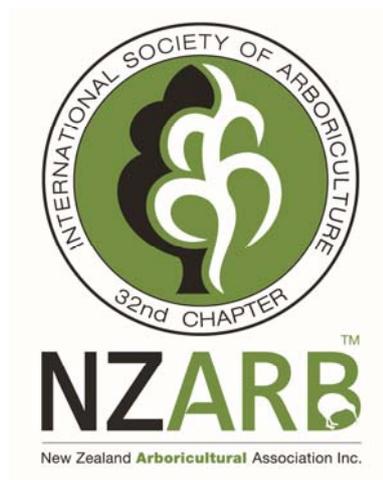


**New Zealand Arboricultural
Association Inc.**

**Approved Contractor Programme(ACP)
PRE-APPROVAL GUIDE**



July 2016 VERSION 4

**Owned and administered by the
New Zealand Arboricultural Association Inc. (NZ Arb)**

NEW ZEALAND ARBORICULTURAL ASSOCIATION INC. (NZ Arb)

APPROVED CONTRACTOR PROGRAMME(AC)

**Owned and administered by the
New Zealand Arboricultural Association Inc. (NZ Arb)**

PRE-APPROVAL GUIDE

July 2016 Version 4

**All correspondence should be directed to:
The Approved Contractor Programme Coordinator
New Zealand Arboricultural Association Inc.
PO Box 1193, Nelson 7040
ACS@nzarb.org.nz
www.NZArb.org.nz**

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FOREWORD

HISTORY OF THE APPROVED CONTRACTOR PROGRAMME

The Approved Contractor Programme was established by the New Zealand Arboricultural Association in 1993. By 1996 there were 4 contractors on the register.

The intent of this document

It is intended that the NZ Arb Pre-Approval Guide be a living document, reviewed and updated as required. The Pre-Approval Guide will be made available on the NZ Arb web site:

<http://nzarb.org.nz>

Submissions to this document

If you would like to make a submission or comment about the content of this document, or you would like to suggest additional amendments for NZ Arb please make these in writing to;

Postal address; The New Zealand Arboricultural Association P.O. Box 1193, Nelson
7040, New Zealand.

Or via email on: acs@nzarb.org.nz

Correspondence should be headed; Submissions to the Approved Contractors Programme (Pre Approval Guide) and include your name and contact details. Please use the section numbers to identify where your submission relates to or where your submission should be included.

This is Version 4.0 of the New Zealand Arboricultural Industry 'Approved Contractor Programme' published by the New Zealand Arboricultural Association Inc.

The Approved Contractor Programme is available to all arboricultural contracting companies in New Zealand. The Assessment criteria are sufficiently flexible to apply to both large and small arboricultural businesses.

The Approved Contractor Programme aims to be continuously reviewed, improved and upgraded, and invites the assistance and advice of individuals and organisations engaged in the New Zealand tree care industry.

This version is based on the principles of the previous versions of this Programme; however, the criteria have been amended to be more responsive to advances in the tree care industry and to meet current legislative requirements. NZ Arboricultural Association Approved Contractors will be expected to keep abreast of current best practice, technological advances and legislative requirements.

This is a live document which we endeavour to keep updated as the Programme evolves. To make a submission on amendments to the Programme contact the ACS Coordinator at (ACS@nzarb.org.nz).

Approved Contractor Programme Review

SECTION ONE:

What is an Approved Contractor?

- 1.1 An Approved Contractor is an arboricultural contracting business that has met, and is required to maintain, a minimum standard of professional knowledge and practical ability at the level of client service that is required in this Approved Contractor Programme Pre Approval Guide.
- 1.2 The purpose of the Approved Contractor Programme is to establish and maintain a high level of public confidence in the arboricultural industry. A list of Approved Contractors, with trading name, address, contact numbers and the expiry date of their Approved Contractor Status is recorded on an Approved Contractor Register. This Register is distributed to Local and Regional authorities, displayed on the NZ Arb website and published in the industry magazine (*Tree Matters*).
- 1.3 There is no ranking conferred within the Approved Contractor Register.
- 1.4 Approved Contractor Status is valid for a period of up to five years. The Association will conduct an audit of each Approved Contractor during the third year of the approved period. Upon expiry of the approval period each Approved Contractor can apply for a further term. The aim of the five-year cycle is to ensure that Approved Contractors continue to maintain and improve their standards and work methodology.

SECTION TWO:

The objectives of the Association in promoting the Approved Contractor Programme

To improve and foster the professional development of industry members.

MISSION STATEMENT:

TO ENCOURAGE, FOSTER, IMPROVE AND EDUCATE IN ALL ASPECTS OF ARBORICULTURE IN NEW ZEALAND.

- 2.1 To encourage continuity and excellence in the arboricultural contracting industry throughout New Zealand.
- 2.2 To promote a consistently high standard of arboricultural advice and workmanship to the customer.
- 2.3 To make the Approved Contractor Programme available to all arboricultural contractors in New Zealand.
- 2.4 To increase public awareness of the importance of appropriate tree care.
- 2.5 To maintain this accreditation Programme that allows arboricultural contractors to develop individually within the standards required by the Association.

SECTION THREE:

Benefits for the Approved Contractor

The Association will:

- 3.1 Acknowledge and promote the listed Approved Contractors as providers of a service that is professionally recognised and industry based.
- 3.2 Inform the public about the Approved Contractor Programme, and the benefits of using an Approved Contractor.
- 3.3 Provide a list of Approved Contractors to Local, Regional and Government Organisations, other relevant organisations, display the Approved Contractor List on the Association website and publish this list in the industry magazine (*Tree Matters*) and other related industry organisations and publications, as appropriate.
- 3.4 Allow all Approved Contractors the exclusive use of the NZ Arboricultural Association Approved Contractor Logo in advertising and promotional material in line with our NZ Arb branding guidelines [here](#)
- 3.5 Provide monitoring of contractors on the Approved Contractor list as a means of maintaining quality control and the integrity of the Approved Contractor Programme.

SECTION FOUR:

Requirements to become an Approved Contractor

In order to be eligible to become an Approved Contractor, the Applicant shall meet the following criteria:

4.1 Applicants Qualifying Experience

An Applicant must have qualifying experience as follows:

EITHER

- The applying company has a recognised arboricultural qualification (equivalent to NZQA Level 4 Advanced certificate) and has been continuously operating as an arboricultural contracting business for a minimum of three years;

OR

- The applicant has been operating an arboricultural contracting business for a minimum of five years, whether having completed any formal qualifications or not;

OR

- The equivalent experience or qualifications can be demonstrated by the applicant.

4.2 Staff Qualifying Experience

To be eligible and maintain Approved Contractor status, where the company principal is not present on the work site, each arboricultural contracting crew must have qualifying experience as follows:-

- A recognised arboricultural qualification (equivalent to NZQA Level 4 Advanced certificate) and has been continuously working as an arboricultural contractor for a minimum of two years post qualification.
- Or 5 years' continuous experience.

In addition to the above requirements, an Applicant must satisfy the appointed ACS Assessors that the following is provided:

4.3 Client Service

Advertising and marketing shall be accurate and of a professional nature. The Applicant shall demonstrate a systematic approach to the handling of clients, from initial inquiry to job completion. These areas shall include:

- Job tracking
- Record-keeping
- Contract management
- Recording of customer feedback
- Public Liability / Professional Indemnity Insurance Company History

4.4 Health and Safety

The Applicant must have documented policies and procedures for managing health and safety in the work place. The Applicant shall provide evidence detailing the handling of policy and procedures that shall include but not be limited to:

- Current Worksite Health & Safety Policy
- Pre-start Hazard ID and recording
- Staff PPE provided / recorded / maintained accident reporting and recording
- Equipment inspections
- First Aid Certification / depot first aid kit
- Staff training / warranting records
- Emergency procedures / contact numbers
- Traffic Management Procedures (TMP)
- Utility Line Clearance written procedures
- A drug and alcohol policy

4.5 Arboricultural Standards

All work performed by the Applicant shall be of a quality no less than that prescribed or detailed in relevant and commonly accepted best practice guidelines and arboricultural standards as currently acknowledged by the NZ Arboricultural Association and International Society of Arboriculture.

Examples of completed works and current work in progress shall be evaluated.

4.6 Codes of Practice, Relevant Legislation and Best Practice Guidelines

The Applicant shall observe, hold copies and adhere to all applicable Codes of Practice that relate to the type of work and equipment used by the Applicant, as set down by the Worksafe. All work performed by the Applicant shall be of an acceptable standard. Examples of completed works and current work in progress shall be evaluated.

The Applicant must demonstrate familiarity and compliance with any Local Government Authority requirements, including District and Regional Plans and National legislation that are relevant to day to day arboricultural operations in the area(s) in which the business conducts its work.

4.7 Plant and Equipment

The Applicant shall ensure that plant and equipment owned and operated are safe, suitable and used in accordance with the manufacturer's recommendations. All Physical Resources shall be compliant with all applicable industry Codes of Practice and shall all be warrantable for use on the road, holding all applicable certificates and/or warrants of fitness and be fit for purpose.

4.8 Human Resource Organisation and Management

The Applicant shall demonstrate competent organisation and management of Human Resources. For example, keep documentation and records of training in line with section 4.X of Appendix 5. This list shall be provided, but is not exhaustive.

4.9 Continuous Quality Improvement

The Applicant shall demonstrate continuous improvements of business quality and professional development in keeping with modern trends, methods and techniques of the arboricultural industry.

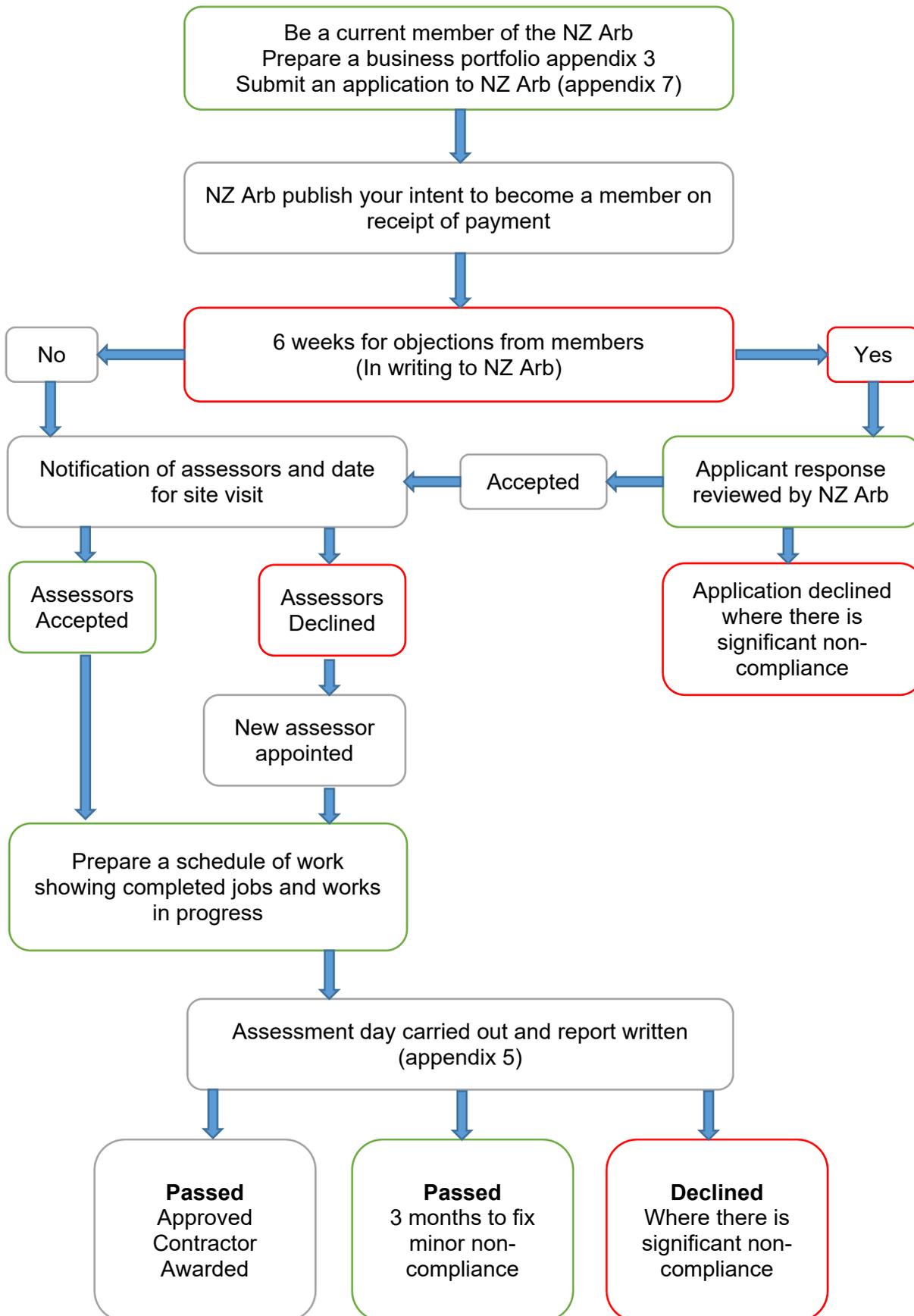
4.10 Public Liability / Professional Indemnity Insurance

All Applicants shall hold adequate public liability and professional indemnity insurance to cover them and their customers for any situation or circumstances that may arise from the services they perform.

4.11 Depots

Where applicants have multiple depots, the approval status shall only apply to the individual depot assessed and approved at the time of the ACS Audit.

SECTION FIVE: - Steps to become an Approved Contractor



SECTION SIX:

The Approved Contractor Programme Assessor

- 6.1 The ACS Committee shall appoint an impartial Assessor/s to each application for Approved Contractor Status.
- 6.2 The Applicant has the right to appeal the initially appointed Assessor in writing with valid reasons to the ACS committee. One change of Assessor may be acceptable if the ACS committee feel the appeal is justified. Any additional costs incurred shall be agreed upon by the ACS committee and the applicant prior to a new assessor being appointed.
- 6.3 The primary role of the Assessor is to assess the Applicants ability to conform to the criteria required by the Programme.
- 6.4 The Applicant has the right to expect that his/her Assessment and any documentation provided will be treated confidentially, and used solely for the purpose of the accreditation process.
- 6.5 The Assessor will provide a copy of the Assessment Report to the Applicant following the Assessment, together with any recommendations.
- 6.6 In the event of a dispute, the Applicant may appeal to the ACS Committee.
- 6.7 The decision of the Association Executive Committee is final.

SECTION SEVEN:

The Assessment Audit

- 7.1 The Assessor, having viewed the submitted business portfolio, also requires evidence of the criteria prescribed in Section Four (Appendices 3 and 5).
- 7.2 The Applicant will submit examples of current and previous treework that demonstrate the range of arboricultural services indicated on the Application. The Assessor and Applicant will view these examples as part of the onsite Assessment. Photographic and/or video evidence shall be provided by the Applicant as a means of demonstrating the 'before and after condition' and the techniques used in the examples of Previous Work. See Appendix 5 for breakdown of techniques required for Assessment.
- 7.3 The Applicant shall demonstrate their arboricultural abilities, safe treework practices and procedures with examples of work in progress. Such work shall be organised and undertaken by the Applicant, and/or by the Applicant's staff. The range of procedures that need to be demonstrated are listed in the Assessment Checklist in Appendix 5 of the ACS Guide.

SECTION EIGHT:

Cancellation or Postponement of the Assessment

- 8.1 The Applicant has the right to cancel the Assessment at any stage.
- 8.2 Application fees, minus any administration costs, will be refunded if the Applicant cancels at least one calendar month before the scheduled Assessment date.
- 8.3 A partial refund of fees may be paid if cancellation by the Applicant occurs within one calendar month before the Assessment date.
- 8.4 Cancellation of the Assessment may be made by the ACS Committee at any point up to and including the Assessment date, if the Applicant:
- a) Exhibits conduct which, in the opinion of the Association and the appointed Assessor, may bring the Association or the standing of the Approved Contractor Programme into disrepute;
 - b) Carries out recent work that is, in the opinion of the ACS Committee and the appointed Assessor, of an unacceptable standard.
- 8.5 A refund of the Assessment fee, minus any administration costs, shall be at the discretion of the ACS Committee.
- 8.6 The Application will lapse if the Assessment and Audit are not completed within one calendar year after publication of the Notice of Intent, and after 6 months where an Audit requires re-assessment in areas of minor non-compliance. (ref Section 5.11) Failure by the Applicant to meet these requirements will result in total loss of fees and render the application void. Through the fault of the application.
- 8.7 Postponement of 'Work in Progress' due to extenuating circumstances, such as extreme weather events will be agreed between the Applicant and the Assessor on the Assessment day. The Assessment may be rescheduled for a mutually agreed date. The ACS will consider reasonable circumstances which may arise on a case by case basis.
- 8.8 Postponement of the Assessment by the Assessor shall not incur additional fees for the Applicant.

SECTION NINE:

Auditing

- 9.1 A mid-term audit of all Approved Contractors shall be conducted during the Approved Contractor Status period.
- 9.2 The Approved Contractor will be notified in writing prior to the midterm review. The cost of the midterm audits shall be met by the Approved Contractor (see fee schedule - Section Thirteen).
- 9.3 Additional audits may be conducted at any time by the Approved Contractors Committee during the Approved Contractor Status period. NZ Arb reserve the right to carry out further audits and request documentation to ensure continued compliance status.

SECTION TEN:

Renewal of Approved Contractor Status

- 10.1 Notice of the requirement to renew current Approved Contractor Status will be given in writing six months prior to the end of the five-year Approved Contractor period.
- 10.2 Renewal of Approved Contractor Status must be applied for at least 90 working days prior to the end of the five-year Approved Contractor period.
- 10.3 An Assessment for renewal should be carried out prior to expiration of the 5-year period, otherwise the ACS status is deemed to be expired. The intention will be that the audit be conducted within 90 days.

SECTION ELEVEN:

Loss of Approved Contractor Status

An Approved Contractor may be suspended or may lose Approved Contractor Status on the following grounds:

- 11.1 A breach of the Code of Conduct of the Association.
- 11.2 Any conduct which, in the opinion of the Executive of the Association may bring the Association or the standing of the Approved Contractor Programme into disrepute.
- 11.3 Failure to comply with or to maintain the criteria as set out in Section Four of the Approved Contractor Programme Approval Guide.
- 11.4 Approved Contractor Status will be withdrawn if an Approved Contractor has not been actively engaged in the arboricultural industry for a period of more than one calendar year.
- 11.5 Failure to maintain experienced or qualified staffing levels to the standard of the performance criteria of the Approved Contractor Programme.
- 11.6 Failure to pay the annual Approved Contractor Programme fee.
- 11.7 Failure to comply with all relevant legislation as outlined in section 4.

SECTION TWELVE:

Transferral of Approved Contractor Status / Sale of an Approved Contractor Business

It is the responsibility of the new owner to advise NZ Arb of the sale of the business

- 12.1 The Approved Contractor shall notify NZ Arb or the ACS committee chairman when the business is sold to a third party. Programme
- 12.2 Approved Contractor status shall not be transferred without the written consent of the NZ Arb Executive Committee. The Association maintains the right to impose conditions of consent to any transferral of Approved Contractor Status.
- 12.3 The Association retains the right to reassess Approved Contractor Status in the event of a change in management or the sale of an Approved Contractor business. Failure to comply under the ACS will result in the loss of this status.
- 12.4 The cost incurred in the transferral of Approved Contractor Status shall be the responsibility of the new owner or manager.

SECTION THIRTEEN:

The Approved Contractor Fee Schedule – put into a table

The cost to Applicants seeking to become Approved Contractors is outlined below. Some fees are fixed, with other costs varying depending on the location of the Applicant and the size of the business being assessed. **All fees are GST exclusive.**

- 13.1 Base Assessment Fee \$1,500.00 exclusive of GST. This fee covers the cost of the appointed Assessor's time to review the Portfolio, visit the Applicant's depot and worksites to conduct the Assessment, and to prepare a report. It is anticipated that the depot and worksite visits to assess tree planting, pruning and removal can be completed in one day. Also included are Association administration and general costs. Assessor's time to resolve minor non-compliance issues identified during the Assessment are also included but Assessors return visits to the worksite may incur additional fees.
- 13.2 Where the Applicant provides 'Additional Services' e.g. Utility Arboriculture listed in Appendix 8, further assessment time may be required. Depot and worksite visits additional to the first day will incur a fee of \$500 exclusive of GST per half day.
- 13.3 Travel cost, overnight accommodation plus fair and reasonable sundry expenses for an out-of-town Assessor, if chosen by the Applicant, is not included in the base fee and shall be at the expense of the applicant.
- 13.4 A **Repeat** visit by the Assessor, if deemed necessary where non-compliance issues are identified, is not included in the base fee and shall be at the expense of the Applicant.
- 13.5 Re-assessment Fees – variable cost depending on circumstances. Extra costs may result if major non-compliance issues are identified.
- 13.6 5 yearly Renewal Fee \$1,500.00 exclusive of GST (variable cost, depending on circumstances). This fee is for existing Approved Contractors re-applying to maintain their Approved Contractor Status, as outlined in Section Ten of this guide. Included in this fee is the cost of an Assessor to review current performance criteria of the Applicant to ensure that these comply with those outlined in the ACS Approval Guide.

- 13.7 Annual ACS Fee - \$950.00 exclusive of GST (fixed cost), includes NZArb Association Sustaining Membership. This fee contributes to administration of the Programme and advertising and promotion of the Approved Contractor Programme in related industry publications and to Councils around New Zealand. Consumers will be encouraged to contact an Approved Contractor in their area.
- 13.8 Mid-term Audit Fee - \$700.00 exclusive of GST (variable cost). Section Nine of this ACS Approval Guide outlines the requirement for an audit to be undertaken in the third year of the five-year approval period. Included in this fee is the cost of an ACS Assessor to review current standards of the contractor in order to ensure they comply with the requirements outlined in the ACS Approval Guide.
- 13.9 Transfer Fee. – Variable cost depending on circumstances. To be established upon application. Section Twelve of the ACS Approval Guide outlines requirements for new owners taking ownership of a business that is currently an Approved Contractor. The ACS Committee reserves the right to carry out an audit for which any subsequent cost will be the responsibility of the new owner.
- 13.10 The Association reserves the right to adjust the fee schedule at any time.
- 13.11 The Association reserves the right to charge a fee to the Approved Contractor to investigate a dispute by a customer (maximum fee \$1,200.00 exclusive of GST).
- 13.12 All fees plus GST are payable prior to publication of notice of intent, appointment of Assessors, any depot and site Audits being scheduled, or approval of ACS transfers.

SECTION FOURTEEN:

Rules for Approved Contractors

- 14.1 Approved Contractors shall indemnify the NZ Arboricultural Association and the ACS Committee from any liability that may result from the services they perform.
- 14.2 No Approved Contractor shall imply any ranking on the Approved Contractor Register.
- 14.3 By signing and applying for assessment under the Approved Contractor Programme, and by accepting Approved Contractor status, the Contractor agrees to all terms and items within this guide (specific document version at time of approval).
- 14.4 Approved contractors shall keep up to date with any changes to the ACS Programme. An up to date version of the ACS approval guide will be kept on the NZArb website and the current document issued with annual payment of membership.

SECTION FIFTEEN:

Advertising Approved Contractor Status

- 15.1 Contractors who have been awarded Approved Contractor Status have the right to promote their status in accordance to branding guidelines
- 15.2 Any contractor who needs clarification of the limitation of advertising should refer to the NZArb branding guidelines.

SECTION SIXTEEN:

Confidentiality

- 16.1 In seeking Approved Contractor Status, the Applicant is allowing their business systems and services to be reviewed by a mutually agreed upon industry peer (the appointed Assessor).
- 16.2 NZ Arb ensures that all involved with the approved contractor Programme shall respect businesses and individual confidentiality.
- 16.3 In the case of disputes, the matter shall be heard in a confidential forum by the Executive Committee of the NZ Arboricultural Association.
- 16.4 The Executive Officers of the NZ Arboricultural Association, ACS Committee and Assessors shall respect the issue of confidentiality at all times. See 16.1 above.
- 16.5 Prior to the commencement of an assessment, both the Applicant and the Assessor are required to complete and sign a Confidentiality Statement (see Appendix 2).
- 16.6 Information and records held about this Programme will only be available to the NZ Arb executive committee, the ACS committee and the ACS assessors assigned to each application. Hard copies of documentation provided will be initialled and returned to the applicant within 20 working days. Electronic copies shall be held in NZ Arb's password protected document management system.

APPENDIX 1:

DEFINITION OF TERMS

ACS	Approved Contractor Programme
ACS Approval Guide	This publication, or any subsequent amendments.
ACS Committee	A committee made up of a minimum of three persons and maximum of five. The ACS Committee shall be made up of at least one current Association Executive Committee member, one industry representative and at least one current Approved Contractor in good standing.
ACS Coordinator	A member of the ACS Committee whose responsibility is to administer and oversee the ACS processes.
Applicant	The Applicant is the principal of the enterprise applying for Approved Contractor Status. This can include an independent owner /operator or the depot manager where the Arboricultural firm is part of a wider business entity. Where a Contractor has multiple depots, the Applicant is the depot Manager of the operation for that geographic region and must meet the requirements of Section 4.1 of this Guide to be eligible for Approved Contractor Status.
Approved Contractor Status	Accreditation given by the NZ Arboricultural Association to a contractor who meets and maintains the criteria and requirements as prescribed in the ACS Approval Guide. Where companies have multiple depots, the approval status shall only apply to the individual depot assessed and approved.
Approved Contractor Register	A record of all the current Approved Contractors, stating their full name, trading name and addresses, phone numbers and the expiry date of their Approved Contractor Status.
Assessor	An appointed person that has been engaged to carry out Assessments of ACS applications.
Assessment Audit Date	The day on which the Depot and crew examinations take place.
Assessment Report	A report completed by the Assessor following the Assessment to provide comments to the Applicant.

Confidentiality Statement	A written statement completed by the Assessor and the Applicant to ensure non-disclosure of sensitive information.
Foreman	Site foreman may also be referred to as crew leader and is that person who is in charge of the onsite operations.
Human Resources	Staff, employees (full and part-time), contractors and/or sub-contractors employed by the Applicant.
Notification of Intent	Notification to the Association membership of the intent by an Applicant to apply for Approved Contractor Status. This shall be by way of publishing on the Association website and <i>Tree Matters</i> magazine and Association newsletters.
NZ Arb	New Zealand Arboricultural Association Inc.
Plant	Any equipment and machinery used in the day-to-day operations.
Physical Resources	Any Plant, buildings and land.
Previous Work	Work carried out by the Applicant within one calendar year before of the date that the Applicant registers their intent to apply for Approved Contractor Status.
NZArb	New Zealand Arboricultural Association
Training	Shall be taken to mean any documented training or course of study designed to advance arboricultural knowledge.

APPENDIX 2:

CONFIDENTIALITY STATEMENT

Introduction

An Assessor for the New Zealand Arboricultural Association’s Approved Contractor Programme is required to access information that is commonly regarded as confidential to the Applicant. This includes financial and client records.

In signing a contract to act as an Assessor for the Association’s ACS, the Assessor agrees to respect the Applicants’ confidentiality.

Furthermore, documentation submitted by the Applicant and the Assessment report completed by the Assessor shall be viewed only by the Applicant, ACS Co-ordinator and Committee. The content of all material shall be regarded as confidential.

Prior to commencing an Assessment, the appointed Assessor and the Applicant are asked to complete the following statement:

Confidentiality Statement

With regard to this Assessment visit undertaken at _____, it is understood by the Assessor and the Applicant that the documentation sighted and verbal responses to questions will be considered as confidential, respecting that the Assessor must complete a report for the Association which is a true reflection of the findings established during the visit.

Signed: (Assessor)

Signed: (Assessor)

Signed: (Applicant)

Of: (Trading Name)

On: (Date)

This statement is to be completed in duplicate. One copy is to remain with the Applicant. The second copy is to be returned by the Assessor to the ACS Coordinator.

BUSINESS ATTRIBUTES PORTFOLIO

Introduction

The applicant shall prepare a business attributes package and profile to submit with their application for Assessment. The information submitted by the Applicant is to give the Assessor a clear understanding of the Applicant's business prior to a physical visit. If the Assessor feels the Applicant is not ready for Assessment, then more information may be requested. The following is a guide outlining the scope of this company profile.

The Applicant's business attributes should include, but not be limited to, a description of:

1. Client Service
 - a. Job tracking / record keeping
 - b. Quotations – clear and reasonable
 - c. Contract management
 - d. Customer feedback recording
 - e. Public Liability / Professional Indemnity
 - f. Company History

2. Health and Safety
 - a. Current worksite Health and Safety Policy
 - b. Pre-start hazard ID and recording
 - c. Staff PPE provided, recorded and maintained
 - d. Accident and incident reporting
 - e. Equipment inspection records
 - f. First aid certification / depot first aid kits
 - g. Staff training / warranting records
 - h. Emergency procedures / contact numbers
 - i. Traffic management procedures
 - j. Drug & Alcohol Policy

3. Relevant Legislation / Codes of Practice
 - a. Health and Safety at Work Act 2015
 - b. Resource Management Act 1991
 - c. Property Law Acts 2007
 - d. CoPTTM (Code of Practice for Temporary Traffic Management)
 - e. Electricity (Hazards From Trees) Regulations 2003
 - f. CoP Arboriculture Part 1, 2 & 3
 - g. Regional / Local District Plan Tree Rules
 - h. Local Authority Tree Policies and Strategies
 - i. Approved CoP for EWP and Cranes (March 2001)
 - j. National, Regional and Local Plant Pest Lists

4. Plant and Resources – Vehicles and Machinery
 - a. Specialist tools and equipment storage
 - b. All vehicles display current certificate / WoF
 - c. Professional presentation and roadworthy
 - d. First aid kit / emergency procedure in all vehicles
 - e. Motor vehicle insurance / public liability
 - f. Yard and workshop – secure, safe, tidy

5. Human Resources (including qualifying criteria set out in Section Four of the ACS Approval Guide)
 - a. CV – qualifications / skills of principal and staff
 - b. Accurate and up to date staff training records
 - c. Induction / safety systems for new staff
 - d. Written employment contracts / job descriptions
 - e. Staff performance appraisals
 - f. On-going training / quality improvement
 - g. Crew adequately trained / equipped for the job

Applicants need to submit pictorial portfolio of completed works showing the range of services being assessed.

Assistance in the preparation of this attributes package and the Assessment of an Applicant's business can be sought from the ACS Co-ordinator, the Association or an Approved Contractor.

THE NEW ZEALAND ARBORICULTURAL ASSOCIATION INC

CODE OF CONDUCT

This code shall apply to all members of the Association professionally concerned with arboriculture, including students and honorary members. The underlying principle is that public confidence in the service provided by the Association shall be enhanced and that no members shall conduct themselves in such a way that the member, the Association or the profession is brought into disrepute.

1. A member shall perform only those services that are within the member's competence to perform.
2. Every member shall uphold the dignity of the industry and the Association and its other members. Every member shall strive to add to the increasing knowledge in arboriculture and related topics to the benefit of the Association.
3. A member will conduct all matters relating to technical arboricultural activities, business operation and civic responsibilities in a manner that will uphold the status of the arboricultural industry.
4. A member shall duly acknowledge assistance from other members.
5. A member will further the interests of arboriculture by the interchange of information and experience with other arborists, and will actively contribute to the work of arboricultural associations, schools of instruction and publications.
6. A member will strive for increasing knowledge of arboriculture, and will be instrumental in research and field tests of new equipment and tree maintenance techniques where feasible and appropriate.
7. Member arborists employed in public businesses shall, when contracting with other arborists, exercise fairness and impartiality.
8. A member will, when serving as an expert witness on any matter relating to arboriculture, base all testimony on an adequate knowledge of the subject and facts which can be substantiated, and render an opinion according to his or her honest convictions.
9. A member shall not voluntarily disclose any confidential information concerning the Association or its members.
10. Any member having evidence of the violation of this code of conduct by another member shall present such information by means of a letter marked confidential to the Secretary of the Association.

Company: _____

Depot Address: _____

Staff Assessed: _____

Practical Assessment Location: _____

Appendix 5 - Assessment Audit Criteria Checklist

	Item	Demonstrate (D) or Portfolio (P)	D	P	Comment
Section 4.3 to 7.2 A & B – 100% of criteria to be met (unless not an offered service ***)					
Section 7.2 C & D – Oral Assessment - 8/10 topics to be answered satisfactorily					
4.3	Client Service		D	P	
	Job tracking / record keeping				
	Contract management				
	Customer feedback recording				
	Concise Quotations				
	Public Liability / Professional Indemnity Insurance				
	Company history				
	Website				
4.4	Health and Safety		D	P	
	Current Worksite Health & Safety Policy Understood / available				
	Pre-start Hazard ID and recording				
	Staff PPE provided / recorded / maintained				
	Accident and incident reporting				
	Equipment inspection records				
	First Aid Certification / depot first aid kit				
	Staff training / warranting records				
	Emergency procedures / contact numbers				
	Traffic Management Procedures (TMP)				
	Drug and alcohol policy				
***	Utility Line Clearance written procedures				
4.5	Relevant Legislation / Codes of Practice		D	P	
	Health & Safety in Employment Act 1992				
	Resource Management Act 1992				
	Property Law Acts 1952, and amendments				
	Transit NZ Regulations "Working on the Road"				
	Electricity (Hazards from trees) Regulations 2003 Understood / available				
	CoP Arboriculture Pt.1 2 & 3 Understood / available				
	Regional / Local District Plan Tree Rules Understood / available				
	Approved CoP for EWP and Cranes (March 2001)				
	National, Regional and Local Plant Pest Lists				
	Pruning Standards				
4.6	Plant and Resources - Vehicles & Machinery				
	Specialist tools and equipment storage				
	Vehicles display current Certificate / WoF				
	Professional presentation and roadworthy				
	First Aid Kit / emergency procedure in vehicles				
	Motor vehicle insurance / Public Liability				
	Yard & Workshop - secure / safe / tidy				
***	Live line tool certification				
4.7	Human Resources		D	P	
	CV - qualifications / skills of principle staff				
	Accurate and up to date staff training records				
	Induction / safety systems for new staff				
	Written employment contracts / job descriptions				
	Staff performance appraisals				
	Ongoing training / quality improvement				
	Crew adequately trained / equipped for the job				
	Item		Demonstrate or Portfolio		Comment

Tick here if additional sheets used

Tick here if additional sheets used
No. of additional sheets
(sign & date all sheets & include company applying)

Assessor 1: _____

Signature: _____

Dated: _____

Assessor 2: _____

Signature: _____

Dated: _____

Company: _____

Depot Address: _____

Staff Assessed: _____

Practical Assessment Location: _____

	Item	Demonstrate		Comment
7.2	Arboriculture Techniques Work in Progress	D		
A	Details - Assessor must observe on site			
	Quotations – clear and reasonable			
	Consent on site (if required)			
	Site organization – safe and effective			
	Emergency procedures / contact numbers			
	Pre-start check of tools and equipment			
	Pre-start hazard ID and recording			
	Roles and communication clearly understood			
	Correct PPE available and in use			
	Traffic and pedestrian safety and control			
	Rigging – ropes appropriate and set up correctly			
	Climbing – in accordance with industry standards			
	Safe use of chainsaws / chippers / ladders			
	Controlled sectional stem / branch removal			
	Controlled lowering with ropes / and-or winch			
***	Utility Line Clearance procedures			
B	Item	Demonstrate (D) or Portfolio (P)		Comment
		D	P	
	Crown lifting / cleaning / thinning			
	Branch end-weight reduction			
	Crown reduction and shaping			
	Drop crotching			
***	Cable and rod bracing / branch propping			
***	Root pruning			
***	Tree planting / staking / mulching			
***	EWP (must also see written procedures)			
	Oral Assessment - potential topics to discuss with staff on site / site foreman / company principal			
C	Utility Arboriculture ;	DKO		comment
	Evidence of Network authority approval			
	Electrical hazard assessment / circuit ID			
	Electricity (Hazards from Trees) Regulations 2003			
	Minimum approach distances / close work zones			
	Safe use of insulated tools / use of EWP			
	Arboricultural Code of Practice – Part II			
***	Utility Line Clearance procedures			
D	Amenity Arboriculture ;	DKO		comment
	Current Worksite Health & Safety Policy			
	Induction / safety systems for new staff			
	Local Authority / District plan tree Rules			
	Tree Identification – use of Botanical names			
	Tree Hazard Assessment Systems			
	Minimum approach distances / Circuit ID			
	General tree knowledge			
	DKO - local and regional pest plant lists			
	EWP - Elevated work platform			DKO - Demonstrate knowledge of
***	Contractor does / does not offer this service			Contractor did / did not demonstrate

Tick here if additional sheets used

Tick here if additional sheets used
No. of additional sheets
(sign & date all sheets & include company applying)

Assessor 1: _____

Signature: _____

Dated: _____

Assessor 2: _____

Signature: _____

Dated: _____

ASSESSMENT EVALUATION FORM

This questionnaire has been developed to provide feedback to the Association about the Approved Contractor Programme. The Approved Contractor Programme is a quality assurance programme for the tree care industry and therefore, it is imperative that it is reviewed by its users to assist with ongoing development.

This questionnaire seeks your comments about the ACS and the Assessment visit. On receipt of the Approved Contractor Status awarded to the business and the Assessment report, you will be asked to complete Part B of the Assessment evaluation form.

Name of Applicant _____

Trading Name _____

Assessor _____

Assessment Date _____

The Assessment Process

1. How has the Assessment process influenced your operation? _____

2. Do you feel you were provided with appropriate information to assist you to work through the process of the Assessment? Please give details of areas where you would appreciate further guidance.

Organisation of the Assessment

3. Was there adequate time to prepare for your Assessment, once you had applied? ____

4. Were you provided with adequate information about:

- (a) The Assessment? _____
- (b) The requirements of the Assessor? _____

The Assessment Visit

5. Did you feel the Assessor had adequate and appropriate information prior to visiting your business? Please provide reasons for your answers.

6. What did you (and the personnel in your business) see as the role of the Assessor prior to the Assessment?

7. Was your perception altered during or following the Assessment?

8. Please comment on the Assessor's professionalism, ability to ask questions and ability to provide adequate answers to any of your questions.

9. Please make any further comments you wish about the Approved Contractor Assessment process and/or the Assessor.

The Assessment Report

10 Is the Assessment Report acceptable in its presentation and format? Please provide reasons for your answer.

11 Do you feel the report is an appropriate tool to assist your business to continue to work through the Approved Contractor Programme process? Please provide reasons for your answer.

12 Will your business re-apply for a further Assessment at the termination of the period for which it has currently been awarded Approval status? _____

13 Please make any further comments you wish about the Assessment Report and/or the Approved Contractors Programme.

Signed: _____

Date: _____

Please return this form within seven days of the Assessment to:

**The Approved Contractor Programme Coordinator
New Zealand Arboricultural Association
PO Box 1193
Nelson 7040
New Zealand**

APPENDIX 7

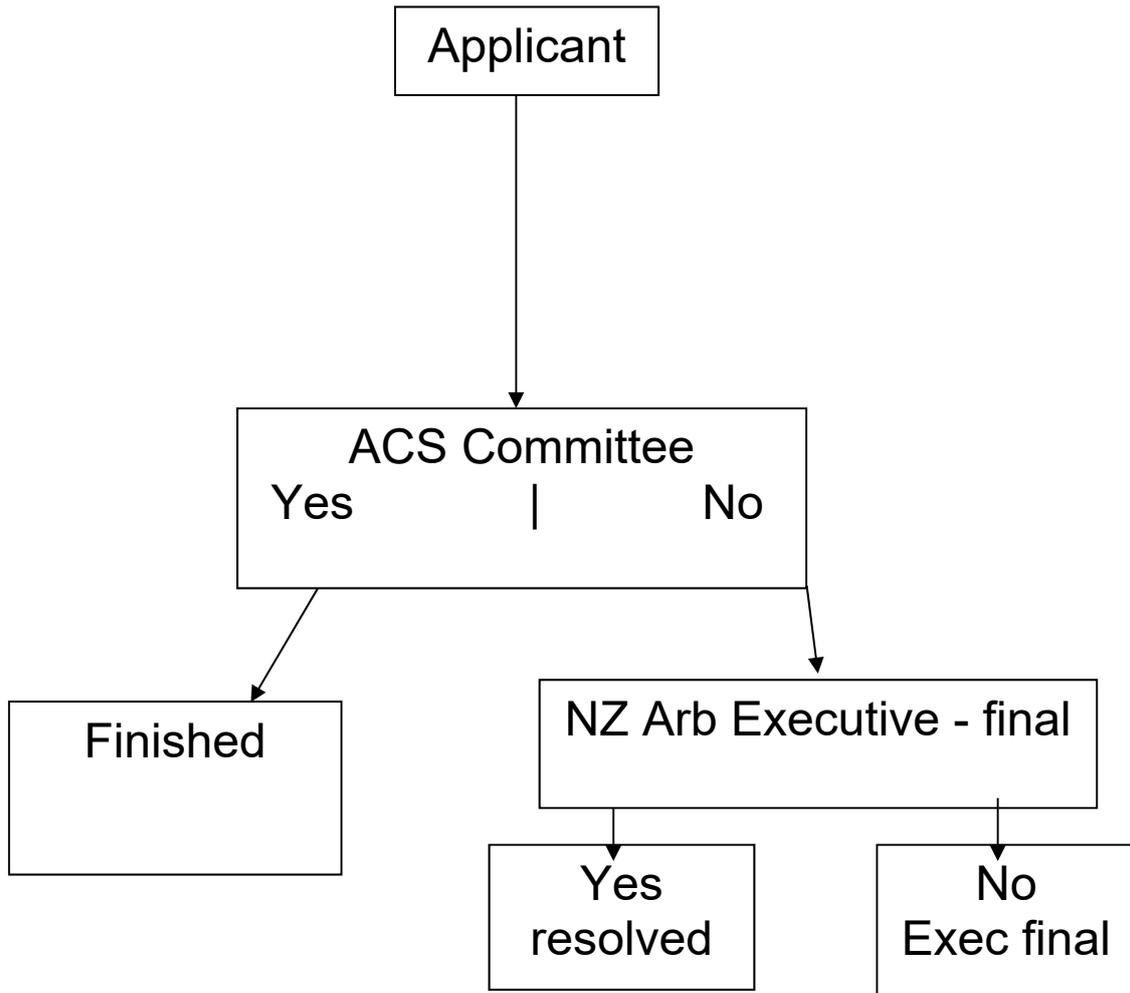
APPLICATION FORM

Name of Company:		
Physical Address:		
Postal Address:		
Phone:		
Fax:		
Email:		
Contact Person:		
Location for Inspection:		
Fee included? (circle answer)	Yes / No - Invoice required	
Range of Services provided:	Amenity tree planting, pruning and removal	Y/N
Additional Services:	Cable / rod bracing	
	Root pruning / cavity treatments / soil amendment	
	Mature tree transplanting	
	EWP / Cranes	
	Electrical / Utility Arboriculture	
NB. Consultancy Services are not assessed or approved under the NZ Arb ACS		
Number of Years Trading as Arboricultural Business:		
<p>We, the undersigned, agree to all terms and items in the Approved Contractor Programme Guide and application for Approved Contractor Status</p>		
_____	_____	
Signature (Principal)	Print Name (Principal)	

Dated		

PROCESS FOR DISPUTES

APPLICANT DISPUTE PROCESS



PROCESS FOR DISPUTES (cont.)

DISPUTES FOR CUSTOMERS

