



Site guidance for working in root protection zones

TreeAZ Information Note 3 (*United States and Canada*)



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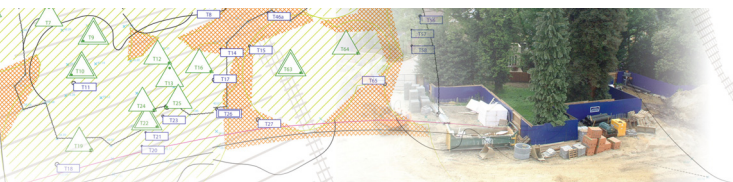
TreeAZ-3/USC-2

Preface

This Information Note describes emerging best practice in the UK that may be appropriate for working within root protection zones (RPZs) in the USA and Canada. It is published as a download for both councils and consultants seeking practical guidance on how this work should be carried out. Its content is not subject to copyright and can be copied freely for use, with or without modification, but its source should be acknowledged.

It has been produced by Barrell Tree Consultancy (BTC) (www.barrelltreecare.co.uk) and is distributed through their tree assessment website (www.TreeAZ.com). The BTC business is based in the UK, although it does have a background of training and development in other countries. BTC has no direct income through the publication of its planning guidance and finances the development of its tree assessment methods through its UK business. The objective of these endeavors is to enhance the international dissemination of best practice guidance through the BTC websites.





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INTRODUCTION

1.1 Scope and purpose of this guidance: This guidance sets out the general principles for minimizing adverse impact on trees to be retained when working within their root protection zones (RPZs). It is focused on construction sites, but is relevant to all situations where disturbance is planned close to trees that have to be retained with no adverse impact.

1.2 What are RPZs? RPZs are the areas surrounding important trees where disturbance must be minimized if they are to be successfully retained. Damage to roots or degradation of the soil through compaction and/or excavation within RPZs is likely to cause serious damage. Any work operations within RPZs must be carried out with great care if trees are to be successfully retained. How to establish the location and extent of RPZs is beyond the scope of this document.

1.3 When should this guidance be followed? Anyone entering RPZs must follow this guidance if important trees are to remain unharmed. Anyone working in RPZs must take care to minimize excavation into existing soil levels and limit any fill or covering that may adversely affect soil permeability. There are two main scenarios where this guidance must be followed when entering RPZs and working within them:

1. Removal of existing surfacing/structures and replacement with new surfacing, structures and/or landscaping.
2. Preparation and installation of new surfacing, structures and/or landscaping where none existed before.

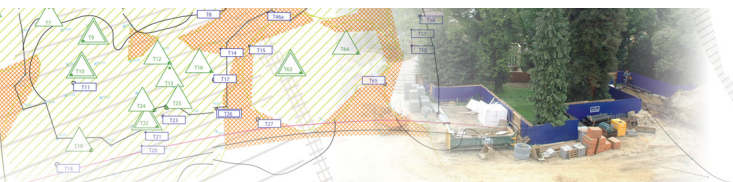
Broad definitions of surfacing, structures and landscaping are set out in the following sections.

1.4 What references is this guidance based on?

This guidance is based on the assumption that the minimum general standards for development issues are those set out in British Standards Institution (2005) BS 5837: *Trees in relation to construction – Recommendations* (www.bsigroup.com) and the National Joint Utilities Group (2007) Volume 4, Issue 1: *Guidelines for the planning, installation and maintenance of utility apparatus in proximity to trees* (www.njug.org.uk).

1.5 Preventing adverse impact to RPZs beyond the immediate work area: Any RPZs beyond the agreed work area must be isolated from the work operations by protective barriers or ground protection to at least the minimum standard described in BS 5837 or other relevant North American publications for the duration of the work.

1.6 Excavation and dealing with roots: All excavation must be carried out carefully using spades, forks and trowels, taking care not to damage the bark and wood of any roots. Specialist tools for removing soil around roots using compressed air may be an appropriate alternative to hand digging, if available. All soil removal must be undertaken with care to minimize the disturbance of roots beyond the immediate area of excavation. Where possible, flexible clumps of smaller roots, including fibrous roots, should be retained if they can be displaced temporarily or permanently beyond the excavation without damage. If digging by hand, a fork should be used to loosen the soil and help locate any substantial roots. Once roots have been located, the trowel should be used to clear the soil away from them without damaging the bark. Exposed roots to be removed should be cut cleanly with a sharp saw or secateurs 4–8 inches (10–20cm) behind the final face of the excavation. Roots temporarily exposed must be protected from direct sunlight, drying out and extremes of temperature by appropriate covering. Roots greater than 1 inch (2.5cm) in diameter should be retained where possible. Roots 1–4 inches (2.5–10cm) in diameter



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should only be cut in exceptional circumstances. Roots greater than 4 inches (10cm) in diameter should only be cut after consultation with the appropriate supervisory officer.

1.7 Arboricultural supervision: Any work within RPZs requires a high level of care. Qualified arboricultural supervision is essential to minimize the risk of misunderstanding and misinterpretation. Site personnel must be properly briefed before any work starts. Ongoing work must be inspected regularly and, on completion, the work must be signed off by the arborist to confirm compliance by the contractor. In the context of this guidance, an appropriate supervising officer would normally be an arborist.

REMOVING SURFACING/STRUCTURES IN RPZS

2.1 Definitions of surfacing and structures: For the purposes of this guidance, the following broad definitions apply:

- **Surfacing:** Any hard surfacing used as a vehicular road, parking or pedestrian path, including, *inter alia*, tarmac, solid stone, crushed stone, compacted aggregate, concrete and timber decking. This does not include compacted bare soil.
- **Structures:** Any man-made structure above or below ground including service pipes, walls, gate piers, buildings and foundations. Typically, this would include drainage structures, car-ports, bin stores and concrete slabs that support buildings.

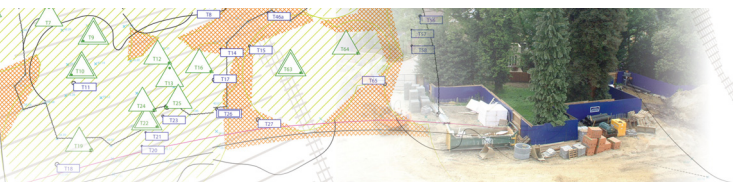
2.2 Access: Roots frequently grow adjacent to and beneath existing surfacing/structures, and so great care is needed during access and demolition. Damage can occur through physical disturbance of roots and/or the compaction of soil around them from the weight of machinery or repeated pedestrian passage. This is not generally a problem whilst surfacing/structures remain in place because they spread the load on the soil beneath and

further protective measures are not normally necessary. However, once they are removed and the soil below is newly exposed, damage to roots becomes an issue and the following guidance must be observed:

1. No vehicular or repeated pedestrian access into RPZs unless on existing hard surfacing or custom designed ground protection.
2. Regular vehicular and pedestrian access routes must be protected from compaction with temporary ground protection as set out in BS 5837 or other relevant North American publications.
3. RPZs exposed by the work must be protected as set out above until there is no risk of damage from the development activity.

2.3 Removal: Removing existing surfacing/structures is a high-risk activity for any adjacent roots and the following guidance must be observed:

1. Appropriate tools for manually removing debris may include a pneumatic breaker, crow bar, sledgehammer, pick, mattock, shovel, spade, trowel, fork and wheelbarrow. Secateurs and a handsaw must also be available to deal with any exposed roots that have to be cut.
2. Machines with a long reach may be used if they can work from outside RPZs or from protected areas within RPZs. They must not encroach onto unprotected soil in RPZs.
3. Debris to be removed from RPZs manually must be moved across existing hard surfacing or temporary ground protection in a way that prevents compaction of soil. Alternatively, it can be lifted out by machines provided this does not disturb RPZs.
4. Great care must be taken throughout these operations not to damage roots as set out in 1.6 above.



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5. If appropriate, leaving below ground structures in place should be considered if their removal may cause excessive root disturbance.

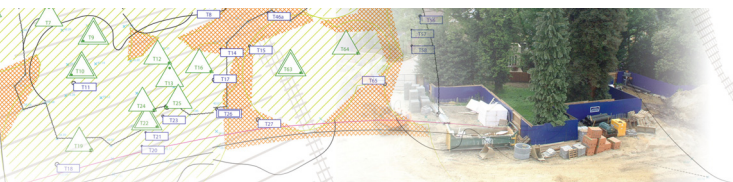
INSTALLATION OF NEW SURFACING IN RPZs

3.1 Basic principles: New surfacing is potentially damaging to trees because it may require changes to existing ground levels, result in localized soil structure degradation and/or disruption of the efficient exchange of water and gases in and out of the soil. Mature and over-mature trees are much more prone to suffer because of these changes than young and maturing trees. Adverse impact on trees can be reduced by minimizing the extent of these changes in RPZs. Generally, the most suitable surfacing will be relatively permeable to allow water and gas movement, load spreading to avoid localized compaction and require little or no excavation to limit direct damage. The actual specification of the surfacing is an engineering issue that needs to be considered in the context of the bearing capacity of the soil, the intended loading and the frequency of loading. The detail of product and specification are beyond the scope of this guidance and must be provided separately by the appropriate specialist.

3.2 Establishing the depth of excavation and surfacing gradient: Although there are promising root location technologies being developed, the precise location and depth of roots within the soil is often unpredictable and will only be confirmed when careful digging starts on site. Ideally, all new surfacing in RPZs should be no-dig, i.e. requiring no excavation whatsoever, but this is rarely possible on undulating surfaces. New surfacing normally requires an evenly graded sub-base layer, which can be filled up to any high points with granular, permeable fills such as crushed stone or sharp sand. This sub-base must not be compacted, as would happen in conventional surface installation. Some limited excavation is usually necessary to

achieve this and need not be damaging to trees if carried out carefully and large roots are not cut. Tree roots and grass roots rarely occupy the same soil volume at the top of the soil profile, so the removal of a turf layer up to 2 inches (5cm) is unlikely to be damaging to trees. It may be possible to dig to a greater depth depending on local conditions, but this would need to be assessed by an arborist if excavation beyond 2 inches (5cm) is anticipated. On undulating surfaces, finished gradients/levels must be planned with sufficient flexibility to allow on-site adjustment if excavation of any high points reveals large unexpected roots near the surface. If the roots are less than 1 inch (2.5cm) in diameter, it would normally be acceptable to cut them and the gradient formed with the preferred minimal excavation of up to 2 inches (5cm). However, if roots over 1 inch (2.5cm) in diameter are exposed, cutting them may be too damaging and further excavation may not be possible. If that is the case, the surrounding levels must be adjusted to take account of these high points by filling with suitable material. If this is not practical and large roots have to be cut, the situation should be discussed with the supervising officer before a final decision is made.

3.3 Base and finishing layers: Once the sub-base has been formed, the load spreading construction is installed on top without compaction. In principle, the load spreading formation will normally be cellular and filled with crushed stone, although the detail may vary with different products. Suitable surface finishes include washed gravel, permeable tarmac or block pavers set on a sand base. However, for lightly loaded surfacing of limited widths such as pedestrian paths, pre-formed concrete slabs may be appropriate if the sub-base preparation is as set out above. In some situations, limited width floating concrete rafts constructed directly on to the soil surface may be acceptable, but the design must not include any strip-dug supports.



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3.4 Edge retention: Conventional kerb edge retention set in concrete filled excavated trenches is likely to result in damage to roots and should be avoided. Effective edge retention in RPZs must be custom designed to avoid any significant excavation into existing soil levels. For most surfaces, the use of pre-formed edging secured by metal pins or wooden pegs is normally an effective way of minimizing any adverse impact on trees from the retention structure.

3.5 Installing new surfacing on top of existing surfacing: In some instances, existing surfacing can be retained and used as a base for new surfacing. Normally, this will not result in significant excavation that could expose roots, and so special precautions are not necessary. However, if large roots already protrude above the proposed sub-base level, then the precautions and procedures set out above must be observed.

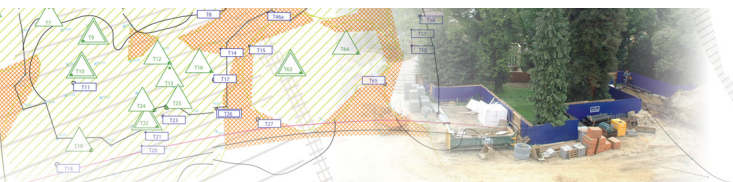
INSTALLATION OF NEW STRUCTURES IN RPZs

4.1 Basic principles: New structures in RPZs are potentially damaging to trees because they may disturb the soil and disrupt the existing exchange of water and gases in and out of it. Mature and over-mature trees are much more prone to suffer because of these changes than young and maturing trees. Adverse impact on trees can be reduced by minimizing the extent of these changes in RPZs. This can be done by constructing the main structures above ground level on piled supports and redirecting water to where it is needed. The detailed design and specification of such structures is an engineering issue that should be informed and guided by tree expertise.

4.2 Small sheds and bin stores: These light structures do not normally require substantial foundations and can have permeable bases. Ideally, their bases should be of a no-dig, load-spreading construction, set directly on to the soil surface. They require a flat base and so an undulating site will need leveling to provide

a suitable surface. Excavation of any high points by up to 2 inches (5cm) and filling depressions with permeable fill to provide a flat base will normally be acceptable, provided no roots greater than 1 inch (2.5cm) in diameter need to be cut. If large roots are found, the preferred course of action would be to raise the base level of the structure by filling rather than cutting roots. However, if this is not practical and large roots have to be cut, the situation should be discussed with the supervising officer before a final decision is made. Above the base, there will often be a protective covering fixed onto a frame that can rise directly from the base or be fixed to supports either banged into the ground or set in carefully dug holes. Provided the supports are well spaced, i.e. greater than 4 feet (1.5m) apart, and of a relatively narrow diameter, i.e. not in excess of 6 inches (15cm), it is unlikely they will cause any significant disturbance to RPZs.

4.3 Walls, gate piers, buildings and bridges on new foundations: Conventional strip foundations in RPZs for any significant structure may cause excessive root loss and are unlikely to be acceptable. However, disturbance can be significantly reduced by supporting the above ground part of the structures on small diameter piles and beams or cast floor slabs set above ground level. The design should be sufficiently flexible to allow the piles to be moved if significant roots are encountered in the preferred locations. Before the actual installation of the new structure starts, all RPZs that may be affected should be covered with temporary ground protection. Gaps in the ground protection should be left where it is expected to install the piles or dig the holes for gate piers. Pile locations should be initially hand dug to a depth of about 3 feet (75cm) to establish if there are any significant roots over 1 inch (2.5cm) in diameter that could be damaged. If significant roots are found, then the pile location must be moved slightly and a new exploratory hole dug. **Once the piles have been installed, the lowest points of the supporting beams for the structure must be above the ground level between**



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the piles and there should not be any further excavation. The beams between the piles can be pre-cast and imported to the site ready to fix or can be cast in position using shuttering for the sides and a biodegradable void-former for the base. Gate piers generally require larger holes and have less flexibility for relocation if large roots are found. Localized loss of roots may be unavoidable and so each situation should be assessed on its own merits by an appropriate supervising officer once the careful excavations have been completed. Any roots found should be dealt with as set out in 1.6 above. When installing any of these structures, the ground protection must remain in place until the construction is completed and there is no risk of damage to RPZs.

4.4 Walls on existing foundations: A free-standing wall on an existing foundation is unlikely to require any additional excavation and so its construction should have no adverse impact on RPZs if the appropriate protection is in place. However, replacing walls that retain the soil of RPZs normally requires some limited excavation back into the exposed soil face to provide a working space of at least 4–8 inches (10–20cm) behind the inside wall face. This should be done carefully and limited to no more than required to construct the new wall. Any roots found should be dealt with as set out in 1.6 above. Once the wall is completed, any voids behind it should be filled with good quality top soil and firmed into place, but not over compacted. Specific difficulties with large roots that emerge during the course of the construction should be referred to the supervising officer.

4.5 Service ducts: For the purposes of this guidance, service ducts are considered as structures. Excavation to upgrade existing service ducts or install new service ducts in RPZs may damage retained trees and should only be chosen as a last resort. In the event that excavation emerges as the preferred option, the decision should be reviewed by the supervising officer before any work is carried out. If excavation is agreed, all digging should

be done carefully and follow the guidance set out in 1.6 above.

SOFT LANDSCAPING IN RPZs

5.1 Upgrading existing soft landscaping or replacing existing surfacing/structures with new soft landscaping: For the purposes of this guidance, soft landscaping includes the re-profiling of existing soil levels and covering the soil surface with new plants or an organic covering (mulch). It does not include the installation of solid structures or compacted surfacing. Soft landscaping activity after construction can be extremely damaging to trees. No significant excavation or cultivation, especially by mechanical tillers, should occur within RPZs. Where new designs require levels to be increased to tie in with new structures, or the removal of an existing structure has left a void below the surrounding ground level, good quality and relatively permeable top soil should be used for the fill. It should be firmed into place, but not over compacted, in preparation for new grass or careful shrub planting. Ideally, all areas close to tree trunks should be kept at the original ground level and have a mulched finish rather than grass to reduce the risk of mowing damage.