark.org.uk/docs/default-source/useful-links/trustmark-member-logo-guidelines.pdf?sfvrsn=4">https://www.trustmark.org.uk/docs/default-source/useful-links/trustmark-member-logo-guidelines.pdf?sfvrsn=4</a>	Often 'at home' so relaxed view on risk assessment and fire risk assessment and does not expect signage etc unless employing administrative support.
<b>3.2</b>	<b>Insurances</b>			
3.2.1	Employers Liability cover – usually £10 million <b>MANDATORY</b>		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 <b>MANDATORY</b>		Should be adequate and appropriate covering all business activities in full.	
3.2.3	Professional Indemnity cover– at least £500,000 (where applicable)		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		Should be adequate and appropriate and cover all vehicles, trucks etc used by the business.	

## MODULE 3.0: Customer Care and Office Procedures etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
<b>3.3</b>	<b>Licences</b> (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		To register as a lower tier waste carrier with the Environment Agency (EA). Seek advice from EA at <a href="http://www.environment-agency.gov.uk/business/sectors/wastecarriers.aspx">http://www.environment-agency.gov.uk/business/sectors/wastecarriers.aspx</a> .	
3.3.2	Waste Transfer (including green waste treatment and storage) – as applicable		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 <a href="https://www.gov.uk/waste-exemption-t6-treating-waste-wood-and-waste-plant-matter-by-chipping-shredding-cutting-or-pulverising">https://www.gov.uk/waste-exemption-t6-treating-waste-wood-and-waste-plant-matter-by-chipping-shredding-cutting-or-pulverising</a> .  A storage exemption (S2) may also be required if you are responsible for the site <a href="https://www.gov.uk/waste-exemption-s2-storing-waste-in-a-secure-place">https://www.gov.uk/waste-exemption-s2-storing-waste-in-a-secure-place</a> .	
3.3.3	Operator's Licence – if applicable		For vehicles over 3.5t.	
3.3.4	Driving Licences legal in relation to vehicle combinations used		To ensure drivers are driving/towing legally – note <b>4b section (photo/licence expiry)</b> . See <a href="https://www.gov.uk/newlicencerules">https://www.gov.uk/newlicencerules</a> . Copies taken/viewed online see <a href="https://www.gov.uk/check-driving-information">https://www.gov.uk/check-driving-information</a> both sides of photo-card and repeated annually (ideally Feb).	

## MODULE 3.0: Customer Care and Office Procedures etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
<b>3.4</b>	<b>Wildlife and Ecology</b>			
3.4.1	Wildlife/Ecological Policy 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.		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.	
<b>3.5</b>	<b>Biosecurity</b>			
3.5.1	Biosecurity Policy 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.		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, disease and invasive tree species. Hence companies should have specific policies and arrangements in place to manage this tailored to their business activities.	

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
<b>4.1</b>	<b>Health and Safety Management</b> (Appropriate to size of business, complexity of activities and industry sector serviced)			
4.1.1	Health and Safety competent person		Defined role; who performs it; if external advisor – is there a formal contract in place? Can demonstrate a good understanding of H&S management.	Can be owner/manager but needs some level of knowledge of H&S, ideally IOSH Managing Safely.
4.1.2	Health and Safety Poster (a statutory notice), current version, displayed and filled in <u>OR</u> H&S law leaflet/pocket card supplied. <a href="http://www.hse.gov.uk/contact/faqs/lawposter.htm">http://www.hse.gov.uk/contact/faqs/lawposter.htm</a>		Empty fields filled in and clear to all employees; placed appropriately; more than one may be required; <u>OR</u> signatures/dates obtained for leaflets/pocket cards if sole means of informing.	Statutory poster completed and displayed, <u>OR</u> pocket cards issued if no workplace.
4.1.3	Fire Procedures/Signs displayed		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.	Basic level FRA for workshop and stores etc (see <a href="http://www.communities.gov.uk">www.communities.gov.uk</a> or local fire and rescue website) as applicable. Suitable fire extinguishers and signage to be available/in place.
4.1.4	Employee Consultation effective		A system of effective two-way consultation demonstrated and to be documented and minuted.	Ideally, periodic (quarterly?), documented H&S specific meetings, but general open lines of communication available to staff.
4.1.5	Policy Structure and validated - (i) General Statement, (ii) Organisation and (iii) Arrangements Signed and dated by MD/Proprietor, including review date Displayed on staff notice board Roles and responsibilities of relevant staff		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.	Basic level H&S Policy required (acknowledged 'over and above' legislation <u>BUT</u> clients, i.e. Local Authority, often require this). AA framework document on website will suffice for the purpose. Policy to be signed and dated with formal review date included.

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.1.6	<p>Health and Safety Arrangements (<b>see below a-m</b>)</p> <p>To ensure the company has appropriate and adequate H&amp;S arrangements documented to achieve compliance.</p>		<p>Individual references to these sections 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.</p>	<p>Basic level document as above considering the most relevant regulations and issues, including written evidence.</p> <p><b>NB: The focus is on observing the outcomes rather than very detailed arrangements here.</b></p>
4.1.6a	<p>Risk Assessment:</p> <p>Generic Risk Assessments (RA) cover range of work undertaken</p> <p>Generic RA refer to industry best practice and promote suitable controls</p> <p>Site specific assessments cover daily operations</p> <p>Employees are trained in use</p> <p>System regularly reviewed and revised if needed</p> <p>Method Statements (MS):</p> <p>Appropriate in structure and layout</p> <p>Content adequate and usable</p> <p>Details adequate and appropriate emergency procedures</p> <p>Co-operating with others and co-ordinating your work with that of other contractors</p>		<p>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.</p> <p>Evidence of staff site briefing through signatures and reviewed daily on multi day sites.</p> <p>Evidence of staff training through minuted staff consultation. Evidence of regular review. Derived from the risk assessment process.</p> <p>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.</p> <p>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.</p>	<p>Basic level, but effective, documentation required to be produced.</p> <p>See AA website for guidance and templates deemed 'suitable and sufficient' for the small business approach to RA &amp; MS.</p> <p>REMEMBER site risk assessment is not an exercise in form filling but a very important process involving spotting hazards and avoiding, or controlling, them effectively. Method Statement are deemed necessary only for complex operations and should detail the critical stages of the task.</p>

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✘	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.1.6b	<p>Working at Height</p> <p>Key roles/responsibilities/personnel identified.</p> <p>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.</p> <p>Suitable work equipment is selected and used correctly (including MEWPs where appropriate).</p> <p>Emergency procedures are managed, and adequate arrangements are in place including an aerial rescue plan.</p> <p>ALL above aspects are referenced in the industry code of practice document for arboriculture (ICoP).</p>		<p>Work at height is potentially high risk and must be planned (including identification of key roles, e.g. responsible person/competent person and a clearly hierarchical approach, i.e. work from ground, work from MEWP, work from rope and harness), organised and carried out by competent persons. Where tree climbing is undertaken it must accord with industry best practice i.e. AFAG 401 and 402 and Guide to Good Climbing Practice. 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.</p>	<p>These important regulations must be understood, at least in principle, and you must not make a presumption of tree climbing ahead of other, generally deemed safer, access methods, if at all.</p> <p>You must be able to demonstrate, on a job-by-job basis, how you have arrived at the access method employed and have adequate justification detailed where tree climbing is undertaken. Generally, the site risk assessment will be used for this purpose.</p> <p>You will be expected to have a copy of the ICoP document.</p>
4.1.6c	<p>Provision and Use of Work Equipment</p> <p>Pre-use/daily operator checks for all qualifying equipment are carried out effectively.</p> <p>System of fault recording is in place.</p> <p>Records of inspection and servicing of all qualifying equipment are available</p> <p>Provision of adequate information, instruction and training by employers (see section 3.6)</p>		<p>Qualifying equipment includes more complex items such as chippers, grinders and vehicles. Evidence of checks required.</p> <p>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.</p>	<p>This is a key area of H&amp;S regulation where the focus is on the outcome of machinery and equipment suitability, maintenance and performance, including appropriate safety features present and functional. Associated paperwork/records will be low key but present.</p>

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.1.6d	Lifting Operations and Lifting Equipment 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		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 ACOP HSE website. Evidence of historical and current competent person checks. System for ensuring redundant equipment cannot be brought back into service.	As above but with supporting records as applicable. Ensure there is a process on periodic/weekly checks to ensure equipment is operational and safe to use.
4.1.6e	Control of Substances Hazardous to Health and Control of Asbestos Regs. Assessments Material Safety Data Sheets (MSDS) available Pesticide Records Health monitoring (HM) Surplus disposal (SD) Asbestos arrangements (generally unlikely to be encountered but a very significant hazard/health risk if inhaled in dust/fibres form, hence a specific risk assessment should be produced).		A list of qualifying substances to be drawn up, assessed and MSDS (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, i.e. 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.	The CoSHH regs require the employer, regardless of business size, to carry out a formal risk assessment here. This will require a CoSHH RA template and the relevant MSDS, where applicable. See AA website for further information and templates. As a minimum on site a copy of the relevant MSDS detailing what the product is and what to do in the event of accidental spillage and first aid measures.
4.1.6f	<i>Manual Handling Operations Evidence of manual handling training being undertaken with an understanding of Manual Handling assessments</i>		<i>Musculo-skeletal disorders (MSDs) are a common cause for work place absence. Good instruction and supervision are required to be evidenced to ensure employers are meeting their duties.</i>	<i>Often further development issues after initial approval, provided an adequate understanding is in place.</i>
4.1.6g	<i>First Aid Evidence of a first aid assessment being considered Evidence of adequate and relevant (i.e. industry specific) first aid provision in place</i>		<i>The contractor needs to have appropriate and adequate arrangements for First Aid (FA) provision at the work place.</i>	<i>As above</i>

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.1.6h	<p><i>Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR) and Accident/Incident Management</i></p> <p><i>A good awareness of RIDDOR requirements/reporting</i></p> <p><i>AND accident recording - see Appendix 1.0</i></p>		<p><i>Knowledge of the requirements of Accident and Incident Reporting and Recording (AIRR) including investigation and principles of prevention.</i></p> <p><i>Knowledge of the RIDDOR regulations and reportable incidents will be required.</i></p> <p><i>Knowledge of how to notify and how to report.</i></p>	As above
4.1.6i	<p><i>Personal Protective Equipment (PPE)</i></p> <p><i>PPE requirements determined by RA process</i></p> <p><i>Staff provided with necessary PPE</i></p> <p><i>Records of issuing, checking and maintaining</i></p>		<p><i>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.</i></p>	As above
4.1.6j	<p><i>Fire Safety Order (FSO) and Dangerous Substances and Explosive Atmospheres (DSEAR)</i></p> <p><i>Fire Risk Assessment (FRA), for all premises/offices, to be undertaken and documented. DSEAR as applicable.</i></p>		<p><i>The FSO (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.</i></p>	As above
4.1.6k	<p><i>Control of Vibration in the Workplace - VIBRATION</i></p> <p><i>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.</i></p>		<p><i>Hand arm vibration (HAVS) is well known in the industry. The 2005 Regs place an onus upon employers to inform employees about HAVS and control the exposure to limit the risk of permanent damage and undertake health surveillance where appropriate.</i></p>	As above
4.1.6l	<p><i>Control of Noise in the Workplace - NOISE</i></p> <p><i>Identify noisy (above 80db) power tools/machinery and be aware of noise exposure times etc</i></p> <p><i>Adequate risk assessment in place and HS for all staff.</i></p>		<p><i>Excessive noise is well known in the industry. The 2005 Regs place an onus upon employers to inform employees about noise and control the exposure to limit the risk of permanent damage and undertake health surveillance of staff.</i></p>	As above



## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.1.6m	Welfare Arrangements; To include provision of/access to clean, working toilet facilities and hand-wash facilities with hot water etc		The Workplace Health, Safety & Welfare Regs. place a duty on employers to make adequate provision for welfare facilities (see across).	As above
4.1.7	Sub-contractors*/consultants (if applicable) To have procedures in place to ensure appointment of competent sub-contractors/consultants To have arrangements in place to monitor sub-contractor performance.		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 PL 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 of 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).		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).		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		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 their 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 (BASIC COMPLIANCE)
4.2	<b>Health and Safety Communications and Controls</b> (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		Evidence of how the senior management ensure communications at all levels and as a two-way process.	
4.2.2	Clear lines of command/responsibility		Dedicated persons responsible to ensure communications links are effective and compliance is achieved at all levels.	
4.3	<b>Training and Competence</b>			
4.3.1	<p>Training and information</p> <p>To have in place and implement, adequate and effective training arrangements for employees</p> <p>To have in place an effective system for assessing and implementing update and refresher training</p> <p>To have in place adequate health and safety information and guidance (<b>see Appendix 2.0</b>)</p>		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	<p>Qualifications/certifications and experience</p> <p>To ensure employees have the necessary qualifications to undertake their tasks</p> <p>To ensure employees have the necessary and relevant experience</p>		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 NPTC/Lantra/National Award certificates of competence /licence to practice or evidence of suitable auditable training (see FISA 805 Training & Certification).	

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.3.3	<p>Training records for employees and sub-contractors including:</p> <ul style="list-style-type: none"> <li>Induction training/H&amp;S awareness training</li> <li>Certificates of Competence – chainsaw/ MEWPs/aerial work/pesticide application</li> <li>Evidence of auditable training for Chippers/Stump Grinders, i.e. NPTC or Lantra Awards ITA</li> <li>Driving licences</li> <li>First Aid (ideally industry specific +F)/Fire Fighting</li> <li>Signing Lighting and Guarding</li> <li>Arb competence for level/other training (CPD)</li> <li>Insurance details (sub-contractors)</li> <li>CSCS cards (where appropriate)</li> <li>Bat/wildlife awareness training</li> <li>IOSH Working safely (1 day) e.g.</li> <li>Evidence of in-house/on-the-job training</li> <li>Biosecurity and P&amp;D awareness</li> </ul>		<p>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 &amp; 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 Pest and Disease and Biosecurity. The course can be found at:  <a href="https://www.forestrylearning.org.uk/login/index.php">https://www.forestrylearning.org.uk/login/index.php</a>.</p>	
4.3.4	<p>A system exists for assessing training needs of staff (including refresher training for all disciplines)</p>		<p>Training matrix or similar detailing qualifications etc for all staff available to the company detailing areas for additional/refresher/update training as required.</p>	

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
<b>4.4</b>	<b>Environmental</b>			
4.4.1	<p>Environmental Policy 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.</p> <p>Identify and document those operations undertaken by the company which may have an adverse effect on the environment and state the controls imposed.</p>		<p>Incorporating the Environmental Protection Act and Pollution Prevention &amp; Control Act and any associated regulations, in terms of pollution control and waste management.</p> <p>This will consider issues including fuel and oil run-offs causing ground and watercourse contamination. Oil and fuels storage and controls. Pesticides also.</p> <p>Also, selection of bio-degradable oils over mineral oils where appropriate.</p>	
<b>4.5</b>	<b>Stores/Workshop</b>			
4.5.1	Secure and generally tidy and safe to work in		No slip, trip, fall hazards, no exposed lighting strips/bulbs, no exposed wiring etc.	
4.5.2	<p>Appropriate signage Externally (Explosive, No Smoking etc) Internally (electric shock, eye/ear protection, first aid)</p>		Relevant to contents of stores/containers etc and operations conducted, with signs being compliant with H&S (Safety Signs and Signals) Regs. etc.	
4.5.3	Appropriate illumination/electricity supply		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		Single containers over 200 litres to be bunded. Bulk tanks to be bunded including delivery pipes.	

## MODULE 4.0: Health & Safety Management and Workplace Inspection etc

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.5.5	Has spill control		Suitable products – not sawdust, to prevent fouling of drains and groundwater etc.	
4.5.6	Suitable wall mounted first aid kit		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)		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		To comply with Workplace (Health, Safety and Welfare) Regs. 1992 (see HSE INDG 244).	
4.5.9	Pesticide/herbicide storage and records		In line with current legislative requirements for adequate storage and stock lists etc.	
4.5.10	COSHH information/controls/PPE etc		To be available to staff at the point of i) usage, i.e. in the vehicles and ii) storage, e.g. in the stores.	
4.5.11	Equipment has appropriate guards/signs		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		Including portable electrical equipment and pressure vessels (compressors).	
4.5.13	Suitable biosecurity kit		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 (BASIC COMPLIANCE)
<b>4.6</b>	<b>Yard</b>			
4.6.1	Vehicle movements, control of pedestrians, adequate illumination and equipment adequate		Generally safe and tidy yard with adequate space for vehicle manoeuvres at peak times i.e. morning and night, in particular in winter = possible risk assessment required.	
4.6.2	Timber arisings safe, secure and signed as appropriate		Cordwood stored safely and appropriately, i.e. generally not exceeding 1.8m high unless special measures employed.	
4.6.3	Woodchip storage safe, secure and within EA guidelines etc		10m from watercourse; not in groundwater protection area; not more than 500 tonnes in any 7 day period.	

**APPENDIX 1.0 – Accident Reporting and Accident Investigation (extract from CHAS Appendix)**

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 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	DANGEROUS OCCURENCES	REPORTABLE ILL- HEALTH	NEAR MISSES
<b>Eg. 2001</b>	<b>0</b>	<b>1</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>6</b>
2016						
2017						
2018						

Accompanying guidance states:

We expect you to have robust arrangements for reporting and investigating accidents and incidents.

Please submit your procedure for ensuring that any accidents or near misses are recorded, investigated and reported to the relevant enforcing authority.

**Assessors may be dubious if there have been no reported accidents or incidents for three years.** We will not dispute this, but the assessor will consider the nature and size of your company and where there is a zero return, we will seek assurance you have investigated under-reporting as a possible reason.

We expect you to investigate appropriately any accident to prevent a recurrence. Consequently, in addition to completing your accident statistics on the application form please support this with details regarding 2 accidents where recorded, how these were investigated and the conclusions of that investigation including any action taken to prevent a recurrence.

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 Two: Sources of Information and Guidance

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

Ref.	Title
402/2001	Safe Working Methods with Top-handled Chainsaws
AA	A Guide to Good Tree Climbing Practice
AA	A Guide to the Use of MEWPs in Arboriculture
AA	Industry Code of Practice for Arboriculture: Tree Work at Height (2015)

Ref.	Title
GS6	Avoiding Danger from Overhead Powerlines
HSE	Determination of Rope Access and Work Positioning Techniques in Arboriculture
HSE PM29	Electrical Risks from Steam/Water Pressure Cleaners
HSE SR1	Cleaning and Disinfection Using a Low Pressure Washer



Ref.	Title
AFAG401	Tree Climbing Operations
AFAG402	Aerial Tree Rescue
AFAG403	Mobile Elevating Work Platforms (MEWPs) for Tree Work
AFAG606	Mobile Stump Grinders
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
FC	Winching Operations in Forestry – Tree Takedown and Vehicle Debogging
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

Ref.	Title
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
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 on Control of Noise at Work Regs
INDG363	Protect Your Hearing or Lose It (employees’ leaflet)
INDG370	Fire and Explosion
INDG401	Work at Height Regulations 2005 – A Brief Guide for Employers



## APPENDIX 3.0 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)
<p>1. FULL APPROVAL</p> <p>ArbAC status is awarded as a result of full compliance with the Standard and no further action is required.</p>	<p>Manager's identification card(s), sample vehicle livery, Directory entry on website and 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).</p> <p><i>Additionally, access to TrustMark and, indirectly, other SSiP registered Safety Schemes.</i></p>	N/A	N/A
<p>2. PENDING APPROVAL</p> <p>(a) minor rectification(s) (b) major rectification(s) (c) revisit (partial criteria)</p> <p>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.</p>	<p>Open dialogue with ArbAC Scheme Manager/appointed Lead Assessor and AA website resource.</p>	<p>(a) Submission – minor rectification(s) up to 3 months, OR</p> <p>(b) Submission – major rectification(s) 3-6 months, OR</p> <p>(c) Revisit – partial criteria within 9 months</p>	<p>(a)/(b) £90 - £250</p> <p>(c) £520 per assessor per day will apply</p>
<p>3. NON-APPROVAL</p> <p>ArbAC status is declined because of significant failings. A further full assessment visit will be required covering the full Standard.</p>	<p>Open dialogue with ArbAC Scheme Manager and AA website resource.</p>	N/A (advisory may be given)	<p>Full assessment fee at re-application</p>

Existing ArbACs:

The possible outcomes and further steps following reassessment (costs are indicative, see website for current charges).

Reassessment outcome	Entitlements	Timescales	Cost (+VAT)
<p>1. FULL RE-APPROVAL</p> <p>ArbAC status is maintained as a result of full compliance with the Standards</p>	<p>Manager's identification card(s), sample vehicle livery, Directory entry on 'Find a Tree Surgeon' section of AA website, an electronic copy of the ArbAC logo for marketing purposes. Entitlement lasts for 4 years (assuming approval at any subsequent reassessment/revisit/audit etc).</p>	N/A	N/A
<p>2. PROVISIONAL RE-APPROVAL</p> <p>ArbAC status is maintained until <b>current accreditation expiry</b> whilst issues of non-compliance are rectified. Failure to demonstrate that these issues have been rectified by that date will result in entry to the online directory being suspended and, <i>after the maximum time period stated across</i>, ArbAC status being withdrawn. ArbAC status will only be reinstated when compliance with the Standard is demonstrated, either as a result of submission of evidence relating to non-compliant criteria or by a full reassessment, whichever is determined appropriate by the Scheme Manager.</p>	<p>Manager's identification card(s), sample vehicle livery, Directory entry on 'Find a Tree Surgeon' section of AA website and an electronic copy of the ArbAC logo for marketing purposes. Accreditation lasts until expiry as per compliance certificate.</p>	<p>(a) Submission - minor rectification(s) <i>Max. 1 month from accreditation expiry.</i></p> <p>(b) Submission – major rectification(s) <i>Max. 2 months from accreditation expiry.</i></p> <p>(c) Revisit – partial criteria <i>Max. 3 months from accreditation expiry</i></p>	<p>(a)/(b) £90 - £250</p> <p>(c) £520 per assessor per day will apply</p>
<p>3. NON-RE-APPROVAL</p> <p>ArbAC status is withdrawn because of major non-compliance. ArbAC status will only be reinstated when compliance with the Standard is demonstrated, either as a result of submission of evidence relating to non-compliant criteria or by a full reassessment, whichever is determined appropriate by the Scheme Manager.</p>	<p>Open dialogue with ArbAC Scheme Manager/appointed Lead Assessor and AA website resource.</p>	N/A (advisory may be given)	Full assessment fee at re-application