

Arboricultural Association



Utility Approved Contractor

An achievable standard

The AUC scheme sets a standard that is only achievable by high quality utility tree work contractors

Terminology

The words:

“Utility” describes the wider industry sector related to infrastructure management and associated vegetation and environmental management works and includes overhead powerlines, rail, highways waterways or telecommunications.

“Applicant” and “contractor” mean the main company being audited / inspected by the scheme approved assessors.

“Audit” and “Inspection” although these can be considered interchangeable and classed as meaning the same thing within this scheme, audit indicates more detailed enquiries have been completed.

“Employer” means the main contractor / applicant to this scheme.

“Client” and “customer” means the business, company, or individuals requesting and paying for the work.

“Client customer” means businesses, individuals and others that are affected by the works.

“Works” means any operations / activities that the contractor plans, undertakes or requests others to undertake.

“Work area” “site” means the area around the planned operations / activities.

“Active or live” means utility work being undertaken at the time of the inspection, as part of a commercial contract within the scope of the scheme.

“Completed” means inspection of a finished work site after work has been completed and work teams and materials / arisings have left the site.

“Scope” means utility operations such as: rail, highway, waterway, telecommunications, electricity, gas and petrochemical, infrastructure related vegetation management.

“Justifiable” means that works presented can be justified against arboricultural and or forestry good practice standards and client contract requirements and utility safety and resilience.

The scheme defines a sub-contractor as a separate business entity providing a bespoke operation/service (e.g. timber haulage, stump-grinding etc). The scheme recognises that during busy times contractors may need to utilise sub-contractors to undertake works but the scheme does not permit the majority of works to be contracted out as an integral part of business model. Approval status cannot be conferred or inferred in part or in its entirety onto a sub-contractor of the applicant.

“Named Manager/s” means the person nominated by the contractor business, who has been assessed against the scheme standards in terms of skills and knowledge required to manage (plan, monitor, control) the specific operational activities. [Geographical limitations apply and only areas that the named manager/s can realistically manage can be accredited.](#)

Membership of the AA Utility Arb Group (UAG) is a requirement of the scheme. Thereafter, contractors are expected to distribute industry relevant briefings and feedback of safety performance statistics to all operators/staff/sub-contractors and to record this appropriately for the business size.

Standards

The Standards have been created in consultation with Distribution Network Operators, Network Rail, the AA Utility Arb Group, BALI, AA Approved Contractors, and existing experienced utility contractors. They are broken down into four modules as outlined in the following pages.

Scheme reassessments must be completed within 12 months of the last assessment to maintain accreditation. Specific sector elements (rail, highways, waterways, electrical) can be assessed in combination (more than one sector within one assessment) or individually. Assessments can be undertaken in succession or spread over time so sector accreditation can be built up over time e.g. electrical – year 1, highways – year 2 etc.

Applicants do not have to own the equipment used during demonstrations, or be the main contractor (tier one supplier) for the work. The assessment must be completed on the applicants own (where they are in control of the specific work operations) work sites. They cannot be a sub-contractors working under the direct control of a second sub-contractor, working for the main contractor.

Applicants are accredited under this scheme for core utility arboricultural activities, they can also be accredited for specific skills and services such as tree planting, stump grinding, assisted felling, use of air spades, use of flails, crane operations etc. If these specialisms have been specifically assessed, they will be listed on the AA accreditation scope certificate.

This scheme is specifically for utility related arb operations and the AA's Amenity scheme is separate and independent of this scheme. The Amenity scheme is assessed on a biannual rolling cycle, the utility scheme is assessed each year. Contractor businesses can, if required, be accredited for both schemes via independent and separate assessments or via a combined assessment process.

Whilst there are several crossover / duplicated criteria applicable to both schemes, applicant businesses looking for accreditation under both schemes would only need to be assessed for one such criteria. This is aimed at saving time and duplication of compliance evidence.

Only areas that the named manager or managers can realistically oversee and manage are covered by both amenity and utility schemes accreditation. National UK accreditation is only possible with multiple names managers with documented regional or contract responsibilities (4.2.2).

Overview of assessment requirements.

Business size → Sector modules ↓	1-9 people	10-29 people	30 or more people
Expected assessment duration – Initial assessments duration is 2 days and will include a minimum of one of the following:	2 days (1 day on site + documentation review and report production).	3 days (2 days on site + documentation review and report production).	3/4 days on site* + documentation review and report production).
Electrical – LV and HV.	2 days. 2 active (min 1 roadside) work sites + 3 examples of completed works	3 active work sites* + 3 examples of completed works	4 active work sites* + 4 examples of completed works.
Rail – ALO or line block or possession sites, adj. to domestic properties, roads, or structures.	2 days. 2 active work sites – to include 3 examples of completed works. Night shift work sites can be used with notice.	3 active work sites* – to include 3 examples of completed works. Night shift work sites can be used with notice.	4 active work sites* – to include 4 examples of completed works. Night shift work sites can be used with notice.
Highways – M/way or duel or classified or unclassified carriageway/roadside worksites, with TM. NHSS 18 accreditation may be required.	2 days. 2 active work sites + 3 examples of completed works	3 active work sites* + 3 examples of completed works	4 active work sites* + 4 examples of completed works
Waterways – trees and sites within 5m of waterway and 10m of bridge or locks to be used.	2 days. 2 active work sites + 3 examples of completed works	3 active work sites* + 3 examples of completed works	4 active work sites* + 4 examples of completed works
Telecommunications - Trees and sites within 1m of cable infrastructure or as defined in contract safety limits re line of sight or preinstallation preparation works.	2 days. 2 active work sites + 3 examples of completed works	3 active work sites* + 3 examples of completed works	4 active work sites* + 4 examples of completed works
One of the following operations can be added / included with one of the above main elements usually with no additional cost (with good planning / time allowing). Clients can then see what additional operations / scope has been externally and specifically assessed. More than one can be included however a nominal fee, to cover the additional assessment time, may be incurred.			

Mechanised Operations - If owned, such equipment to be included within first 4 assessments. e.g. flail, tree shear / grapple saw, grab feed chipper / tub grinder, winching, flail.
Site Clearance - e.g. Pre-construction site works
Stump Grinding - e.g. without tree pruning criteria - 1 day assessment. 1 active work site (min 2 stumps over 380mm diam) required
Assisted felling
Multiple / large planting schemes - e.g. singular, small groups, multiple groups, large scale landscaping schemes.
Crane operations e.g. crane dismantling ops
Plant protection products - e.g. application – knapsack, CDA, boom equipment, stump plug product operations.
<i><u>Based on previous assessment findings It may, in some circumstances, be possible to reduce follow on / reassessment durations. The assessor will endeavour to reduce durations where practicable. With good planning, a fewer number of site inspections may be possible where multiple activities are completed on each site or where a very large site includes multiple separate work teams and work examples. *However, additional site inspections, incurring additional fees, may be required where non-compliance issues are identified on sites viewed. The contractor must plan for this.</u></i>
A minimum of 1 Named Manager (NM) is required for scheme accreditation (additional named managers may be beneficial for larger businesses). The NM must accompany the assessor on the site inspections and be available during office and workshop inspections. <u>With the exception of the stand-alone modules</u> , this person must have good knowledge of arboricultural standards (theory and practical) and good knowledge of the relevant utility sector standards. There can be up to four named managers per business, to enable specialist knowledge areas. A Supervisor and a Team Leader must be available for on-site discussions on all of the active work sites.
A minimum of 1 office, store, workshop, yard, will be used for the assessments <u>where applicable</u> . Should an applicant business run from more than 1 regional base, each annual re-assessment must be conducted at a different location to the previous assessment location.

Module 1: Utility Worksite Safety Inspection- Utility sector specific, active worksite inspection (This must be undertaken on a min of 2 active utility worksites involving medium/large (**some min 10m in height**) sized tree works, to be observed as active works. * **The number of active worksites required will be determined by the size of the business / operation (see table above)**

PLEASE NOTE: MANDATORY completed works must be to a high standard and appropriate to the work site / sector / contract and **ideally** observed individually on the assessment day or days. Where any example observed does not meet the required standard further examples will need to be seen and this would incur and additional cost.

If the business utilises 3 or more regular sub-contractor operator/s or work team/s in the year, one active work site must include a working sub-contract team.

a) **Initial assessment** – 2 days duration:- aerial tree work, e.g. pruning and sectional felling (take-down / dismantle, OR large branch removal incorporating rigging) plus ground-based chainsaw and chipping operations. Rigging ops may be demonstrated away from infrastructure if required. Use of MEWP and long reach work equipment (e.g. pruning rods or powered pole saw) must be demonstrated within the first four assessments. **The main accredited business manager or managers plus a minimum of 2 supervisors and 2 team leaders (1 Sup & 1 TL on 2 sites) will be required to demonstrate appropriate knowledge related to their individual roles, during the site assessments.**

Plus, the demonstration of (as applicable to the contractors' accreditation application or scope of work services offered by the contractor) 2x tree planting + 2x stump grinding, 1x assisted felling operation; demonstrations. This may be incorporated into active work site inspections or completed separately.

b) **Reassessment** – (annual) - as initial assessment (see **notes on page 4**: incorporating any activities not completed in previous years assessment see 2.1.3 – 2.1.4 - 2.1.6) and review of feedback and actions taken following previous assessment results and recommendations, feedback from client and site monitoring / compliance / quality audit results, accident / incidents / near miss reports, relevant industry or sector developments.

Plus, the observed demonstration of: equipment operation, (If owned and as applicable to the contractors' accreditation scope of work / services, offered by the contractor,) **+ up to 2x tree planting + up to 2x stump grinding + 1x assisted felling operation demonstrations**, to be included within first 4 assessments

Module 2: Work Quality Inspections and Arboricultural Knowledge including Industry Sector Specific Knowledge – both good practice theory and its practical application to the above worksites.

Completed Works

– **A minimum of three separate sites demonstrating justifiable, good quality tree pruning activities in compliance with a detailed specification (client or contractor produced). A minimum of 15x small/medium/large sized trees (10x a min of 10 m in height), plus hedge reduction work should be provided in total.**

Photographs of the job 'before, during and after' should also be available together with site specific associated site documentation.

(All pruning / works to be justified against BS3998 (where achievable / applicable), and sector specific guidance / standards (for example - Electrical Utility: G55 1, 2, 3, or 4, ENA TS 43-8, 136, GS 6, HSG 47 and other sector specific standards such as NHSS18 or Network Rail or Transport For London (TFL) rail requirements etc as applicable).

Plus, if applicable to the contractors' accreditation application: 2x tree planting + 2x stump grinding work sites or other operational specialism/s (E.G. earthing, flail, utility pole takedown operations).

b) **Reassessment** – (annual) - as initial assessment (see **notes on page 4**: incorporating any activities not completed in previous years assessment see 2.1.3 – 2.1.4 - 2.1.6) and review of feedback and actions taken following previous assessment results and recommendations, feedback from client and site monitoring / compliance / quality audit results, accident / incidents / near miss reports, relevant industry or sector developments.

**number of examples / sites is variable dependent upon business size (see table on page 4)*

PLEASE NOTE: MANDATORY completed works must be to a high standard and appropriate to the work site / sector / contract and observed individually on the assessment days. Where any example observed does not meet the required standard further examples will need to be seen.

Module 3: Customer Care, Office Systems and Procedures and Contract Management (Appropriate to size of business and industry sectors serviced). *A minimum of 1 office, store, workshop, yard, will be used for the assessments. Should an applicant business run from more than 1 regional base for each industry sector, each annual assessment must be conducted at a different location to the previous assessment location. More than one base location may be required where the applicant business requires multiple utility sector accreditation e.g. rail, highway and electrical. This will be planned with the individual applicants prior to any assessment.*

a) **Initial assessment** – Review of company policies, procedures, records and planning systems, resource management and site specific associated documentation.

If the applicant business utilises 3 or more regular sub-contractors in the previous year, a random sample of up to 2 of the sub-contractors' documentation (policies, staff competencies etc) will be reviewed as applicable.

b) **Reassessment** – (annual) - as initial assessment a) above and review of feedback and actions taken following: previous assessment results and recommendations, feedback from client and site monitoring / compliance / quality audit results, accident / incidents / near miss reports, relevant industry or sector developments.

Module 4: Work Planning, Implementation and Health and Safety Management and Workplace Inspection.

A minimum of 1:- office, store, workshop, yard, must be assessed within the first four assessments. Should an applicant business run from more than 1 regional base for each industry sector, each annual assessment must be conducted at a different location to the previous assessment locations. More than one base location may be required where the applicant business requires multiple utility sector accreditation e.g. rail, highway and electrical. This will help ensure consistency of management. This will be planned with the individual applicants prior to any assessment.

a) **Initial assessment**– Office systems audit criteria based on current, legal requirements and good practice, HSE and industry sector specific guidance / standards.

b) **Reassessment** - (annual) - as initial assessment. *Assessment focus variable dependent upon business size and requests / feedback from clients and past assessment reports. This will be planned with the individual applicants prior to any assessment.

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This is the Standard for all businesses applying to the scheme regardless of staff numbers. The business may also utilise sub-contractors and the scheme criteria applies to all those under the applicants control and providing labour or specialist machine / equipment services such as timber / biomass / equipment haulage. **If the business utilises more than 3 regular sub-contractor work teams in the previous year, one site visit must include a sub-contract team.**

Inspection / assessment / audit reports including findings and recommendations, may be shared with the contractors’ utility clients (E.G. Network Operators). This is so all relevant parties can evidence scheme compliance and use the scheme as assurance of the contractors operating standards. **Contractors applying to the scheme accept this requirement for reporting.**

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MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
1.1	<p>Utility sector relevant, site operations inspection (This must be undertaken on active utility worksites involving medium/large (min. 10m in height) sized tree. * the number of active worksites required will be determined by the size of the business / operation see page 4. If the business utilises more than 3 regular sub-contractor work teams, one site visit must include a working sub-contract team.</p> <p>Business size 1-9 people - 10-29 people - 30 or more people</p> <p>Electrical 2x 3x 4x LV and HV active (min 1 road side) work sites Rail 2x 3x 4x ALO or line block or possession sites, adj to domestic properties, roads, or structures. Highways 2x 3x 4x M/way or duel carriageway or main trunk road or A or B roads roadside worksites. Waterways 2x 3x 4x Trees / sites within 5m of waterway and where practicable 10m of bridge / locks / structure. Telecoms 2x 3x 4x Trees and sites within 1m of cable infrastructure or as defined in contract safety limits re line of sight works.</p> <p>a) Initial assessment – aerial tree work, e.g. pruning and sectional felling (take-down / dismantle, OR large branch removal <u>incorporating rigging</u>) plus ground-based chainsaw or chipping operations must be demonstrated. Use of MEWP and long reach work equipment (e.g. pruning rods or powered pole saw) must be demonstrated within first 4 assessments. The main accredited business manager <u>plus a minimum of 1 supervisor and 1 team leaders (on 2 of the active work sites)</u> will be required to demonstrate appropriate knowledge related to their individual roles, during the assessments.</p> <p>b) Reassessment – (annual) - as initial assessment (incorporating any activities not completed in previous years assessment see 2.1.3 – 2.1.4 - 2.1.6) and review of feedback and actions taken following previous assessment results and recommendations, feedback from client and site monitoring / compliance / quality audit results, accident / incidents / near miss reports, relevant industry or sector developments.</p> <p>Plus, any additional specialism activities e.g. 3x tree planting + 3x stump grinding work sites, 1x assisted felling operations, if applicable to the contractors' accreditation application and if owned by the contractor or the operations are completed as part of the services offered by the contractor.</p> <p>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment outcome. Additional, operational worksites should be available.</p>			
	1.1.1	<p>Paperwork: Survey Landowner / agent requirements / permissions Area / network maps Underground services information</p>		<p>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. Specific</p>

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Permits (to dig / possessions / protection / isolation etc) Job sheet/work specification Risk assessment, site specific (business/ client / sector) Method statement (1x MS, to be presented) CoSHH assessments – Asbestos, hogweed, L Plane. Emergency contingencies (inc. aerial rescue) Wildlife/EPs impact assessments Site completion forms / sign off etc. Biosecurity measures.</p> <p>Example - Rail: The Work Package Plan and task brief. The Safe System of Work Pack (SSOW). -part completed RT9909 -part completed RT3181 form(s) (where blockage(s) -copy of the relevant PICOP pack (where appropriate); -extracts from the Sectional Appendix showing relevant running lines, track layout and work location for the entire mileage. -relevant extracts from the National Hazard Directory. -additional signalling or track diagrams (where appropriate). -May also include diagrams to be passed to and used by Person(s) In Control / COSS e.g. those involved in the placing of protection. -Understanding of relevant terminology i.e. ES, MC POS / ALO / RRV, 3rd party works.</p>		<p>W@H risk assessment completed and documented either site specific or generic. European Protected Species (EPS), in particular bats and nesting birds etc, fully considered. An understanding of utility sectors site sensitivity and importance in UK biodiversity and ecology. Client required site documentation.</p> <p>Operational teams (team leader + supervisors) to demonstrate work plan briefing and wildlife assessment and knowledge of biosecurity as part of the assessment.</p> <p>Corporate / approved clothing used.</p>	<p>Demarcation system</p>

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Test before touch.</p> <p>Example – Electrical: Site specific risk assessment: arb and electrical Live justification Operator authorisation N.O. specific permit and authorised holder N.O. site / vehicle signage Measurable clearance / work instruction</p> <p>Example – Highway: Client induction & authorisation. NHSS 18 Accreditation may be applicable.</p> <p>Example – Waterway: Construction Design Maintenance – Construction Phase Plan: as per client requirement.</p> <p>Example – Telecommunications:</p>			
1.1.2	<p>Information and guidance: Generic risk assessments FISA leaflets / HSE/ AA Tech guides (supersedes AFAG) and ICoP sector specific info and standards, specifically safety requirements and contract specifications and client / contract safety rules, contract specification, work standards methodology. Hospital A&E lists and emergency contacts Guide to Good Climbing Practice COSHH assessment information. Accident/incident/near miss forms. Biosecurity guidance / instructions.</p>		<p>Vehicle packs or electronic storage 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.</p> <p>Operational team leader + supervisors, to demonstrate knowledge of a selection of site relevant specifications as part of the assessment.</p>	<p>Team leader knowledge</p> <p>Supervisors knowledge</p>

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
1.1.3	<p>On site personnel suitably competent for tasks / specific machinery (as observed) – see note 1.1 above re services offered and associated equipment used.</p> <p>Site staff understand the importance and reasons for client and site inductions.</p> <p>Tracked equipment requires specific driver training. Excavator base operational competence evidence - CPCS – NPORS – FMOC - etc. Construction and forest industry operational standards.</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>As observed during on site working demonstrating good, efficient and safe working practices.</p> <p>Operators’ authorisation and contract / client briefing / induction completed as applicable to sector that have been checked by the person in control of work. E.G. Rail Industry Common Induction, and PTS etc.</p> <p>Operators trained / competent for tools and equipment and activities being undertaken.</p> <p>Sample of three operators (seen on site) training records to be reviewed as part of module 3.</p>	<p>Team leader knowledge</p> <p>Supervisors knowledge</p>
1.1.4	<p>PPE (boots, trousers, gloves, helmets, eye/ear protection, Hi-Viz, buoyancy aids if applicable etc.) Correct use of colour coding if appropriate (e.g. LOLER or inspection tags).</p> <p>Example – Rail: novice / inexperienced worker helmet (Blue or White) on rail sites etc). Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>As detailed in FISA leaflets and HSE INDG’s and AA Tech guides (supersedes AFAG) and AA ICoP guidance, client and sector specific good practice and being used and maintained correctly and within specified working life span.</p> <p>Operators, team leaders and supervisors to demonstrate appropriate knowledge level for individuals’ roles.</p> <p>Example, age of helmets, use of chainsaw gloves, type of ear protection, repair options for chainsaw trousers.</p>	<p>Team leader knowledge</p> <p>Supervisors knowledge</p>

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
1.1.5	<p>First Aid Provision to be assessed and suitable / sufficient based on work site locations and access restrictions and evacuation planning.</p> <p>Personal first aid, (PFA kits in line with current HSE guidance) Health & Safety (First Aid) Regulations 1981. The Act states (Reg 3 section 37 ACOP page 17) that "All first aid boxes should have a white cross on a green background".</p>		<p>Both crew and individual FA kits required and eye wash (min 1lt) available on site. At least two first aid (min EFAW) trained (in-date) operatives on each site and nominated on documentation.</p> <p>First aid kits correctly stocked, in good condition, and contents in date (item / stock list required).</p> <p>Team leader, supervisor to know the location of the accident book and demonstrate knowledge of recording requirements.</p>	<p>Team leader knowledge & training</p> <p>Supervisors knowledge & training</p>
1.1.6	<p>Fire-fighting equipment - secured, suitable size and accessible, and serviced as applicable.</p> <p>If applicable with business, client policy / contract standards.</p>		<p>In terms of type/size of extinguishers, as dictated by fire risk assessment process and client / employer spec. Evidence of servicing/checking by a competent person.</p> <p>Team leader, supervisor to know the location of the extinguishers and demonstrate knowledge of operation / use.</p>	<p>Team leader knowledge & training</p> <p>Supervisors knowledge & training</p>
1.1.7	<p>Tools and equipment, including chainsaws, (MEWP, stump grinder etc if applicable to business) and as applicable to site and contract, comply with FISA, HSE, AA Tech guides (supersedes AFAG) and AA ICoP guidance or other industry guidelines and client / contract requirements etc.</p> <p>See note above 1.1.</p>		<p>These will be checked on site (and via office records) for safety features and condition / servicing / inspection records, also safe efficient operation and pre-use checks have been effective.</p> <p>Items of sector specific tools and equipment to be inspected (e.g. rail circuit clips, earthing equipment, insulated rods and components, pole saws).</p>	

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
			Team leader, supervisor to demonstrate knowledge of equipment checks / maintenance requirements and main aim of PUWER.	
1.1.7A	Winching operations. Optional See note above 1.1.		Risk assessment. Machine or vehicle mounted. Hand winch.	
1.1.7B	Stump grinder operations. Optional See note above 1.1. Pedestrian, handheld, machine / boom mounted, remote control.		Risk assessment. CAT and Genny equipment available, calibrated – training / competence evidence for operators. Self-propelled, Tracked, Tractor mounted.	
1.1.7C	Crane operations. Optional See note above 1.1.		Sub-contract process and site management. Risk assessment.	
1.1.7D	Flail operations. Optional See note above 1.1. Pedestrian, vehicle / boom mounted, remote control.		Risk assessment.	
1.1.8	<p>Organisation: General arrangement of worksite is appropriate, safe and effective. Including Covid control (BMJ info)</p> <p>Roles on site and work plan clearly understood – by all and documented. One suitably experienced and knowledgeable person is clearly nominated (documented) as lead on site. Work team supervision / control ratio appropriate. Signing, lighting and guarding effective and conforms to industry standards Effective communication Traffic and pedestrian management / control Good manual handling techniques employed</p>		<p>The assessors will expect to observe a well-arranged worksite operating safely, efficiently and with minimal disruption / damage possible to surroundings. Pedestrians in particular and traffic (inc. boat movements if applicable) must be safe and well managed at the site. Staff handling timber sections etc will employ safe manual handling techniques with mechanical aids as necessary, and be trained. Aerial rescue will be fully planned and 'ready to go!' Fuelling, and storage point carefully selected, containers suitable for the task and good practice compliant, spill kit / 'drip facility' in place / available.</p>	

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Aerial rescue provision planned, equipment available and personnel competent. Fuelling point and spill control arrangements Welfare arrangements identified, available and staff informed. Evidence of work rota / time limitations/ rest period management. Arisings handled/converted appropriately Biosecurity arrangements / disinfection of tools in place (understood, materials available, where applicable)</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>Welfare arrangements available if appropriate, inc. toilet facilities, drinking water and hand cleansing.</p> <p>Use of appropriate biosecurity measure to avoid transmission of serious P&Ds, including disinfecting tools. Control measures and reasons for use understood and used.</p> <p>A. Team call in / location reporting requirements / site completion / close out, as applicable. B. Appropriate and safe on-site loading / unloading of equipment and materials. C. Communication to haulage contractors / sub-contractors / hired-in equipment drivers, if applicable.</p> <p>Team leader, supervisor to demonstrate knowledge of the above criteria / and contract standards via site monitoring and error correction exercise / demonstration.</p>	
1.1.9	<p>MEWPs. Justification if not used (if tree / structure / slope is climbed) Appropriate selection of MEWP for job in hand, track, 4x4 etc. Conforms to industry good practice (W@H Regs, LOLER Regs, AA Technical Guides and Industry Code Of Practice and client, contract requirements'. Competent, safe and proficient techniques to be observed.</p>		<p>W@H specific 'risk assessment' (used and justifying climbing + ladder works). Safe and efficient operations of the MEWP demonstrated in line with AA Technical Guide, IPAF and client and contract requirements.</p> <p>Site / machine set up / positioned to ensure inadvertent contact with structures and equipment, and used to avoid machine damage.</p>	

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Emergency plan and tools available, nominated ground staff briefed. Checks to hydraulic / machine powered tools if applicable.</p> <p>One example to be demonstrated within in first 4 assessments and 1 within every 4 assessments subsequently (can be in a simulated / on a none utility site).</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>Operator training compatible with work operation and sector requirements and standards. Machine specific training required. (e.g. tracked operation).</p> <p>Machine emergency controls available and working. Operator competence and equipment used appropriate / approved by client. Operator knowledge appropriate, around sector specific operations, hazards and set up requirements. Appropriate machine selection, equipment checked. Machine maintained as required by manufacturer and good practice standards.</p> <ol style="list-style-type: none"> 1. Insulated – earthed, cleaned etc. 2. None insulated – spreader plates etc. <p>Team leader, supervisor to demonstrate knowledge of MEWP operator limitations re OHL safety distances e.g. IPAF etc guidance, operator segregation, additional PPE available.</p>	
1.1.10	<p>Climbing / work positioning / work restraint / rope access / (where applicable). Conforms to industry good practice (W@H Regs, LOLER Regs, AA Technical Guides, (supersedes AFAG, GGCP) AA ICOP, IRATA / BSI as applicable). Equipment appropriate, correctly marked / used Competent, safe and proficient climbing techniques to be observed. Appropriate anchor point selection and use to be seen and discussed.</p> <p>Example – Rail: Example – Electrical: ENA G55 Example – Highway:</p>		<p>Tree climbing and one other technique must be demonstrated where business utilises such systems and as appropriate to business application. E.G. Rail steep bank / slope works The assessors will expect to see use of friction saving devices where appropriate for tree work and modern equipment / techniques for other applications.</p> <p>Team leader, supervisor to demonstrate knowledge of W@H Regs, LOLER Regs, AA tech guides AA ICOP, IRATA / BSI, anchor point selection, as applicable to the client / sector operational standards.</p>	<p>Team leader knowledge & training</p> <p>Supervisors knowledge & training</p>

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Example – Waterway: EA spec</p> <p>Example – Telecommunications:</p>			
1.1.11	<p>Rigging - Conforms to industry good practice (LOLER PУWER and W@H Regs.) Equipment appropriate, correctly marked, 'fit for purpose' and set up properly. Staff 'competent' for work in hand. Competent person in charge of operation.</p>		<p>The assessors will expect to see current rigging techniques and safe/efficient lowering operations. Competent ground based operatives to be observed who are proficient in rigging techniques employed.</p>	<p>Team leader knowledge & training</p> <p>Supervisors knowledge & training</p>
1.1.12	<p>Ground based operations -including felling, single or multiple trees, low level crown lifting etc. Conforms to industry / sector specific good practice (FISA / AA Tech guides (supersedes AFAG) and AA ICoP guidance PУWER etc.) Equipment suitable for task and used safely / proficiently Staff competent for work in hand and appropriate supervision.</p>		<p>Safe, proficient, and efficient operations underway following all relevant industry sector good practice guidance. Where felling is involved avoidance of damage to persons, property, underground services, sensitive ground, specimen plants, wildlife etc. will be expected with appropriate control measures employed.</p>	<p>Team leader knowledge & training</p> <p>Supervisors knowledge & training</p>
1.1.13	<p>Vehicles / equipment. Good condition. Vehicle weights legal for driver (licences, age etc). In roadworthy condition (as far as possible to assess) No smoking signs to be in place in vehicles. See https://www.gov.uk/smoking-at-work-the-law</p>		<p>Will be checked to ensure legal and roadworthy (general basic / visual). Assessors will refer contractors to relevant regulators as applicable, i.e. Driver and Vehicle Standards Agency (DVSA) now replaces VOSA. Segregation of pedestrians assessed and controlled.</p>	<p>Team leader knowledge & training</p> <p>Supervisors knowledge & training</p>

MODULE 1.0: Worksite Safety Inspection

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	Hand wash / wipes provision to be available			

MODULE 2.0: Work Quality and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.1	<p>Completed Works – Three tree pruning sites to involve a minimum of 15 + small/medium/large sized tree(s), 10x a min. 5 m in height, plus 1x hedge reduction work (where possible) to be presented as <u>finished works</u>. Photographs of the job ‘before, during and after’ must also be available together with site specific associated site documentation.</p> <p>a) Initial assessment – aerial tree work, e.g. pruning and sectional felling (take-down / dismantle, OR large branch removal incorporating rigging) plus ground-based chainsaw and chipping operations. Use of MEWP and long reach work equipment (e.g. pruning rods or powered pole saw) must be demonstrated. The main accredited business manager <u>plus a minimum of 1 supervisor and 1 team leaders</u> (on 2 of the active work sites) will be required to demonstrate appropriate knowledge related to their individual roles, during the assessments.</p> <p>Plus, the demonstration of (as applicable to the contractors’ accreditation application or scope of work services offered by the contractor) 2x tree planting + 2x stump grinding, 1x assisted felling operation; demonstrations. This may be incorporated into active work site inspections.</p>			

MODULE 2.0: Work Quality and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS
	<p>b) Reassessment – (annual) - as initial assessment (incorporating any activities not completed in previous years assessment see 2.1.3 – 2.1.4 - 2.1.6) and review of feedback and actions taken following previous assessment results and recommendations, feedback from client and site monitoring / compliance / quality audit results, accident / incidents / near miss reports, relevant industry or sector developments.</p> <p>Plus, the demonstration of (as applicable to the contractors' accreditation application or scope of work services offered by the contractor) 2x tree planting + 2x stump grinding, 1x assisted felling operation; demonstrations.</p> <p><i>With good planning, a fewer number of site inspections may be possible where multiple activities are completed on each site or where a very large site includes multiple separate work teams. *However, additional site inspections, incurring additional fees, may be required where non-compliance issues are identified on sites viewed. The contractor must plan for this.</i></p> <p>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment outcome. Additional, operational worksites should be available.</p>			
	<p><i>If the business utilises 3 or more regular sub-contractor operators or work teams in the year, one site must include a working sub-contract team.</i></p>			
2.1.1	<p>Tree planting in a utility environment:</p> <ul style="list-style-type: none"> - appropriate spec and supply records - stock and technique - stakes, mulch and aftercare - utility hazards / restrictions / implications <p>2x examples</p> <p><i>Optional for waterways and rail contracts. Mandatory for electrical, highway contracts and if joint amenity and utility scheme assessment. One example to be demonstrated in each re-assessment subsequently (can be in a simulated/on a non-utility site).</i></p>		<p>Trees of appropriate species and size to be observed planted correctly. Awareness of typical aftercare programme to be demonstrated. Knowledge of mulching methods, support systems and irrigation. An understanding of: British Standard BS 3936-1, 2007 Nursery Stock Specification for Trees and Shrubs. BS 8545 2014 Trees from nursery to independence in the landscape – recommendations.</p> <p>Team leaders, supervisors, manager to demonstrate knowledge of: underground services, ultimate heights (tree in the right place), formative</p>	

MODULE 2.0: Work Quality and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓or ✗	REQUIREMENTS	COMMENTS
			pruning and future management requirements specific to utility sector. Biosecurity implications and plant checks.	
2.1.2	<p>Utility Crown reduction / reshaping / directional pruning to an appropriate spec (from survey / permissions', contract requirements etc)</p> <ul style="list-style-type: none"> - work operations conform to measurable spec - correct / justified cuts - correct / justified finished result <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>Min 1 large crown (as amenity standard) or 3 or more smaller crowns as examples. BS3998 compliant or justification for operation, i.e. ideally 1-2m height and radial reduction / all round or a number of crowns reduced sympathetically, with the 'rule of thirds' applied.</p> <p>One example should, wherever possible, involve a tree with a 'maiden' or similar crown, i.e. ideally not previously worked.</p> <p>Team leaders, supervisors, manager to demonstrate knowledge (appropriate to their roles) around this aspect of utility pruning and future management (cyclic or other) requirements and implications specific to the utility sector issues and good practice standards.</p>	
2.1.3	<p>Crown thinning - Optional</p> <ul style="list-style-type: none"> - documented spec (from contractor, client, surveyor) required for demo trees. - Completed works conforms to spec - correct cuts - correct finished result 		<p>An example of 1x completed crown thinning operation is to be observed, i.e. up to 30% but not less than 15% (example trees can demonstrate deadwood removal + crown thin).</p> <p>An appropriate amount of deadwood can be present, relevant to site constraints (public areas, utility structures'). No 'lion tails' 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 and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
2.1.4	<p>Crown lifting / raising / under pruning. One example to be demonstrated within first 4 assessments and 1 within every 4 assessments subsequently.</p> <ul style="list-style-type: none"> - appropriate spec (from contractor, client, surveyor) required for demo trees. - conforms to spec - correct cuts - correct finished result measurable <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>Team leaders, supervisors, manager to demonstrate knowledge (appropriate to their roles) around this aspect of utility pruning and future management (cyclic or other) requirements and implications specific to the utility sector issues and good practice standards.</p> <p>Example of crown lifting or under pruning to be observed.</p> <p>No major stem or limb wounds to be present where practicable and justified with photos (before) and if undertaken some time ago a complete ring of wound wood to be present.</p>	
2.1.5	<p>Deadwood (If not seen on site, knowledge only is acceptable)</p> <ul style="list-style-type: none"> - appropriate spec (from contractor) - conforms to spec - correct cuts - correct finished result - safety v environmental 		<p>Demonstrating a ‘risk based’ approach to deadwood removal operations either throughout full or part of crown.</p>	
2.1.6	<p>Removal of climbing vegetation from tree stems / wood poles.</p> <p>To be demonstrated within first 4 electrical assessments and 1 within every 4 assessments subsequently (can be in a simulated/on a non-utility</p>		<p>Contractor company to ensure a safe system of work is used for such operations.</p> <p>Details to include: Specific risk assessment. A clear description / instruction for the work.</p>	

MODULE 2.0: Work Quality and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>site). <u>Optional for other sectors unless specified within the contract.</u></p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>Detailed working methods, tools and equipment to be used. Protection against falls from height. Aerial rescue plans.</p>	
2.1.7	<p>Stump Grinding <u>Optional unless specified in contracts.</u></p>		<p>As above plus: - appropriate site protection from flying debris, safe distances, plans for collection and disposal of arisings, robust investigation of underground services, documented blade / cutter changing training for operators. Specification for removal including minimum depth.</p>	
2.2	Arboricultural Technical Knowledge (Manager/s)			
2.2.1	<p>Arb Technical Knowledge/Competency:</p> <ul style="list-style-type: none"> tree identification (including botanical name of common species and characteristics) tree biology and biomechanics (to include basically how the tree works as a system, including Shigo 'Modern Arboriculture' and Mattheck 'Body Language of Trees') tree pruning practices (to include CODIT, natural target pruning and BS 3998) 		<p>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 MUST be demonstrated to ensure clients receive correct and appropriate advice. If 'gaps' are uncovered a CPD plan will be requested and jointly agreed.</p> <p>Biosecurity implications, site and plant checks.</p>	

MODULE 2.0: Work Quality and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<ul style="list-style-type: none"> other tree management operations inc. veteran tree and ancient tree work, bracing and propping, fruit tree pruning, soil decompaction, tree pests and diseases / fungi (including identification and significance of common species), P&D biosecurity controls tree protections (TPO's, Conservation Areas, Planning Conditions, Felling Licences) trees and 'common law' (overhanging branches, right to light, 'duty of care' etc.) <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>			
2.2.1 Cont'd	<p>Arb Technical Knowledge continued</p> <ul style="list-style-type: none"> trees on development sites, protective fencing / ground protection issues Wildlife / ecological issues (including bats, nesting birds, SSSI's / 'red data book' spp.) <p>Example – Rail: Example – Electrical:</p>			

MODULE 2.0: Work Quality and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Example – Highway:</p> <p>Example – Waterway:</p> <p>Example – Telecommunications:</p>			
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 e.g. 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	
2.3	Reference Material			
2.3.1	<p>Standards (BS / EAC / PPG etc.)</p> <p>Example – Rail:</p> <p>Example – Electrical:</p> <p>Example – Highway:</p> <p>Example – Waterway:</p> <p>Example – Telecommunications:</p>		<p>Relevant Standards to be available including:-</p> <ul style="list-style-type: none"> - BS 3998:2010 Tree Work Recommendations (BSi full doc. or Tree Life ‘Concise Guide’) <p>Other standards / information may also be held including:-</p> <ul style="list-style-type: none"> - BS5837 Trees in Relation to Design, Demolition and Construction - BS8545 Trees from Nursery to Independence in the Landscape Recommendations - European Tree Pruning Guide - European Tree and Palm Planting Guide - Planning Guidance: TPO’s etc. (see http://planningguidance.planningportal.gov.uk/blog/guidance/tree-preservation-orders/ previously the ‘Blue Book’ and applicable in England ONLY) 	
2.3.2	Guides (FISA / HSE / AA Technical Guides (supersedes AFAG) and AA ICoP etc)		All relevant industry best practice guides to be available to staff i.e. HSE (INDG’s) //FISA leaflets, AA Technical Guides (supersedes AFAG) and	

MODULE 2.0: Work Quality and Safety Inspections and Arboricultural Knowledge

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
			Industry Code of Practice for Arboriculture - Treework at Height (ICoP). Example - Rail: Example – Electrical: Example - Highway: Example – Water way: Example - Telecommunications:	
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/AAIS/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, Office Systems and Procedures and Contract Management etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Customer Care, Office Systems and Procedures and Contract Management (Appropriate to size of business and industry sectors serviced).</p> <p>a) Initial assessment – Review of company policies, procedures, records and planning systems, resource management and site specific associated documentation. Should an applicant business run from more than 1 regional base, each annual assessment must be conducted at a different location to the previous assessment location. If the applicant business utilises 3 or more regular sub-contractors in the previous year, a random sample of up to 2 of the sub-contractors' documentation (policies, staff competencies etc) will be <u>referenced</u> as applicable.</p> <p>b) Reassessment – (annual) - as initial assessment a) above and review of feedback and actions taken following: previous assessment results and recommendations, feedback from client and site monitoring / compliance / quality audit results, accident / incidents / near miss reports, relevant industry or sector developments.</p> <p>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment outcome.</p>			
3.1.1	Means of recording enquiries Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:		Suitable for size of business and a logical system that ensures all get a response. Contractor must be aware of requirements for Data Protection Act (see https://ico.org.uk/).	
3.1.2	System of making appointments, appropriate to the organisation and clients requirements.		Suitable for size of business and a logical, auditable record / system required. Electronic or paper.	
3.1.3	Quotations / tree work specifications Clear and to national standards Comprehensible to enquirer Arrangements for recording disposal of arisings / chip 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.	

MODULE 3.0: Customer Care, Office Systems and Procedures and Contract Management etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>			
3.1.4	<p>Contract agreed in appropriate manner. Contractor approved as supplier if required. Example rail: approved / verified for RICCL Codes C.C.3.4.3.1N Lineside Tree & Scrub Clearance Service C.C.3.4.3.2N Vegetation Management (On Network Rail Controlled Infrastructure) Service</p>		<p>A formal clear and defined signed contract for the specific work ops is expected. Fair and reasonable, preferably in writing to show a clear chain of custody (if verbal it must be logged/ recorded). See also 3.1.8 below.</p> <p>Risk register completed / considered?</p>	
3.1.5	<p>Work programming effective and clear for clients and internal management including a contract compliance / completion system.</p>		<p>Dates set, agreed and adhered to, completed works and progress management records.</p>	
3.1.6	<p>Invoices Linked to contracted works UK address and names (individual, partners, corporate) VAT Number if applicable Unique and sequential reference number Payment terms</p>		<p>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.</p>	
3.1.7	<p>Other business stationery, letterheads, receipts etc. shows UK address and names (individual, partners, corporate) VAT number if applicable</p>		<p>In line with Companies House (Companies Act) VAT number to appear on all stationery where VAT referred to.</p>	<p>https://www.gov.uk/government/collections/companies-house-guidance-for-limited-companies-partnerships-and-other-company-types.</p>
3.1.8	<p>All terms and conditions clear, fair and reasonable</p>		<p>Appropriate and relevant to the business, i.e. 14-day 'right to cancel' period (Consumer Contracts</p>	

MODULE 3.0: Customer Care, Office Systems and Procedures and Contract Management etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
			Regs – Consumer Protection Act), payment terms etc.	
3.1.9	Debt Collection System appropriate and clearly defined. This may not be applicable for some utility contracts.		Suitable for size of business and a logical, documented, system that ensures all debts are managed.	
3.1.10	Complaints procedure robust and effective. Specific comment from main client representative to be gathered by assessor around contractor performance and attitude.		Initial logging system to ensure all complaints are dealt with in a reasonable timescale and follow up procedures documented.	
3.1.11	Customer satisfaction checking system. Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:		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.	
3.1.12	Office set up and arrangements Well organised/appropriately equipped Filing systems effective Suitable staff welfare Appropriate signage for ‘No Smoking’. See https://www.gov.uk/smoking-at-work-the-law Company website appropriate/accurate and illustrating good/best practice.		Tidy and logical DSE risk assessment available (HSE INDG36) Adequate business equipment Cleaning/toilets etc. Complies with ‘Smoke-free Regs. 2007’. Company website to be reviewed for accuracy of information/advice and images etc. highlighting good/safe practice and good tree-work standards etc.	

MODULE 3.0: Customer Care, Office Systems and Procedures and Contract Management etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
3.1.13	<p>The Responsible Manager shall make arrangements for the retention of contract required records for review and audit purposes: – internal – external.</p> <p>Example – Rail records:</p> <ul style="list-style-type: none"> signed copies of RT9909 and RT3181 forms originally produced by SSOWPS and returned from site after use. These shall be retained for a minimum period of 3 months; electronic or hard copy records of the verification undertaken by the COSSs/IWAs (see clause 11.1). These shall be retained for a minimum period of 3 months; and signed copies of RT9909 and RT3181 forms not produced by SSOWPS and returned from site after use. These shall to be retained for a minimum of 2 years. <p>Safe System of Work (SSOW) pack Work Package Plans and Task Briefs National Hazard Directory Miles/Chains/Yard Access Point - authorised walking routes. Evidence. The SSOW plan verified by the COSS / IWA nominated to undertake the work.</p>		Requirements for other sectors as required.	
3.2	Insurances			
3.2.1	Employers Liability cover – usually £10 million. Mandatory.		Must be adequate and appropriate (and ‘in place’ regardless of how staff resources are engaged)	
3.2.2	Public Liability cover – at least £5 million. Mandatory.		Should be adequate and appropriate covering all business activities in full.	

MODULE 3.0: Customer Care, Office Systems and Procedures and Contract Management etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
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/Utility 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. Lease hire arrangements?	
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 – if applicable (to be specific to the business / company)		Generally, to 'register' as a lower tier waste carrier with the EA. Seek advice from EA / NetRegs. at http://www.environment-agency.gov.uk/business/sectors/wastecarriers.aspx http://www.netregs.org.uk/	
3.3.2	Waste Transfer – if 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. https://www.gov.uk/waste-exemption-t6-treating-waste-wood-and-waste-plant-matter-by-chipping-shredding-cutting-or-pulverising A storage exemption (S2) may also be required if you are responsible for the site https://www.gov.uk/waste-exemption-s2-storing-waste-in-a-secure-place Waste Transfer – if applicable – but needed for passing of wood chip to others for disposal or use. U1 waste exemption may be required - use of waste in construction – chip / waste to construct track, path.	
3.3.3	Operator's Licence – if applicable		For vehicles or combinations over 3.5t.	
3.3.4	Driving Licences legal in relation to vehicle combinations used		To ensure drivers are driving / towing legally – note 4b section (photo / licence expiry) . See https://www.gov.uk/newlicencerules . Copies taken or online checks evidenced and repeated annually.	

MODULE 3.0: Customer Care, Office Systems and Procedures and Contract Management etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
3.4	Wildlife and Ecology			
3.4.1	<p>Wildlife/Ecological Policy State how the company will minimise the impact on wildlife and habitats in particular European Protected Species (EPS) with reference to bats, dormice, great crested newts etc and nesting birds.</p> <p>Example – Rail: Bat awareness for operatives. NWR bird nest check records. Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>The Wildlife and Countryside Act 1981, the Countryside and Rights of Way Act 2000, the Habitat Regs. 2010 and the 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.</p> <p>Environmental aspects and impacts assessments.</p>	
3.5	Biosecurity			
3.5.1	<p>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.</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>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.</p>	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
4.1	<p>Work Planning, Implementation and Health and Safety and Workplace Management. A minimum of 1 office, store, workshop, yard, will be used for the assessments. Should an applicant business run from more than 1 regional base for each industry sector, each annual assessment must be conducted at a different location to the previous assessment location. More than one base location may be required where the applicant business requires multiple utility sector accreditation e.g. rail, highway and electrical. This will be planned with the individual applicants prior to any assessment.</p> <p>a) Initial assessment– Office systems audit criteria based on current, legal requirements and good practice, HSE and industry sector specific guidance / standards. (e.g. G55 1, 2, or 3, ESQCR, ENA TS 43-8, GS 6 or other sector specific standards such as NHS18 requirements etc), and client and contract requirements / standards.</p> <p>b) Reassessment - (annual) - as initial assessment. *Audit focus variable dependent upon business size and requests and review of feedback and actions taken following previous assessment results and recommendations, feedback from client and site monitoring / compliance / quality audit results, accident / incidents / near miss reports, relevant industry or sector developments. This will be planned with the individual applicants prior to any assessment.</p> <p>NB Failure of this aspect of the standard will result in an overall unsuccessful assessment outcome.</p>			
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.	
4.1.2	Health and Safety Poster (a statutory notice) displayed and filled in, OR H&S law leaflet/pocket card supplied. http://www.hse.gov.uk/contact/faqs/lawposter.htm		Poster available to all employees, placed appropriately, more than one may be required OR signatures/dates obtained for leaflets / pocket cards if they are the sole means of informing.	
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.	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
4.1.4	Employee Consultation effective		A system of effective two-way consultation demonstrated and to be documented with minutes.	
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.	
4.1.6	Health and Safety Arrangements (see below a-m) 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 Regs?" and how the policy will be monitored and reviewed. Covid risk assessment / control and staff guidance / reminders. See AA posters.	
4.1.6a	Management of Health and Safety at Work Regs. – Risk Assessment: Generic Risk Assessments cover all work undertaken and covid control (BMJ info). Generic RA refer to industry best practice and promote suitable controls Site specific assessments cover daily operations Employees are trained in use System regularly reviewed and revised if needed Method Statements: Appropriate in structure and layout Content adequate and usable		RA process in place which must be understood, 'suitable and sufficient,' logical and defensible. If generics used must cover the full 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.	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<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>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 method statements/safe systems of work.</p>	
4.1.6b	<p>Control of Substances Hazardous to Health and Control of Asbestos Regs, assessments.</p> <p>Pesticide Records</p> <p>Health monitoring (HM)</p> <p>Surplus disposal (SD)</p> <p>Asbestos arrangements (Generally unlikely to be encountered but a very significant hazard/health risk if inhaled in dust/fibres form, hence due to fly tipping in utility environments a specific risk assessment must be produced.)</p> <p>Including covid control (see BMJ info) and disposal of used PPE.</p>		<p>A list of qualifying substances to be drawn up, and assessments undertaken and MSDS's (often on internet) obtained. Copies of assessments or operator instructions such as PPE to use, 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 or general dust, leaf hairs, hogweed, workshop materials (e.g. wd40, lubrication grease) etc should also be risk assessed.</p> <p>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>	
4.1.6c	<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 (inc. MEWPs where appropriate)</p> <p>Emergency procedures are managed, and adequate arrangements are in place including an aerial rescue plan.</p> <p>Current 2 rope / anchor point system used.</p>		<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 practice i.e. AA Tech guides (supersedes AFAG and Guide to Good Climbing Practice) and AA ICoP guidance.</p> <p>Emergency procedures must be specific to the operations, particular site and method of access employed. They must be planned and available for immediate implementation if required.</p>	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
4.1.6d	<p>Manual Handling Operations</p> <p>Evidence of manual handling assessments being considered</p> <p>Evidence of manual handling training being delivered, both to new employees and existing</p> <p>Monitoring of manual handling operations on worksites for good techniques</p> <p>Periodic 'in-house' refresher training / tool box talks to reinforce importance.</p>		<p>Muscular-skeletal disorders are a common cause for work place absence. Good instruction and supervision are required to be evidenced to ensure employers are meeting their duties. In a very physically demanding industry, it is easy to overlook poor manual handling techniques as 'the norm', and with the difficult loads involved, so workplace monitoring, and further instruction as required, must be undertaken. Staff training is required.</p>	
4.1.6e	<p>First Aid</p> <p>Evidence of a first aid assessment being considered</p> <p>Evidence of adequate and relevant first aid provision in place</p> <p>How the requirement for training renewal, i.e. every 3 years, is managed</p> <p>Adequate first aid information available to staff</p>		<p>The contractor needs to have 'appropriate and adequate' arrangements for First Aid (FA) provision at the work place. Typically, this will involve a minimum of 2 people on each independent work site holding the 'Emergency First Aid at Work' (EFAW) qualification and having access to an appropriate stocked 'squad' FA kit. The training should be relevant to the hazards/likely injuries to be encountered. HSE</p>	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	NB Ideally the First Aid training undertaken will be industry / hazard / accident specific, e.g. '+F and/or +A. HSE recommended items in first aid kits. Health & Safety (First Aid) Regulations 1981. The Act states that "All first aid boxes should have a white cross on a green background".		strongly recommend annual refreshers for FA to keep the skills updated.	
4.1.6f	Reporting of Injuries, Diseases and Dangerous Occurrences and Accident / Incident Management (AIM) A good awareness of RIDDOR requirements System in place to report An understanding of the requirements of AIM can be demonstrated (principles of prevention) Records are made (see Appendix 1.0), including showing actions in response to enforcement of improvement notice Legal accident book available.		Knowledge of the requirements of AIM including investigation and principles of prevention. Knowledge of the RIDDOR regulations and reportable incidents will be required. Knowledge of how to notify and how to report. Data protection compliant accident book required, and reports kept under lock and key. Adequate accident recording in place.	
4.1.6g	Personal Protective Equipment (PPE) PPE requirements determined by RA process Staff provided with necessary PPE Records of issuing, checking and maintaining. Including Covid related. This includes the issue of manufacturers information / guidance to users.		PPE provided, relevant and compliant with industry good practice (i.e. FISA, AA Tech guides (supersedes AFAG) and AA ICoP guidance) and showing employer / sponsor livery. Company PPE register detailing who has received what and signed to acknowledge receipt. Evidence of manufacturers information being issued to users.	
4.1.6h	Provision and Use of Work Equipment Pre-use/daily operator checks for all qualifying equipment are carried out effectively. System of fault recording is in place. Records of inspection and servicing of all qualifying equipment are available Provision of adequate information, instruction and training by employers (see section 3.6)		Qualifying equipment includes more complex items such as chippers, grinders and vehicles. Evidence of checks required. Chainsaws are considered to be less complex and subject to daily pre-use checks. Hence maintenance (repair/replace)/periodic checks should be carried out and recorded by management. Service records in the form of copy	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
			invoices for externally sourced work or service sheet detailing in-house maintenance. Evidence of manufacturers information being issued.	
4.1.6i	<p>Lifting Operations and Lifting Equipment</p> <p>Pre-use/daily checks undertaken</p> <p>Interim checks, often weekly, of items subject to high levels of wear and tear undertaken and suitably recorded.</p> <p>Competent and qualified person inspections undertaken and suitable</p> <p>Out of Service / rejected / faulty equipment dealt with effectively</p>		<p>Kit will be examined on site to ensure that it meets requirements as far as reasonably practicable.</p> <p>Evidence of adequate inspection records as required by LOLER ACOP and AIS30.</p> <p>Evidence of historical and current competent person checks.</p> <p>System for ensuring redundant equipment cannot be brought back into service. Evidence of manufacturers information being issued.</p>	
4.1.6j	<p>Fire Safety Order and Dangerous Substances and Explosive Atmospheres</p> <p>Fire Risk Assessment (FRA), for all premises/offices, to be undertaken and documented</p> <p>Relevant controls/signage etc. in place as derived from FRA process</p> <p>DSEAR assessment undertaken for any premises where significant amounts of flammable/explosive substances are stored</p> <p>Relevant controls/signage etc. in place as derived from DSEAR assessment process</p>		<p>The Fire Safety Order (2005) places the responsibility for undertaking fire risk assessments with the premises owner/occupier. Documented evidence to be made available of this along with controls implemented.</p> <p>DSEAR assessment is mainly applicable where petrol vapours build up to create an explosive atmosphere, i.e. inside a sealed container unit, and often storage of lesser amounts and additional ventilation is required.</p>	
4.1.6k	<p>Control of Vibration in the Workplace - VIBRATION</p> <p>Identify power tools/machinery which produce vibrations</p> <p>Assess vibration magnitudes</p> <p>Calculate vibration exposure times</p> <p>Adequate risk assessment in place</p> <p>Reduce exposure time where shown to be high for any individual</p>		<p>Hand arm vibration is well known in the industry. The latest 2005 Regulations place an onus upon employers to inform employees about, and control the exposure of staff to, vibration from machinery to limit the risk of permanent damage and undertake health monitoring where appropriate.</p> <p>Asset register to include vibration output of machinery. This significant 'hazard' is expected to</p>	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	Introduce system of health surveillance (HS) for all staff		be adequately risk assessed with effective controls in place. HS must be evidenced.	
4.1.6l	Control of Noise in the Workplace - NOISE Identify power tools/machinery which produce noise and assess noise action levels i.e. above 80 decibels Calculate noise exposure times etc. Adequate risk assessment in place Reduce exposure time where shown to be high for any individual Introduce system of health surveillance (HS) for all staff to above for Vibration		Excessive noise is well known in the industry. The latest 2005 Regulations place an onus upon employers to inform employees about and control the exposure of staff to, noise from machinery to limit the risk of permanent damage and undertake health surveillance of staff. Evidence of manufacturers information being issued.	
4.1.6m	Welfare Arrangements To include provision of / access to: Clean and working toilet facilities Hand-wash facilities with hot water Soap and towels / hand drying facilities A place to dry / store work clothes Access to drinking water A 'rest area' to sit and drink / eat. Including covid control (see BMJ info). Awareness of and compliance with any client specifications / requirements. Evidence of work rota / time limitations/ rest period management.		The Workplace Health, Safety & Welfare Regs. place a duty on employers to make adequate provision for welfare facilities (see across) in the workplace. In practice, given the short-term duration and transient nature of tree work operations, it may be appropriate to use the owner's premises, local public facilities or facilities of other local businesses. You must inform your employees of these facilities and their location.	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
4.1.7	<p>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.</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>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.</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 internal / client / FISA / AA safety guides leaflets where appropriate).</p>	
4.1.9	<p>An auditable system exists to monitor work quality standards (inc sub-contractors).</p>		<p>Evidence of recorded periodic checks covering specification conformance, pruning cuts, tidy and finished site etc, completed by a competent person.</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. How the H&S performance of the company can be assessed to</p>	

* *The scheme defines a sub-contractor as a separate business entity providing a bespoke operation/service (e.g. timber haulage, stump-grinding etc) that is outside of the mandatory requirements of the UAC 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 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 UAC's business model. UAC status cannot be conferred or inferred in part or in its entirety onto a sub-contractor in carrying out a UAC's operations.*

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
			check their effectiveness, i.e. sickness records, accident book entries and RIDDOR reports.	
4.2	Health and Safety Communications and Controls (multi-office businesses require specific contract based staff records)			
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	<p>Clear lines of command / responsibility. Named manager/s contract or geographical control area defined.</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>Dedicated persons responsible to ensure communications links are effective and compliance is achieved at all levels.</p> <p>Supervisors and team leaders to be included in this task.</p>	
4.3	Training and Competence			
4.3.1	<p>Training and information. To have in place and implement, adequate and effective training arrangements for employees. Subcontractors competent for work operations. To have in place an effective system for assessing and implementing update and refresher training To have in place adequate health and safety information and guidance (see Appendix 2.0). Records relevant to operators / staff observed on work sites to be evaluated.</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.	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>			
4.3.2	<p>Qualifications and experience To ensure employees have the necessary qualifications to undertake their tasks To ensure employees have the necessary and relevant experience.</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<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 'certificates of competence' or evidence of auditable training as appropriate (see FISA 805 Training and Certification).</p>	
4.3.3	<p>Training and related records for employees and sub-contractors including: Induction training / H&S awareness training, internal and external. Certificates of Competence – chainsaw/ MEWPs/aerial work/pesticide application. Evidence of auditable training for work equipment being used e.g. Chippers/Stump Grinders, justification will be required if industry recognised awarding organisations e.g. NPTC or Lantra Awards, are not used.</p> <p>Consider:</p>		<p>All employees to be inducted to the company systems and documentation, and a record maintained.</p> <p>Consider: Relevant competence certificates etc where required by HSE, equipment manufacturers, main clients / contract, industry good practice and as detailed in FISA 805.</p> <p>Driving licences to be checked periodically – at least annually. Personnel / team combinations to ensure at least two trained first aiders (emergency 1 day, +f +a)</p>	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
	<p>Driving licences - First Aid (ideally industry specific '+F' +A- Fire Fighting - Signing Lighting and Guarding – traffic management - arb competence for level of work – Continual Professional Development (CPD) - insurance requirements - CSCS / ROLO / LISS - HE Common induction (CI) – client inductions and authorisations (where appropriate) - Bat / wildlife awareness training IOSH 'Working safely' (1 day) or managing safety (4 day) – documented and detailed evidence of 'in-house' / 'on the job' training and ongoing or refresher training and operational competency assessments, use of FISA and / or AA safety guidance etc.</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>on any site and ideally someone within the company with First Aid at Work. Signing Lighting & Guarding or other traffic management certification may be required to cover roadside / highway work. Adequate training in the use of fire extinguishers. Records of any further relevant training, in particular bat awareness.</p> <p>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: https://www.forestryelearning.org.uk/login/index.php</p> <p>Consider Ash Die Back training.</p>	
4.3.4	<p>A system exists for assessing training needs of staff (including refresher training for all disciplines).</p> <p>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</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>	
4.4	Environmental			

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
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. 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>Example – Rail: Example – Electrical: Example – Highway: Example – Waterway: Example – Telecommunications:</p>		<p>Incorporating the Environmental Protection Act and Pollution Prevention & Control Act and any associated regulations, in terms of pollution control and waste management. This will consider issues including fuel and oil run offs causing ground and watercourse contamination. Oil and fuels storage and controls. Pesticides also. Also selection of bio-degradable oils over mineral oils where appropriate.</p>	
4.5	Stores / Workshop			
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). See https://www.gov.uk/smoking-at-work-the-law</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.	

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
4.5.4	Complies with Oil Storage Regs if applicable, good practice standards maintained e.g. spill / drip trays, store bunding.		Single containers over 200 litres to be bunded. Bulk tanks to be bunded including all delivery pipes.	
4.5.5	Business must have spill control materials appropriate to the equipment being used on site. Available within 30 mts of the equipment and / or in compliance with client specific arrangements.		Suitable products – not sawdust, to prevent fouling of drains and ground water etc. User training is required.	
4.5.6	Suitable wall mounted first aid kit and eye wash where running water is not available.		To be well stocked with (1lt of 'in date' eye wash required where no running water is available) and contents/materials etc. Re-stocking procedures and nominated person should be identified and understood.	
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 – covid control 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 (Material Safety Data Sheets usually laminated)		To be available to staff at the point of i) usage, i.e. in the vehicles and ii) storage, i.e. in the stores with realistic practicable controls.	
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 e.g. bucket/brush/boot scraper, available for routine biosecurity control measures, cleaning and disinfection.	
4.6	Yard and Work Sites			

MODULE 4.0: Work Planning, Implementation and Health and Safety Management and Workplace Inspection etc.

	DETAILS	✓ or ✗	REQUIREMENTS	COMMENTS
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		Timber stored safely and appropriately, i.e. generally and where reasonably practicable, not exceeding 1 m high for manual stacking or 2 m for machine stacking, stable and contoured, unless risk assessed, and specific measures employed.	
4.6.3	Woodchip storage safe, secure and within EA guidelines etc. For example - common exemptions to be registered: U1: Use of waste in construction U4: Burning of waste as a fuel in a small appliance – for log burner in the office T6: Treating waste wood and waste plant matter by chipping, shredding, cutting or pulverising D7: Burning waste in the open S2: Storing waste in a secure place – yard area		See EA Waste wood guide 43-17	

APPENDIX 1.0 – Accident Reporting and Accident Investigation

Suitable, appropriate (to the business and client) and documented arrangements for recording, reporting and investigating accidents and incidents are required. 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. These records will be passed on to the AA's Utility Arb Group (UAG) in an anonymous manner. Please ensure there is no duplication of submitting these statistics e.g. via your clients' statistics.

Year Ending	FATAL	SPECIFIED INJURY or OVER 7 DAYS	NON-REPORTABLE	DANGEROUS OCCURRENCES	REPORTABLE ILL- HEALTH	NEAR MISSES
E.g. 2019	0	1	8	0 e.g. MEWP incidents	0	32
2020						
2021						
2022						

Accompanying guidance states:

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

Please ensure 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 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.

In addition to completing accident statistics in this format, supporting details regarding 2 accidents (where relevant) will be investigated within the assessment and the conclusions of investigations, including any action taken to prevent a recurrence, will be noted.

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

Appendix Two: Sources of Information and Guidance

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

Ref.	Title	Ref.	Title
402/2001	Safe Working Methods with Top-handled Chainsaws	GS6	Avoiding Danger from Overhead Powerlines
AA	AA Technical Guides 1 – 2 – 3 – 4	HSE	Determination of Rope Access and Work Positioning Techniques in Arboriculture
AA	A Guide to Good Tree Climbing Practice (superseded by AA Tech guides)	HSE PM29	Electrical Risks from Steam/Water Pressure Cleaners

AA	A Guide to the Use of MEWPs in Arboriculture (superseded by AA Tech guides)	HSE SR1	Cleaning and Disinfection Using a Low Pressure Washer
AA	Industry Code of Practice for Arboriculture: Tree Work at Height (2015)		
AFAG401	Tree Climbing Operations (superseded by AA Tech guides)	HSG47	Avoiding Danger from Underground Services
AFAG402	Aerial Tree Rescue (superseded by AA Tech guides)	HSL/2003/18	Karabiner Safety in the Arboriculture Industry
AFAG403	Mobile Elevating Work Platforms (MEWPs) for Tree Work (superseded by AA Tech guides)	INDG136	A Brief Guide to COSHH
AFAG606	Mobile Stump Grinders	INDG143	Getting to Grips with Manual Handling
AIS16	Storing Pesticides	INDG163	Risk Assessment
AIS38	Power-fed Mobile Wood Chippers – Operator Safety at Infeed Chutes	INDG173 INDG 36	Office-wise Display Screen Equipment
AS24	Power Take-offs and Power Take-off Drive Shafts	INDG175	Control the Risks from Hand-Arm Vibration–Guidance for Employers on Control of Vibration at Work Regulations
BS3998 BS 8545	Recommendations for Tree Work Trees: from nursery to independence in the landscape Recommendations	INDG185	Using Tractors Safely
BS5837	Trees in Relation to Design, Demolition and Construction - Recommendations	INDG214	First Aid at Work: Your Questions Answered
FC	Winching Operations in Forestry – Tree Takedown and Vehicle Debogging	INDG229	Using Work Equipment Safely
FISA103	Planting	INDG236	Maintaining Portable Electric Equipment in Low-risk Environments
FISA104	Fencing	INDG259	Health and Safety Made Simple
FISA202	Application of Pesticides by Hand-held Equipment	INDG290	Lifting Equipment at Work – A Brief Guide
FISA203	Clearing Saw	INDG296	Hand-Arm Vibration – Advice for Employees

FISA 204	Flails and mulchers in tree work	INDG317	Chainsaws at Work
FISA301	Using Petrol Driven Chainsaws	INDG36	Working with VDUs
FISA302	Basic Chainsaw Felling and Manual Takedown	INDG362	Noise at Work – Guidance for Employers on Control of Noise at Work Regs
FISA303	Snedding	INDG363	Protect Your Hearing or Lose It (employees' leaflet)
FISA304	Chainsaw Cross Cutting and Manual Stacking	INDG370	Fire and Explosion
FISA306	Chainsaw Clearance of Windblow	INDG401	Work at Height Regulations 2005 – A Brief Guide for Employers
FISA307	Chainsaw Felling of Large Trees	INDG 73	Protecting lone workers
FISA 310	Use of winches in directional felling and takedown		
FISA 501	Tractor units in tree work		
FISA 502	Extraction by skidder		
FISA 503	Extraction by forwarder		
FISA 505	Traction Assist		
FISA 603	Mechanical harvesting		
FISA 604	Wood chippers		
FISA 605	Mechanical roadside processing		
FISA 608	Tree Shear and Grapple Saw		
FISA 704	Excavators in tree work		
FISA 706	Timber Haulage		
FISA 802	Emergency Planning		
FISA 804	Electricity at work: Forestry		
FISA 805	Training and certification		
FISA 806	Welfare		

Please note this is not an exhaustive list.

APPENDIX 3.0 Assessment / Reassessment Outcomes

New applicant businesses:

The possible outcomes and further steps following initial assessment (cost 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's normally restricted to the assessment of areas of the Standard deemed not compliant.</p>	Open dialogue with ArbAC scheme manager / appointed Lead Assessor and AA website resource	<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>	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 (cost are indicative, see website for current charges.)

Reassessment outcome	Entitlements	Timescales	Cost (+VAT)
<p>1. FULL RE-APPROVAL 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 ArbAC status is maintained until current accreditation expiry 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 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