

Arboricultural Association



“ARB Approved Contractor”

Standard

for

Contractors of
‘less 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 a small business which contains fewer criteria than the Standard for larger businesses.

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) “less 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
- anyone else who is part of your business, e.g. mechanic, sawmill operator, 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	On Site Operation (medium/large sized sectional felling (minimum 16m high), or other works involving large diameter branch/limb removal, incorporating rigging operations, MUST be observed as an 'active' worksite.) <i>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment outcome.</i>			
1.1.1	Paperwork: <ul style="list-style-type: none"> • Job sheet/work specification • Risk assessment, site specific • Method statement (MS, should be presented) • CoSHH assessments • Emergency contingencies (inc. aerial rescue) • Wildlife/EPS impact assessments 		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. A clear 'emergency aerial rescue' plan is in place with nominated responsible persons. European Protected Species (EPS), in particular bats and nesting birds etc, fully considered.	
1.1.2	Information and guidance: <ul style="list-style-type: none"> • Generic risk assessments • AFAG leaflets/HSE info and booklets • Hospital A&E lists and emergency contacts • Guide to Good Climbing Practice • Material Safety Data Sheets (MSDSs) • Accident/incident/'near miss' forms 		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. Other forms, as necessary, to be available for eventualities which may occur.	
1.1.3	On site personnel suitably competent for tasks		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 INDG's etc. and being used correctly.	
1.1.5	First Aid Provision to be 'suitable and sufficient'		Both crew and individual FA kits required and clean water. Ensure at least two trained first aiders (emergency 1 day course) on any site and ideally someone within the company has FAW.	
1.1.6	Fire fighting equipment suitable and accessible, as applicable		In terms of type of extinguishers and evidence of servicing/checking by a competent person.	

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
1.1.7	Tools and equipment, including chainsaws, comply with AFAG / FISA guidelines etc.		These will be checked on site by the assessors for safety features, efficient operation and evidencing pre-use checks have been effective.	
1.1.8	Organisation: <ul style="list-style-type: none"> • General arrangement of worksite is appropriate, safe and effective • 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 		The assessors will expect to observe a well arranged work site operating safely, efficiently and with minimal disruption possible to surroundings. 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, point carefully selected with 'drip facility' in place. Welfare arrangements available, inc. toilet facilities and hand cleansing.	
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., AFAG 403 and Guide to Use of MEWPs in Arb. (GUMA)) • Competent, safe and proficient techniques to be observed 		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.	
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., AFAG 401 & 402, GGCP) • Equipment appropriate, correctly marked / used • Competent, safe and proficient climbing techniques to be observed 		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.	

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS
1.1.11	Rigging (MANDATORY) <ul style="list-style-type: none"> Conforms to industry good practice (LOLER PUWER and WAH Regs.) Equipment appropriate, correctly marked, 'fit for purpose' and set up properly. Staff 'competent' for work in hand. Competent person' in charge of Operation. 		The assessors will expect to see modern rigging techniques and safe/efficient lowering operations. Competent ground based operatives to be observed who are proficient in rigging techniques employed.	
1.1.12	Vehicles <ul style="list-style-type: none"> Displaying correct licences if applicable Vehicle weights legal for driver In roadworthy condition (as far as possible to assess) No smoking signs in vehicles Hand wash / wipes provision available 		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	Assessors should refer contractors to relevant regulators as applicable, i.e. DVLA / VOSA / Police for confirmation of status.

MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.1	<p>COMPLETED WORKS (The specification must be available to compare to the finished operations which MUST be of a high standard; minimum nos. of examples of each pruning operation must be available for inspection and reasonable sized trees used, i.e. minimum 15m high. Ideally photographs of the job 'before and after' should also be available). ALL works should accord with current BS3998 and European Tree Pruning Guide, as applicable.</p> <p><i>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment outcome.</i></p>			
	<p><i>PLEASE NOTE: MANDATORY completed works must be observed individually on the assessment day. Where the first example observed does not meet the required standard further examples will need to be seen to avoid the requirement for a partial re-assessment at a later date. Other standard pruning, or other, 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 (MANDATORY)</p> <ul style="list-style-type: none"> • appropriate spec (from contractor) • stock and technique • stakes, mulch and after care 		A standard tree, minimum 10-12, 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	
2.1.2	<p>Crown reduction (MANDATORY)</p> <ul style="list-style-type: none"> • appropriate spec (from contractor) • conforms to spec • correct cuts • correct finished cuts 		<p>Min. 2 examples including a specific BS3998 compliant crown reduction operation is to be observed, i.e. typically 1-2m all round, with the 'rule of thirds' applied.</p> <p>One example should, wherever possible, involve a tree with a 'maiden' crown, i.e. not previously worked.</p>	
2.1.3	<p>Crown thinning (MANDATORY)</p> <ul style="list-style-type: none"> • appropriate spec (from contractor) • conforms to spec • correct cuts • correct finished result 		<p>Min. 1 example of a sole crown thinning operation is to be observed, i.e. upto 30% but not less than 15%. Uniform, no deadwood present, unless specified for retention, no crossing branches, no 'lion tails', work at periphery.</p> <p>One example should, wherever possible, involve a tree with a 'maiden' crown, i.e. not previously worked.</p>	

MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.1.4	Crown lifting (optional) <ul style="list-style-type: none"> • appropriate spec (from contractor) • conforms to spec, • correct cuts • correct finished result 		No major stem or limb wounds to be present and if undertaken some time ago appropriate woundwood formation is to be observed.	
2.1.5	Deadwood (optional) <ul style="list-style-type: none"> • appropriate spec (from contractor) • conforms to spec • correct cuts • correct finished result 		Demonstrating a 'risk based' approach to deadwood operations and, where appropriate, complete removal of deadwood to be observed, either full crown or part crown.	
2.2	Arboricultural Technical Knowledge (Manager(s))			
2.2.1	Arb Technical Knowledge/Competency Checked across a range of relevant subjects areas : <ul style="list-style-type: none"> • tree identification & characteristics • tree biology & biomechanics • tree pruning & planting practices • other tree management operations inc. veteran treework, fruit trees, bracing, soil decompaction • tree pests and diseases / fungi • tree protections and controls • trees and 'common law' • trees on development sites • wildlife & ecological issues 		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 should 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		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 i.e. attendance at The ARB Show, APF, AA branch events, reading The ARB Magazine and journals	

MODULE 2.0: Work Quality Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✖	REQUIREMENTS	COMMENTS
2.3	Reference Material			
2.3.1	Standards (BS etc)		Relevant Standards to be available inc. BS 3998, BS4043 etc. also TPO – A Guide to the Law and Good Practice ('blue book'). European Tree Pruning Guide.	
2.3.2	Guides (AFAG / FISA / HSE / AA etc)		All relevant industry good practice guides to be available to staff i.e. HSE (INDGs)/AFAG/FISA leaflets, Guide to Good Climbing Practice 2005 (GGCP),	
2.3.3	Books (identification/P&D etc.: <ul style="list-style-type: none"> • Identification • P&D 		Suitable library to allow correct advice to be given (should include Research for Amenity Trees series).	
2.3.4	'Arb Mags'/Journals/Trade Orgs/AAIS/ARBTALK		To demonstrate updating of knowledge by reference to industry body journals/newsletters, Tree Alerts etc. Wider industry updates etc.	

MODULE 3.0: Customer Care and Office Procedures etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
3.1	Customer Care and Office Systems (Appropriate to size of business and industry sectors serviced.)			
3.1.1	Enquiries recording		Suitable for size of business and a logical system that ensures all get a response.	Often customer contact pad or note pad.
3.1.2	Appointment system		Suitable for size of business and a logical system that ensures all get a convenient time.	Often managers diary or MS Outlook
3.1.3	Quotations/tree work specifications		Reference to BS3998 Recommendations for Tree Work, where appropriate, or other relevant standards. Terminology accurate and adequately explained. State arrangements for disposal of tree debris. Contractors ultimate responsibility (advise Client).	Often hand-written pad with quote supplied on site (bear in mind 'Doorstep Selling Regulations and '7 day cool off period'.) Specs to be in line with BS3998 terminology and adequately prescriptive, crown reduce all round by 30% (approx. 2.5-3.0m) etc.
3.1.4	Contract acceptance		Fair and reasonable, either in writing or verbally (logged record).	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		Dates set, agreed and adhered to.	Often a call from manager with diary.
3.1.6	Invoicing		Clear chain of custody. Detailed as appropriate. Including VAT rate & payments terms etc.	Logical invoices containing all relevant information and payment terms advised.
3.1.7	Business stationery		In line with Companies House (see leaflet GBF1) VAT no. on all stationary where VAT referred to.	As appropriate and mainly applicable to limited companies not sole traders/partners.
3.1.8	Terms and conditions		Appropriate and relevant to the business.	7-day 'cooling off' period, payment terms etc.
3.1.9	Debt collection		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 call, 28 days follow up letter, 42 days implement on-line small claims etc.
3.1.10	Complaints procedure		Initial logging system to ensure all complaints are dealt with in a reasonable timescale and follow up procedures documented.	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.

MODULE 3.0: Customer Care and Office Procedures etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
3.1.11	Customer satisfaction		Actively monitoring customer satisfaction is considered good business practice. Evidence can vary from follow-up calls, with customer comments noted on file, to forms/tear off slip.	See across. Encouraged, not mandatory, however customers/clients do value a follow up call to check they are happy with the job and the service.
3.1.12	Office set up		Tidy and logical. Simple HSE risk assessment available. Controls in place (smoke alarm etc.). Adequate business equipment. Cleaning/toilets etc. Complies with 'Smoke-free Regs. 2007'	Often 'at home' so relaxed view on risk assessment and fire risk assessment and does not expect signage etc. unless employing administrative support.
3.2	Insurances			
3.2.1	Employers Liability cover – usually £10 million		Must be adequate and appropriate	
3.2.2	Public Liability cover – at least £5 million		Should be adequate and appropriate	
3.2.3	Professional Indemnity cover (where applicable) – at least £500,000		Should be adequate and appropriate	
3.2.4	Motor Vehicle (MV) cover – as appropriate		Should be adequate and appropriate	
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 – as applicable		Generally to 'register' as a lower tier waste carrier with the Environment Agency see www.environment-agency.gov.uk/business/sectors/wastecarriers.aspx	
3.3.2	Waste Transfer – as applicable		If not a registered 'Waste Transfer Centre' then a T6 'exemption certificate', issued by the EA, should be in place.	
3.3.3	Operators Licence – if applicable		For vehicles over 3.5t.	
3.3.4	Drivers Licences legal in relation to vehicle combinations used		To ensure drivers are working legally – note 1 st January 1997 and 19 th January 2013 changes & 4b section (photo expiry.) see https://www.gov.uk/newlicencerules	

MODULE 3.0: Customer Care and Office Procedures etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC PROCEDURES)
3.4	Wildlife and Ecology			
3.4.1	Wildlife/Ecological 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) in particular bats, dormice, crested newts etc. and nesting birds. 		The Wildlife and Countryside Act 1981, the Countryside and Rights of Way Act 2000, the Habitat Regulations 2010 and the Nature Conservation (Scotland) Act 2004 etc. and any/all others relevant and current regulatory controls, collectively give very strong levels of protection and if breached can result in significant penalties being imposed.	

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

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
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		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) displayed and filled in – note 5 th April 2014 changes		Empty fields filled in and clear to all employees, placed appropriately, more than one may be req'd	Statutory poster completed and displayed OR pocket cards issued if no work place.
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 www.communities.gov.uk 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.	Ideally, periodic (quarterly?), documented H & S specific meetings but general open lines of communication available to staff.
4.1.5	Policy <ul style="list-style-type: none"> • Structure and validated – (i) Statement, (ii) Organisation and (iii) Arrangements • Signed and dated (and review) by MD/ Proprietor • 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 etc. Act 1974' as the primary legislation and 'Management Regulations 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 BUT 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.
4.1.6	Health & Safety Arrangements <ul style="list-style-type: none"> • To ensure the company has appropriate and adequate H & S arrangements documented to achieve compliance. 		Individual references to these sections where applicable, i.e. 'how will the company comply with the requirements of the 'Work at Height Regulations?' and how the policy will be monitored and reviewed. NB: The focus is on observing the outcomes rather than very detailed arrangements here.	Basic level document as above considering the most relevant regulations and issues, including written evidence of: CoSHH (including Asbestos), Work at Height, Risk Assessment/Method Statements, Manual Handling, First Aid / Welfare / LOLER / PUWER and Competent H&S advice

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

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
4.1.6a	<p>Risk Assessment</p> <ul style="list-style-type: none"> Generic Risk Assessments 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 <p>Method Statements</p> <ul style="list-style-type: none"> Appropriate in structure and layout Content adequate and usable Details adequate and appropriate emergency procedures 		<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. 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. Derived from the risk assessment process. Production of generic Method Statement 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>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& 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>
4.1.6b	<p>CoSHH</p> <ul style="list-style-type: none"> Assessments Material Safety Data Sheets (MSDS's) available Pesticide Record 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, a specific risk assessment to be produced.) 		<p>A list of qualifying substances to be drawn up, assessed and MSDS's (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.</p>	<p>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.</p> <p>See AA website for further information and templates.</p> <p>As a minimum on site a copy of the relevant MSDSs detailing what the product is and what to do in the event of accidental spillage and first aid measures.</p>
4.1.6c	<p>Working at Height</p> <ul style="list-style-type: none"> 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 		<p>Work at height is potentially high risk and must be planned (including 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</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-</p>

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

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS (BASIC COMPLIANCE)
	<p>correctly (inc. MEWPs where appropriate)</p> <ul style="list-style-type: none"> Emergency procedures are managed and adequate arrangements are in place including an aerial rescue plan. 		<p>practice i.e. AFAG 401 and 402 and Guide to Good Climbing Practice.</p> <p>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>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>
4.1.7	<p>Sub-contractors (if applicable)</p> <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. 		<p>Sub-contractors 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.</p> <p>Evidence showing your methodology for undertaking sub-contractor performance assessments.</p>	<p>Where sub-contractors are used, i.e. freelance arborists/stump grinding service, you need to have copies of their relevant training and NPTC, as appropriate, certificates PLUS details of previous experience/competence (possible references.) Ideally, unless working directly with you, you need to periodically monitor their performance for H & S principally, and quality. AA can supply forms.</p>
4.1.8	<p>An auditable system exists to monitor staff compliance with Health and Safety.</p>		<p>Evidence of recorded periodic checks (e.g. use of AFAG leaflets where appropriate).</p>	<p>As above for your own staff unless working directly with you. Ideally, periodic recorded checks by third party, i.e. LA Tree Officer/ NPTC assessor are useful.</p>
4.1.9	<p>An auditable system exists to monitor work quality and standards (including sub-contractors).</p>		<p>Evidence of recorded periodic checks covering specification conformance, pruning cuts, tidy and finished site etc.</p>	<p>Periodic, recorded quality audits of completed works (do not rely on complaints as most clients will not understand good quality tree work) unless working directly with staff. Again ideally occasional third party recorded checks are useful.</p>
4.1.10	<p>Review and revision of H & S management procedures</p>		<p>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.</p>	<p>A basic level of understanding to be explained as to why policies and risk assessments, in particular, need regular review and to observe this.</p>

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
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 		To ensure employees have the necessary skills and understanding to undertake their tasks safely and effectively. Production of a list of employees with their qualifications/training records and a means of addressing update/refresher training as required, i.e. plan for next 3 years.	
4.3.2	Qualifications 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 		To ensure that, combined with training and information, employees have the necessary 'competence' to safely and effectively undertake their tasks unless under controlled and competent supervision. To include NPTC 'certificates of competence' or evidence of auditable training as appropriate (see AFAG805 Training&Certification)	
4.3.3	Training records for employees and sub-contractors inc: <ul style="list-style-type: none"> Induction training/H & S awareness training Certificates of Competence etc. – chainsaw/ MEWPs/aerial work/chemical application Evidence of auditable training for Chippers/ Stump Grinders, i.e. NPTC or Lantra Awards ITA Driving licences First Aid Signing Lighting and Guarding Fire Fighting Other training (CPD) CSCS cards (where appropriate) Bat/wildlife awareness training Evidence of 'in-house'/'on the job' training 		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 AFAG 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.	
4.3.4	A system exists for assessing training needs of staff (including refresher training for all disciplines).		Training matrix detailing qualifications etc. for all staff available to the company detailing areas for additional/refresher/update training as required.	

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
4.4	Environmental			
4.4.1	Environmental Policy <ul style="list-style-type: none"> Produce a written policy statement demonstrating the businesses commitment to protecting the environment. Identify and document those operations undertaken by the company which may have an adverse effect on the environment and state the controls imposed. 		Incorporating the Environmental Protection Act 1990 and the Pollution Prevention and Control Act 1999 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.	
4.5	Workshop / store			
4.5.1	Workshop and storage facilities <ul style="list-style-type: none"> To have adequate facilities available to undertake simple machinery, i.e. chainsaws, and equipment repairs and servicing. Fuel storage arrangements to be suitable and safe not presenting environmental, nor fire, risk. Generally safe premises with suitable welfare arrangements. 		Basic level facilities, i.e. domestic garage or container ('lock-up'), to be available for inspection showing how simple repairs / maintenance etc. are undertaken to small machines and equipment. Arrangements for fuel storage, i.e. 'combi-cans', jerry cans, fuel store etc. to be checked for safety. Basic welfare facilities, inc. hand-wash arrangements & toilet, to be observed.	
4.6	Yard (if you do NOT have a yard facility this section of the standards will not apply)			
4.6.1	Yard <ul style="list-style-type: none"> Vehicle movements, control of pedestrians, adequate illumination and equipment adequate Timber arisings safe, secure and signed as appropriate Woodchip storage safe and within EA guidelines 		Where applicable a suitable facility to adequately store vehicles / machinery etc. and other materials & products. Generally safe and tidy to operate within and compliant with any relevant legislation regarding storage of arisings.	

APPENDIX 1.0 – Accident Reporting and Accident Investigation (extract from CHAS Appdx.2 v8)

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 provide figures for any accidents/incidents in the last 3 years.

Year Ending	FATAL	MAJOR INJURY or OVER 7 DAYS	NON-REPORTABLE	DANGEROUS OCCURENCES	REPORTABLE ILL- HEALTH	NEAR MISSES
Eg. 2008	0	1	8	0	0	6

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 but 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 2.0 – Useful references / H&S guides etc.

No.	Ref.	TITLE
1	BS3998	Recommendations for Tree Work 2010 (and subsequent updates)
2	ACOP	Regulations – ‘Approved Code of Practice’, i.e. LOLER ACOP / PUWER ACOP (available as free downloads from HSE website)
3	AIS30	(HSE Agricultural Information Sheet no.30) ‘LOLER – how the regulations apply to arboriculture’
4	AIS27	PUWER 98 – how the regulations apply to agriculture and forestry
5	AIS38	Power-fed mobile wood chippers – operator safety at infeed chutes
6	FISA301	(HSE Arboriculture and Forestry Advisory Group leaflet no.301) Using Petrol Driven Chainsaws
7	FISA302	Basic Chainsaw Felling and Manual Takedown
8	FISA304	Chainsaw Cross Cutting and Manual Stacking
9	FISA306	Chainsaw Clearance of Windblow
10	FISA307	Chainsaw Felling of Large Trees
11	AFAG 308	Top-handled Chainsaws
12	FISA310	Use of Winches in Directional Felling and Takedown
13	AFAG401	Tree Climbing Operations
14	AFAG402	Aerial Tree Rescue
15	AFAG403	Mobile Elevating Work Platforms (MEWPs) for Tree Work
16	FISA802	Emergency Planning
17	FISA804	Electricity at Work: Forestry and Arboriculture
18	FISA805	Training and Certification
19	INDG259	(HSE Industry Guidance) An Introduction to Health and Safety
20	INDG214	First Aid at Work: Your Questions Answered
21	INDG229	Using Work Equipment Safely
22	INDG362	Noise at Work – Guidance for Employers on Control of Noise at Work Regulations
23	INDG363	Protect Your Hearing or Lose It (employees leaflet)
24	INDG175	Control the Risks from Hand-Arm Vibration – Guidance for Employers on Control of Vibration at Work Regulations
25	INDG296	Hand-Arm Vibration – Advice for Employees
26	INDG401	Work at Height Regulations 2005 – A Brief Guide for Employers
27	INDG402	Safe Use of Ladders and Step Ladders – An Employers Guide
28	INDG145	Watch Your Back – avoiding back strain in timber handling and chainsaw at work
29	INDG317	Chainsaws at Work
30	HSE/CIS	Welfare Facilities of Construction Sites (CIS59 & CIS62)
31	AA	A Guide to Good Tree Climbing Practice
32	AA	A Guide to the Use of MEWPs in Arboriculture
33	AA	Health and Safety Package for Commercial Arboriculture (see also http://www.trees.org.uk/publications/Help-becoming-an-ArbAC)

Please note the above list is not exhaustive.

APPENDIX 3.0 Assessment / Reassessment Outcomes

New applicant businesses:

The possible outcomes and further steps following initial assessment

Assessment outcome	Entitlements	Timescales for rectification of areas standard not met	Cost for further assessment if necessary (+VAT)
1. FULL APPROVAL ArbAC status is awarded as a result of full compliance with the Standard and no further action is required.	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 assessment 2 years on from initial assessment)	N/A	N/A
2. PROVISIONAL APPROVAL Provisional ArbAC status is awarded as a result of minor non-compliance and a time period (usually 3 months) is given in which these minor issues are to be rectified.	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. Entitlement lasts until expiry of 'due date' for additional submissions	Submission (minor) within 3 months	£90
3. PENDING APPROVAL 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 where compliance has not been achieved.	Open dialogue with ArbAC scheme manager/appointed Lead assessor and AA website resource	(a) Submission (major) 3-6 months, OR (b) Revisit (partial criteria) within 3-6-9 months per assessor per day	(a) £250, OR (b) £520 per assessor per day will apply
4. FAIL ArbAC status is not awarded because of major non-compliance. A further assessment visit will be required, normally covering the full Standard.	Open dialogue with ArbAC scheme manager and AA website resource	N/A (advisory may be given)	Full assessment fee at re-application

Existing ArbACs:

The possible outcomes and further steps following reassessment

Reassessment outcome	Entitlements	Timescales	Cost (+VAT)
1. FULL RE-APPROVAL ArbAC status is maintained as a result of full compliance with the Standards	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 assessment 2 years on from initial assessment)	N/A	N/A
2. PROVISIONAL RE-APPROVAL ArbAC status is maintained for a time period (usually 3–6 months) whilst issues of non-compliance are rectified. Failure to demonstrate that these areas have been rectified within the time period will result in 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.	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. Entitlement lasts until expiry of 'due date' for additional submissions	(a) Submission (minor) within 3 months (b) Submission (major) 3-6 months, OR (c) Revisit (partial criteria) within 3-6-9 months	(a) £90 (b) £250, OR (c) £520 per assessor per day will apply
3. FAIL 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.	Open dialogue with ArbAC scheme manager/appointed Lead assessor and AA website resource	N/A (advisory may be given)	Full assessment fee at re-application