



NATIONAL HIGHWAY SECTOR SCHEMES FOR QUALITY MANAGEMENT IN HIGHWAY WORKS

SECTOR SCHEME DOCUMENT

12D

**Particular requirements for the application of ISO 9001:2015
for installing, maintaining and removing temporary traffic management
on rural and urban roads**

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Future amendments will be noted as follows:

Significant Revisions are listed below. Where any changes are made, the text has been annotated with the latest date of the revision.

Example of text amendment:

(Mm/yy) This Sector Scheme is one of the series of NHSSs, which are bespoke integrated management schemes within an ISO 9001:2015 framework that have been developed to interpret BS EN ISO 9001:2015 as it applies to a particular activity/industry within the United Kingdom.”

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Corresponding Members amended
7.1.2 amended
7.5.3 amended
Appendix C 1.3 Table C1 amended
Appendix M 1. amended

Issue 3 – April 2018 Revisions

4.41 amended
7.1.2 amended
7.2 amended
Appendix C amended
Appendix O replaced

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[NB Appendices may be extended by additional sub-appendices at the discretion of the SSAC]

Composition of the Sector Scheme Advisory Committee, Exclusion of Liability, Copyright and Selection of Certification Body

Composition of Sector Scheme Advisory Committee

a) Full Members

Association for Public Service Excellence (APSE)
ADEPT
DNV Certification BV
EU Skills*
Highways England**
Highways & Construction Training Association (HCTA)
Highway Electrical Association (HEA) [SSD 8]
Highway Safety Officers Group (HSOG)
Highways Term Maintenance Association (HTMA)
Lantra
Road Safety Markings Association (RSMA) [SSD7]
Society of Chief Officers of Transportation in Scotland (SCOTS)
Traffic Management Contractors Association (TMCA) [SSD12A, 12B & 12C]
UKAS

* Liaises with HAUC

x Liaises with all other relevant Sector Scheme Committees, Transport Scotland & Welsh Assembly Government

^(06/17) b) Corresponding Members

Transport Scotland
Welsh Government
DRD Northern Ireland
Department for Transport, [Traffic Management] (DfT)
Health & Safety Executive (HSE)
National Farmers Union (NFU)
Mineral Products Association (MPA) [SSD 14 & 16]
BM TRADA Certification Ltd
Institute of Vehicle Recovery (IVR) [SSD17]
Lloyds Register Quality Assurance Ltd (LRQA)
Ascertiva Group Limited T/A NQA
QA International Certification Ltd
SGS (UK) Limited
BSI – British Standards Institute
ISOQAR Limited
Bureau Veritas Certification Holding SAS – UK Branch

Exclusion of Liability

The Sector Scheme Advisory Committee for NHSS12D

- 1 have and accept no liability whatsoever for any failure of any system or systems assessed under this Sector Scheme Document or for the quality, fitness for purpose, or safety of any product or service which is the subject of such assessment,

- 2 do not provide any representation or warranty as to any aspect of any such system, product or service, and
- 3 hereby expressly exclude all and any liability or responsibility (however alleged to arise) for or in connection with the provision of any service or product or any use of any product, all and any such liability or responsibility attaching exclusively to the producer (or user as the case may be) thereof.

Copyright

Permission is granted to reproduce and distribute this document subject to the restriction that the complete document must be copied without alteration, addition or deletion. This is subject to material not being used in a derogative manner or in misleading context. The source of the material must be acknowledged as SSAC 12D copyright and the title of the document must be included when being reproduced as part of another publication or service.

Selection of Certification Body

It is important to note that due to the specific requirements for assessor competence required by this Sector Scheme a technical expert may be appointed by the Sector Scheme Advisory Committee to assist UKAS in the assessment of Certification Bodies (CB) as described in Appendix G (clause 3.1).

Prospective companies seeking registration under this scheme should ensure that they engage a Certification Body specifically accredited to assess against the requirements of this SSD. Specifiers, consultants, engineers etc. that require confirmation of compliance with the Contract Specification in respect of a supplier or the supply of products/materials should confirm the current status of the quality management system certificate issuer and that specific reference is made to this Sector Scheme on the Certificate of Registration (See Appendix K).

Implementation

Issue 3 [9001:2015]

This document has been produced to supersede the 9001:2015 Issue 2 and 9001:2008 Issue 10 however Issue 10 (9001:2008) will continue to have validity until September 2018 when the 2008 version of ISO 9001 will become obsolete.

Introduction

1. This Sector Scheme Document (SSD) relates to the quality management system requirements for installing, maintaining and removing temporary traffic management on rural and urban roads. It sets out to identify a common interpretation of ISO 9001:2015 for organizations and Certification Bodies engaged in the sector, and the minimum qualifications that an assessor/auditor requires. The document shall be read in conjunction with ISO 9001:2015 and other relevant specification/standard where appropriate.
2. This Sector Scheme is one of the series of National Highway Sector Schemes (NHSSs), which have been developed as bespoke integrated management schemes within an ISO 9001 framework to interpret ISO 9001:2015 as it applies to a particular infrastructure related activity/industry within the United Kingdom.
3. Separate Sector Scheme Advisory Committees (SSACs) for each activity within the sector provide advice to UKAS and expert representation is drawn from all sides of industry. Each SSAC interprets ISO 9001 in relation to the requirements of their particular activity and comes to a consensus on the minimum levels of workmanship, services, products, testing, and the training and competency of personnel, as appropriate, required to meet specification requirements as well as identified requirements in respect of environmental and health & safety and other aspects. The details are contained in the individual Sector Scheme Documents (SSDs). Following the publication of a revised ISO 9001, the committees will review their documents to ensure alignment with the revised ISO 9001 to ensure that the SSD does not conflict with the national standard prior to withdrawal of the previous edition of the standard.
4. The individual NHSS technical advisory committees are overseen by the National Highway Sector Scheme Liaison Committee (NHSSLC). This Committee provides a forum for discussion on the effectiveness of the Sector Schemes and co-ordinates developments so that they can be uniformly taken forward by each of the NHSS technical advisory committees. It is also the venue where dialogue with UKAS and the Certification Bodies on the application of the Sector Schemes takes place.
5. NHSSs together with ISO 9001 are designed to:
 - Provide an industry benchmark
 - Identify risks and opportunities
 - Ensure that all processes are planned
 - Provide a basis for continuous improvement
 - Focus on quality as an objective
 - Reduce costs for Client and organization
 - Provide and maintain a properly trained and competent workforce
 - Involve all sides of industry in scheme ownership within a partnership framework
 - Provide the basis for the technical knowledge and experience that Certification Body auditors will use in the sector concerned
 - Promote confidence in quality management systems through provision of a robust transparent system
6. The Sector Scheme shall apply only where specified by the Client in their Contract Documents for installing, maintaining and removing temporary traffic management on rural and urban roads.
7. In using this Sector Scheme users shall use best practice such as specifying any other relevant NHSSs as appropriate to the nature of the work being undertaken [e.g. NHSS12A/B for static temporary traffic management on high speed dual carriageways and motorways].
8. It should also be noted that NHSSs are mandatory for Highways England contracts and suppliers within the supply chain shall demonstrate compliance with the requirements of ISO 9001 and this SSD as part of their continual improvement within their ISO 9001 registration.

The use of the Specification for Highway Works as the basic document for procuring highway works by other highway authorities would normally automatically call up compliance with ISO 9001 and this SSD. Other owners of infrastructure for example [e.g. Network Rail] may also require their suppliers to comply with this Sector Scheme, as may other authorities.

Note: The scheme is included in Appendix A of the Specification for Highway Works (SHW) as a mandatory requirement for suppliers contracted to the Highways England where the SHW is a contractual document. Separately the document may be called up in specific contracts as necessary.

9. Where traffic management is required companies should either employ a National Highway Sector Scheme approved company or where applicable have skilled registered traffic management operatives qualified to meet the requirements of NHSS 12D relevant to contract requirements and risk assessments. For work carried out on high speed dual carriageways and motorways the organization installing temporary traffic management measures should always be registered to NHSS 12A/B and/or 12C.
10. The SSD is a live document with the SSAC12D meeting at least once a year to develop it as appropriate. Those using the document should always ensure that they have the current version of the document. The SSD may be obtained by visiting the UKAS website (www.ukas.com) from where the document can be freely downloaded.

Note: Information on relevant Certification Bodies may be obtained from the UKAS website by following the instructions given in Appendix F.

This NHSS document is date specific; organizations should have processes in place to ensure that the latest version is always available. Organizations should be aware that utilisation of internet search engines may result in out of date references being identified/called up.

11. Lantra hosts the register of organizations on their website (<http://www.scheduleofsuppliers.co.uk>). This is a self-registration list and it is a requirement of this scheme that organizations register their details on this website and keep them up to date; Certification Bodies will check that the organization is registered on the website together with all relevant information, including a pdf copy of the current certificate of registration that the Certification Body issues and any other specific documentation to be uploaded specified by this SSD, prior to annual and surveillance visits.
12. Scheme and Feedback:

Any observations, complaints or feedback relating to the operation of this document and the scheme should be addressed using the procedures given in Appendices J1, J2 or J3 as appropriate.

Appendix J1 is to be used for observations and general queries concerning the document and general feedback.

Appendix J2 relates to the assessment process carried out by Certification Bodies.

Appendix J3 relates to policing of the scheme.

- Completed J1 forms should be sent to the committee chairperson/secretary:
- Completed J2 forms should be sent directly to the relevant Certification Body.
- Completed J3 forms should be sent to the relevant Highway Authority, Client or HSE as appropriate and indicated on the form.

13. Scheme Contact:

The Secretary
Sector Scheme Advisory Committee for the NHSS12D
c/o Lantra
Lantra House
Stoneleigh Park
Coventry
CV8 2LG

E-mail nhss-highways@lantra.co.uk

14. The scheme is included in Appendix A of the Specification for Highway Works (SHW) as a mandatory requirement for suppliers (and their subcontractors) contracted to Highways England where the SHW is a contractual document. Separately the document may be called up in specific contracts as necessary.

Particular requirements for the application of ISO 9001:2015

1. Scope

This SSD, together with the International Standard BS EN ISO 9001, describes the extent that the quality management system requirements to be established by organizations for installing, maintaining and removing temporary traffic management on rural and urban roads, shall be read and implemented.

The document provides particular requirements additional to BS EN 9001:2015.

Organizations will need to comply with the scope of activity(ies) that they provide under this sector scheme as described in NHSS 0 - 4. (See Appendix K).

The SSD shall be referenced on the certificate of registration issued by the Certification Bodies which will set out the boundaries and applicability of the organization's Quality Management System to establish its scope.

The International Standard specifies requirements for a quality management system when an organization:

- a) needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, and
- b) aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

All the requirements of the International Standard are generic and are intended to be applicable to any organization, regardless of its type or size, or the products and services it provides.

NOTE 1: In the International Standard, the terms "product" or "service" only apply to products and services intended for, or required by, a customer.

NOTE 2: Statutory and regulatory requirements can be expressed as legal requirements.

2. Normative Reference

The following normative documents contain provisions which constitute provisions of BS EN ISO 9001 Quality Management Systems – Requirements:

- BS EN ISO 9000:2015 Quality Management Systems – Fundamentals and Vocabulary
- BS EN ISO 9001:2015 Quality Management Systems – Requirements and normative references within it
- BS EN ISO 9004:2009 Quality Management Systems – Managing for the sustained success of an organization. A quality management approach.
- NHSS 0 – Guide to the identification, Development Management and Certification of National Highway Sector Schemes
- BS EN ISO 9000: 2005 Quality Management Systems – Fundamentals and Vocabulary

3. Terms, Definitions and Abbreviations

3.1 For the purpose of this Sector Scheme Document the terms and definitions contained within BS EN ISO 9000:2015 Quality Management Systems – Fundamentals and Vocabulary will apply, except where listed in the table below:

Certificate of Registration	<p>A certificate issued by an UKAS accredited Certification Body certifying that the holder operates a Quality Management System complying with BS EN ISO 9001:2015 and this SSD. The Certificate will state the category(s) of work that the holder is competent to supply.</p> <p>Note: The Certificate of Registration must identify the NHSS(s) by number as well as by category and sub-category</p>
Client	<p>The body for which the work is being carried out e.g. Highway Authority (see also Customer),</p>
Contract Specification	<p>The technical requirements of the contract agreement. For example, the following may apply:</p> <ul style="list-style-type: none">i) Manual of Contract Documents for Highway Works: Volume 1: The Specification for Highway Works or as specifically required in the contract documents.ii) Contract Specific Appendicesiii) The Contract Drawings
Customer	<p>Definition in ISO 9000 remains applicable, however in the context of this document 'Customer' is synonymous with Principal Contractor (see definition of Client above) and has been retained mainly for consistency with definitions in ISO 9000:2015.</p>
Design Development	<p>See ISO 9000:2015 3.4.8</p>
Lantra	<p>The appointed administrator for management and awarding of temporary traffic management training, assessment, certificates and Smart Skills Registration Cards.</p>
May	<p>An option which requires consideration depending on the circumstances.</p>
Module	<p>Training and assessment as appropriate.</p>
Mobile Works (Moving Works)	<p>Operations which are carried out from a vehicle moving significantly more slowly than the prevailing traffic speed and involve continuous mobile operations. They will include activities such as grass cutting, hedge cutting and weed spraying.</p>
Moving Works Operative	<p>A person who has successfully completed Module 1 of the training and assessment programme who may undertake mobile works operations (moving works operations). This achievement will be recorded with Lantra and a registration card issued.</p>

Must	A legal requirement which must be complied with.
Organization	The body or individual (see 4.4) responsible for the installation, maintenance and removal of temporary traffic management measures.
Organization's Manager	The person named in the organization's Quality Plan as having managerial responsibility for the temporary traffic management measures.
Positive Traffic Control	The use of signs and signals for controlling traffic where clear instructions are provided for example stop and go and stop works signs, temporary traffic signals etc.
Quality Plan	Reference 3.8.9 in ISO 9000:2015 (See also Appendix A)
Quality Management System	The organization's structure, responsibilities, procedures, processes and resources for implementing Quality Management.
Registered Lead Traffic Management Operative (RLTMO)	<p>A person who has successfully completed Modules 1, 2 & 6 as a minimum, and been issued with a Smart Skills Registration Card by Lantra.</p> <p>To supervise works for convoy working, multiphase traffic signals and dual carriageways the RLTMO shall have successfully completed the appropriate modules and been issued with the relevant Smart Skills Registration Card. The Organization is responsible for the appointment of the RLTMO.</p>
Registered Traffic Management Operative (RTMO)	A person who has successfully achieved Modules 1 & 2 as a minimum and has been issued with a Smart Skills Registration Card by Lantra.
^(04/18) Smart Skills Registration Card	<p>The card issued by Lantra to demonstrate when the holder successfully achieved the requirements of the module.</p> <p>This complies with the CLC strategy for all skills cards to show the CSCS logo on all partnership schemes</p> <p>Note: The card may be used for identification purposes.</p>
Shall	An essential (or mandatory) requirement of compliance with the document
Should	A course of action that is strongly recommended by the Department
Rural & Urban Roads	Roads (other than motorways and dual carriageway roads with a speed limit of 50mph or greater).

Technical Officer (manager)	<p>The person named in the Organization's Contract Specific Quality Plan, who has responsibility for the planning, installation, modification and removal of temporary traffic management and implementation of the requirements of the Contract Specification.</p> <p>This person shall be M7 qualified.</p>
Temporary Traffic Management (TTM)	<p>The deployment of traffic signs, which may include temporary road markings, temporary traffic signs, traffic delineators and temporary traffic control systems.</p>
Traffic Management Operative (TMO)	<p>This term includes MWO; RTMO and RLMO as appropriate.</p>
Unregistered Traffic Management Operative	<p>A person who has not completed any NHSS12D modules and shall only work under the direct supervision of a NHSS12D qualified person.</p>
UKAS	<p>United Kingdom Accreditation Service or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory with a scope which includes this sector scheme.</p>

3.2 For the purpose of this Sector Scheme Document refer to NHSS 0 part 5.

4 to 10 Quality Management System Requirements

Particular Requirements for the Application of ISO9001:2015 for Installing, Maintaining and Removing Temporary Traffic Management on Rural and Urban Roads

Introduction

This document must be read in conjunction with the requirements of ISO 9001:2015.

Clause/Paragraph numbers in this section reference appropriate paragraphs of ISO 9001:2015. The requirements of ISO 9001:2015 are deemed to apply unless specific additions are required. Where 'no additional particular requirement' is recorded under a heading this means that it is not considered necessary to provide particular requirements for that clause.

The particular requirements given below are to assist in the clarification of the ISO 9001 text for the relevant activity, no inference should be made that ISO 9001 requirements are diluted or deleted because of particular requirements.

Important Requirement:

Organizations registered to other Sector Schemes shall have a workforce compliant to their own SSD requirements. However, they will have to identify personnel within their workforce, or outsource to a TTM organization, to be responsible for temporary traffic management, in accordance with 12D, as appropriate to their specific need and include this in their quality plan (see Appendix M).

4 Context of the organization

4.1 Understanding the organization and its context

No additional particular requirements.

4.2 Understanding the needs and expectations of interested parties

Interested parties shall include the Customer, Client and other contractors, and those that interact with or use the Client's infrastructure, such as; the public, emergency services, other organisations and associations.

4.3 Determining the scope of the quality management system

This SSD describes the quality management system requirements to be established by Organizations for the installation, maintenance and removal of temporary traffic management on rural and urban roads (excluding mobile lane closure techniques) in respect of "works for road purposes". This Scheme is therefore applicable to all highways and roads except (a) motorways and (b) dual carriageways with speed limits of 50mph or greater. It includes all temporary traffic control systems for vehicles as well as those for other road users e.g. pedestrians, cyclists and equestrians. The categories open for registration to this scheme are given in Appendix K.

The scheme also provides a national standard of competence for Organizations and individuals undertaking temporary traffic management on rural and urban roads with the provision to be included as part of other relevant sector schemes.

Important Notes

This National Highway Sector Scheme does not replace the requirements of the New Roads & Street Works Act (or the equivalent legislation in Northern Ireland) for works carried out by utilities. The training and assessment associated with this document takes into account the requirements of the Safety at Street Works and Road Works (A Code of Practice) and Chapter 8 of the Traffic Signs Manual as appropriate.

This document provides additional requirements to those of BS EN ISO 9001:2015 and shall be read in conjunction with the International Standard.

This document will affect other sector scheme documents and adaptations may need to be made to suit their specific traffic management requirements. However, the requirements of their industry should be detailed within the scope of their individual sector scheme documents. All specific training needs should first be discussed and agreed with the SSD12D Committee prior to inclusion within their individual sector scheme documents.

4.4 Quality management system and its processes

4.4.1 The organization shall operate a quality management system to ISO 9001:2015 and this schedule

General

Organizations wishing to be registered and Certification Bodies wishing to be accredited to this scheme will need to comply with the full particular requirements of this Sector Scheme Document.

Organizations registered to other National Highway Sector Schemes; do not necessarily need to be specifically registered to this scheme. (See Appendix M). However, the following principles apply;

- (a) Where the organization has a dedicated in-house temporary traffic management division, they shall be registered to this scheme.
- (b) Where the organization does not have a dedicated in-house temporary traffic management division, the organization needs to assess and identify its requirements for trained and competent temporary traffic management operatives for the workforce. An organization shall have a written policy on how it determines these needs. The organization's management shall review the contract requirements in order to ascertain the requisite levels of resource needed and as part of the review shall record that such resources will be available throughout the contract period.

The scheme mandates minimum training for, and assessment of competence required to work on or near rural or urban roads. It is the employer's responsibility to ensure the competency of their employees and that their skills and knowledge are maintained.

It is intended that highway authorities that use the Specification for Highway Works (SHW) as the basic document for procuring highways work will require compliance with ISO 9001:2015 and this Sector Scheme Document. It is recommended that other Highway Authorities should adopt the scheme as a standard requirement.

Note: National Highway Sector Schemes are mandatory for Highways England contracts; existing suppliers should demonstrate compliance with the requirements of ISO 9001:2015 and this sector scheme document as part of their continuous improvement.

For organizations registering to this Sector Scheme

Organizations seeking registration under this scheme should ensure that they engage a Certification Body (See Appendix F) specifically accredited to assess against the requirements of this SSD. Appendix H gives specific guidance on registration requirements.

For organizations registered to other National Highway Sector Schemes

Specific NHSS 12D temporary traffic management training needs, where required for other sector schemes, shall be agreed with the SSD12D Committee prior to inclusion within their individual sector scheme documents.

Organizations registered to a National Highway Sector Scheme which requires "12D" type works as part of their specialist activity, it is not a requirement for the organization to extend the scope of registration to include registration to this scheme (See (a) above). The specialist NHSS organization should carry out a risk assessment to determine the level and number of qualified operatives needed to implement "12D" type works for their specialist activity. However, each specialist NHSS organization shall ensure appropriate training and competency assessment requirements as detailed in Appendix C of this document are incorporated into their Quality Management Plan as a requirement and reviewed annually.

Further guidance for registration is given in Appendix M Guidance for organizations registered to another NHSS.

Note: For Highways England managed roads temporary traffic management on rural and urban roads must be implemented by a registered NHSS 12D organization.

Recommendations for other Organisations and Individuals

The scheme provides temporary traffic management training and competency assessment requirements for operatives who work on or near rural or urban roads. Implementation of the specific requirements relevant to the work in hand will be at the discretion of individual employers who are strongly recommended to consider this when carrying out risk assessments in respect of the competency of their workforce and the safety of the general public. Where it is not a contractual requirement for a supplier to be registered in accordance with this SSD then the training, assessment and registration of individuals as detailed in this SSD should still be considered a requirement, including occasional and seasonal workers.

Recommendations for Specifiers, Consultants, and Client's Representative

Where confirmation of compliance in respect of the supply of products/materials/services is required, the current status of the certificate of registration, its issuer and validity should be verified including specific reference to this Sector Scheme Document.

Registered Operatives on successful completion of their training and assessment process are issued with a registration card identifying their level of competency. The status of the card can be confirmed with Lantra (see Appendix C for contact details). Competency training for managers and Technical Officers is given in Appendix C.

The mandatory requirement for Technical Officers is to successfully complete training and assessment at level M7 (described in Appendix C of this document). It is also strongly recommended that all other managers with TTM responsibilities also successfully complete M7.

Note: As of January 2018, all Smart Skills Registration Cards issued from this date will have smart chip technology only. To view the skills and expiry date a card reader must be used which is compatible with CSCS Go Smart software. The individual skills are NOT printed on the reverse of the card.

4.4.2 The organization shall operate a quality management system to BS EN ISO 9001: 2015 and this schedule.

The organization shall have a process in place to record/update their registration to this sector scheme on the Schedule of Suppliers website <http://www.scheduleofsuppliers.co.uk/> immediately following confirmation of their certification to the sector scheme from the certification body and thereafter check its suitability annually. (See Appendix O for information).

The organization shall notify the Lantra Awards NHSS Schedule of Suppliers if Certification is suspended or withdrawn.

The organization should refer to 7.5.1 Documented Information.

5 Leadership

5.1 Leadership and commitment

5.1.1 General

The organization's policy document shall include "top management" support for this NHSS.

5.1.2 Customer focus

- (i) Processes for determining customer requirements shall consider the interaction with other works and the interests of the Client and the product and service end users, e.g. the public, other interested parties, and shall be mindful of the client's interaction with the end users. These will include processes to minimise disruption and inconveniences.
- (ii) Safe working methods shall be documented and any deviation from these methods shall be agreed with all interested parties.

[Note requirements within this clause shall include where appropriate determination of drivers' compliance with European licensing regulations [e.g. driver CPC - periodic training].

- (iii) A copy of all working methods and relevant risk assessments for undertaking the works shall be available on site for inspection.

5.2 Policy

5.2.1 Establishing the quality policy

The organization's quality policy statement shall include a statement of commitment to applicable National Highway Sector Schemes.

5.2.2 Communicating the quality policy

No additional particular requirements.

5.3 Organizational roles, responsibilities and authorities

Where required in the contract agreement, such information as necessary shall be included in a contract specific quality plan, (see Clause 7.5.1 and Appendix A).

The organization shall define who is responsible for the roles defined within this sector scheme documentation.

^(04/18) **Note:** organizations registered to other Sector Schemes, need to identify 12D TTM personnel within their own workforce or outsource to a registered 12D TTM organization as described in their quality plan. (see clause 4.4.1).

6. Planning

6.1 Actions to address risks and opportunities

6.1.1 The organization shall take into account the risks and opportunities relating to this NHSS.

6.1.2 No additional particular requirements.

6.2 Quality objectives and planning to achieve them

6.2.1 No additional particular requirements.

6.2.2 The quality objectives shall include a commitment to meet Customer and Client requirements with respect to NHSS12D for installing, maintaining and removing temporary traffic management on rural and urban roads.

6.3 Planning of changes

No additional particular requirements.

7. Support

7.1 Resources

7.1.1 General

Resources provided for temporary traffic management shall be adequate to ensure safe working practices and minimum disruption.

7.1.2 ^(04/18) People

An organization registered to this NHSS shall have processes in place to determine the requisite numbers of RLTMO's, RTMO's and Unregistered Operative's in order that it can satisfactorily meet contractual requirements and in particular carry out the temporary traffic management operations in a controlled and safe manner. As a minimum the organization shall employ 1 RLTMO and 1 RTMO. For larger and more diverse organizations the minimum numbers will be dependent upon size, work-types, geographical spread, etc. and shall be substantiated on an on-going basis to the satisfaction of the Certification Body.

Where there are more than 6 people engaged in temporary traffic management duties on site, a RLTMO must be present on site at all times.

Unregistered operatives shall be supervised on site by an appropriately registered RTMO or RLTMO on a one to one basis whilst carrying out temporary traffic management duties.

Minimum competency requirements of persons engaged in TTM on site:

TM Persons Competency ratios	1	2	3	4	5	6	7	8	9	10	
	Maximum Number of Unregister TM Operatives	0	1	1	2	2	3	3	4	4	5
Minimum RTMOs on Site	1	1	2	2	3	3	3	3	4	4	
Minimum RLTMOs on Site	See note below*						1	1	1	1	
NB: Where more than 10 people engaged in TM duties on site the ratios above shall be maintained											

NB: Safety at Street Works and Road Works - A Code of Practice (Red Book) requires that the supervisor is consulted when a situation occurs on site which is beyond the competence of the RTMO. For the purposes of this scheme the RLTMO is deemed to be the supervisor. Where there are less than 6 people engaged specifically in temporary traffic management duties on site, the RLTMO must be located within reasonable travelling distance to be able to respond as appropriate. The organization shall determine a reasonable travelling time for the RLTMO to be able to respond as appropriate.

Record of Practical Experience

The organization shall create and maintain documented information of practical TTM experience for each TMO it employs including those of suppliers. The record shall include details of the manner in which the individual has obtained practical experience.

The following suggested requirements are strongly recommended:

- The Technical Officer should have recorded experience of appropriate temporary traffic management measures
- Contractors shall advise the Client of the person in their organization with the responsibility of Technical Officer as defined in this SSD
- A Registered Lead Traffic Management Operative shall have been assessed on the appropriate training programme and have recorded experience of setting up appropriate temporary traffic management measures
- A Registered Traffic Management Operative shall have been assessed on the appropriate training programme and have recorded experience of setting up appropriate temporary traffic management measures
- Unregistered TMOs shall attend relevant TTM 12D training units within 6 months of starting employment on TTM work.

(06/17) Assessments

- During assessments the installation removal crew shall be in accordance with the table illustrated in 7.1.2, and these ratios shall be maintained.
- Where multiple candidates are assessed, in addition to the crew ratios, there shall be a full installation and complete removal of any system before the next candidate can be assessed.
- All assessments shall be completed within two years from the start of their initial practical assessment
- The Sector Scheme does not permit an assessor to take on any role detailed in the table in 7.1.2 above when assessing. They are either there to assess a trainee or there as part of the gang. They shall not do both at the same time
- An assessor shall only assess one trainee at a time.

7.1.3 Infrastructure

Organizations shall have a system of facilities, equipment and services required for the operation of TTM activities.

7.1.4 Environment for the operation of processes

Organizations shall carry out a Risk Assessment for all operations they are undertaking. This Risk Assessment should not be confused with the TTM control assessment required to determine the nature of the temporary traffic management measures to ensure safe working areas for carrying out the Works.

NB: CDM 2015 requires the Client to provide any known information to the Principal Contractor.

7.1.5 Monitoring and measuring resources

7.1.5.1 General

Items requiring monitoring and measurement include temporary traffic signals and automated stop and go systems.

7.1.5.2 Measurement traceability

Manufacturer's guidance for the maintenance, servicing and calibration of this equipment shall be followed.

7.1.6 Organizational knowledge

Reference and legal documents listed in Appendix B are the main documents relevant to this Sector Scheme. These documents are relevant at the date of issue of this Sector Scheme Document however it is the responsibility of the organization to ensure that they are using the latest issue. **This list is not exhaustive.**

7.2 Competence

General (see also Appendix C)

The training and assessment of competency of personnel required by this scheme is aimed primarily at technical competence for 12D traffic management personnel. In addition, the organization is responsible for maintaining the appropriate level of competencies in other operational areas.

The training and competency is intended to assist and support employees to carry out the installation, maintenance and removal of temporary traffic management (including signing, lighting and guarding) in a safe manner, however it remains the responsibility of the organization to determine and implement safe systems of work.

All people carrying out work covered by this Sector Scheme shall be appropriately registered with the Scheme administrator.

The organization shall create and maintain a record of training and practical experience and assessment of competence for employees, including any TM Operatives hired from an agency or other organisation.

The organization shall create and maintain a register of TM Operatives as part of the organization's competency management procedures.

(04/18) Smart Skills Registration Cards

TM Operatives shall carry a smart skills registration/identification card that details their qualifications for competency at all times whilst working at highway construction sites.

Note: Cards other than those issued by Lantra, where TTM training and assessment is incorporated (see Appendix M), where appropriate will include the name of the organization, e.g. ECS partnership card (NHSS8)

Note. The Construction Leadership Council has determined that construction industry competency/identity cards must include a recognised "mark". It has been decided that this will be the CSCS "mark", which will be enforced by 2025. This Sector Scheme is now recognised by CSCS and all smartcards issued from January 2018 will carry the CSCS mark.

Smart Skills Registration Cards are for defined levels of competency which are described in (iii).

(i) Issuing of Smart Skills Registration Card

A NHSS Smart Skills Registration Card will be issued by Lantra to candidates when they have successfully achieved the approved training or training and assessment programme. The Smart Skills Registration Card will define the type of traffic management the holder is authorised to undertake.

All persons engaged in TTM shall carry their Smart Skills Registration Cards when carrying out TTM duties. Where certificates are issued these are for continued professional development only and do not provide proof of competency.

Note: When working on the UK Road Network all persons engaged in 12D TTM from 1st April 2018 shall have successfully passed (as a minimum) the Temporary Traffic Management Basic Course (TTMBC)

It is recommended that organisations working on roads managed by other highway authorities take a similar approach.

(ii) Renewal of Smart Skills Registration Card

Formal refresher training, for Smart Skills Registration Card renewal has been suspended and will not be re-instated until 01 April 2019 when all individuals renewing their skills cards will have received training in the new requirements of the Safety at Streetworks and Roadworks a Code of Practice. For further information, refer to the Lantra Course Portfolio Sheets.

It is the employer's responsibility to ensure that personnel with Smart Skills Registration Cards issued before 01 April 2015 receive appropriate training to demonstrate knowledge and awareness of the new statutory requirements; Safety at Street and Road Works – A Code of Practice, dated October 2013 (2nd and subsequent impressions) and shall be able to demonstrate this to their auditor.

The renewal of a Smart Skills Registration Card has to be made in the 6 months prior to the expiry date.

An expired card can be renewed within a period of up to 6 months after expiry by successfully completing the full training course without the requirement to complete the relevant assessments, but the candidate is not deemed to be competent during this period and shall be treated as a trainee (unregistered) TM Operative.

- (iii) Any cards more than 6 months out of date will require candidates to complete the full training and assessment criteria appropriate to their role.

Cards for Competency Levels

- a. Trainee Operative Cards

Trainee Operative Cards are issued to unqualified Temporary Traffic Management Operatives who at all times shall be supervised by an appropriately registered Traffic Management Operative on a one to one basis (within sight and sound of the Supervising TMO).

Note: A trainee Traffic Management Operative may have attended the appropriate training course but not completed the module (assessment process).

- b. Mobile Works and Short-Duration Works Operative (MWO) Cards

Cards are provided to operatives (MWOs) who have achieved and maintained the currency of M1 and can undertake moving works operations with temporary stops of less than 15 minutes to the requirements of the Safety at Street Works and Road Works – A Code of Practice.

Note: Although guidance for clients in the employment of MWOs is provided in this document (see Appendix L & N), the responsibility for ensuring safe working practices remains with the operative's employer.

- c. Registered Traffic Management Operatives (RTMO) Cards

Cards are provided to operatives (RTMO) who have successfully achieved Modules 1 & 2 as a minimum. The RTMO shall maintain the currency of M1/M2 registration.

- d. Registered Lead Traffic Management Operatives (RLTMO) Cards

Cards are provided to lead operatives (RLTMO) who have successfully completed Modules 1, 2 & 6 as a minimum.

The RLTMO shall have achieved and maintain the currency of M1/M2 and M6 registration. In order to supervise activities covered by modules M3, M4 & M5 the RLTMO shall have achieved and shall maintain the currency of the relevant module(s).

- e. **Technical Officer (manager)**
The Technical Officer is the person named in the organization's Contract Specific Quality Plan with the overall responsibility for the planning, installation, modification and removal of temporary traffic management and implementation of the requirements of the Contract Specification. Technical Officers shall be M7 qualified.

7.3 Awareness

All employees including those of suppliers must be aware of their working environment and the risks therein. They must conform to the organization's Health and Safety plan.

7.4 Communication

The relevant quality plan and standard operating procedures shall be communicated to all relevant employees including those of suppliers.

It is recommended that the organization's induction programme should include an introduction to the above.

7.5 Documented information

7.5.1 General

- (i) Quality plans shall be required for all contracts. When specified in the contract documents, or requested, the organization shall submit the quality plan or alternative documentation as defined in the Contract Specification for acceptance or approval to the Client, as appropriate and as specified in the contract (see Appendix A).

The quality plan shall not be considered in isolation. An integrated approach should be taken which links to other relevant plans.

Note 1: Management of the service as a whole is reliant on quality and hence the contract and the quality element cannot be separated, as one cannot function without the other.

Note 2: The quality plan describes the management strategy that sets clear and sustainable performance objectives, delegates responsibility and establishes lines of communication. The objective being to manage the various management schemes within an overall management scheme within an organization.

Note 3: The topics for the content of a QP are given in BS EN ISO 10005 and this document; in particular reference should be made to Appendix A of this document and Appendix H of the SHW.

- (ii) The organization shall have in place auditable processes to identify publication of relevant new documents/standards and implementation requirements (See Appendix B).
- (iii) Planning of the required traffic management measures shall be developed in agreement between the Client and the organization (see Appendix L).

The resulting operational procedures and working practices will constitute the Quality Plan and will consider all relevant matters described in (Appendix A).

Note: Client duties under CDM 2015 require the provision of known information and cooperation and coordination with the Principal Contractor.

- (iv) The organization shall, in order to reduce the need for waste disposal, minimise the generation and environmental impacts of wastes arising during the contracted works and shall maximise opportunities for the re-use and recovery of wastes. The organization shall document its arrangements for the identification, segregation, handling, storage and disposal of the different types of wastes arising from the contracted works.

7.5.2 Creating and updating

- (i) The organization shall have processes in place to ensure that the latest versions of relevant Standards and documents are always available (See Appendix B).

7.5.3 Control of documented information

7.5.3.1 No additional particular requirements

7.5.3.2 Control of Documents

In addition to ISO 9001:2015 requirements the following documented information is typically required to be controlled:

1. Correspondence
2. Delivery notes and certification where required (e.g. traffic delineators)
3. Training records/certificates
4. Contract documentation and customer order
5. Instructions to site staff
6. Where appropriate, location and identification of underground and over ground services and structures and name, address, telephone numbers of persons responsible for them

Control of Records

In addition to the organization's own quality records, the following records shall typically be kept:

1. Contract specification and any variations
2. Purchase orders
3. Instructions to site staff
4. Complaints (written/email/telephone/verbal)
5. Experience and training record of all personnel
6. Traffic Management layout records and period in operation (separate report for each layout)
7. Details of materials used, e.g. equipment list
8. Details of any incidents/accidents in or adjacent to the provision of traffic management measures
9. Other documents that are legally required to be retained and controlled
10. Records of equipment calibrations, tests and inspections etc.

Note: There should be an auditable process of documented information retention which can be clearly identified and traced to confirm that contractual requirements are met.

^(06/17) Note: In accidents where minors have suffered life changing injuries, levels of compensation payments may not be fully considered until they have reached the age of 21. It is therefore recommended that records of such incidents are retained until a minor has reached 23 years of age.

8 Operation

8.1 Operational planning and control

- (i) The organization shall have access to and a working knowledge of the relevant documents listed in Appendix B of this schedule together with the Contract Specification.
- (ii) The organization shall ensure that Technical Officers and RLTMOs have a working knowledge of the relevant parts of the documents listed in Appendix B of this schedule.
- (iii) The organization shall appoint suitably qualified traffic management personnel who shall be responsible for the installation, maintenance and removal of the temporary traffic management measures. The appointed personnel shall be included in the organization's Contract Specific Quality Plan as having the responsibility, training and experience to manage temporary traffic management systems as relevant to meet the requirements of the Contract Specification.

NB This would normally be the RLTMO.

- (iv) The organization shall produce method statements for the installation, maintenance and removal of traffic management arrangements. These shall be submitted to the Client.
- (v) A copy of the traffic management assessment shall be available on site for inspection. The Annex to Appendix A gives a typical TTM assessment sheet which may be used to help identify the control measures required.
- (vi) A temporary traffic management installation shall be inspected, maintained and recorded by a RLTMO or RTMO at least every 4 hours during the on-site working hours. Organizations shall include in their quality plan arrangements for out of working hours' inspections, as identified and required by the site location.
- (vii) General maintenance shall be supervised by a suitably registered skills card holder who will be on site. All equipment shall be maintained in the proper position and kept clean. Damaged equipment shall be replaced within a time scale agreed by the Client. A suitably registered RTMO or RLTMO shall be contactable at all times.
- (viii) The RLTMO or Technical Officer shall report to the Client on the outcome and adjustments necessary following unexpected interruption to traffic flow, accidents or other incidents, and their resulting corrective actions.

8.2 Requirements for products and services

8.2.1 Customer communication

The quality plan shall identify what and when relevant information is passed on to the Customer and Client. (refer to Appendix A to ensure requirements are listed)

Note: Where required by the contract/ legislation the Customer needs to be informed about the products, i.e., they require detailed information as appropriate regarding materials, components, manufacturing details etc. for the purposes of:

- (a) as-built records for maintenance/health and safety requirements.
- (b) For their own monitoring of the effectiveness/performance of the product.

The quality plan shall identify what and when relevant information is passed on to the customer or their agent.

The organization shall define the relevant information e.g. contract or legislative requirement.

- (iii) Clause 4.4.2 requires registration to the Schedule of Suppliers website.

The organization is responsible for their record and shall have processes in place to ensure that user ID and passwords are available and maintained. Duplicate entries must not be created when this information is not available.

If this does occur the organization shall contact Lantra, the administrator for the Schedule of Suppliers, to obtain access to the organization's listing.

8.2.2 Determining the requirements for products and services

Where required in the contract agreement the provider shall undertake relevant risk assessments in accordance with the client's standards and processes (for example Highways England's Standard GD04 provides a method for undertaking risk assessment on their network). See also 5.1.2.

Note: This SSD should be taken into account when determining the requirements.

8.2.3 Review of the requirements for products and services

- 8.2.3.1** The organization shall carry out a review of the contract requirements. The review procedure shall require the organization to verify with the Client that the arrangements meet the technical requirements included in the Client's Contract Specification.

The organization shall ensure that suitable and sufficient resources are available to meet contractual requirements.

Where irregularities, inconsistencies or other problems are identified they shall be brought to the attention of the Client for resolution.

This may include liaison with all relevant stakeholders, in particular the Highway Authority and the Emergency Services.

Matters of a significant nature identified during the review of the contract requirements shall be considered during the management review and if necessary incorporated into the quality management system.

- 8.2.3.2** No additional particular requirements.

8.2.4 Changes to requirement for products and services

The Contract or specifications therein shall not be changed without agreement with the customer.

8.3 Design and development of products and services

8.3.1 General

No additional particular requirements.

Note 1: Under the Construction, Design and Management regulations, 01 April 2015, an organization which produces traffic management drawings/layout is considered to be a designer.

Note 2: NHSS 12D requires the technical officer responsible for the design of the temporary traffic management system to be qualified to M7.

8.3.2 Design and development planning

The design process shall incorporate the requirements of Safety at Street Works – A Code of Practice, The Principles of Chapter 8 and best practice as required.

8.3.3 Design and development Inputs

Records of design inputs shall identify sources of information such as traffic flows and carriageway widths, e.g. TTM assessment parameters.

8.3.4 Design and development controls

No additional particular requirements.

8.3.5 Design and development outputs

No additional particular requirements.

8.3.6 Design and development changes

No additional particular requirements.

8.4 Control of externally provided processes, products and services

8.4.1 General

Where supply of materials/products is required the materials/products shall be selected in accordance with the contract (specification) documents including compliance with other relevant NHSS. (See appendix A of the SHW).

8.4.2 Type and extent of control

No additional particular requirements.

8.4.3 Information for external providers

No additional particular requirements.

8.5 Production and service provision

8.5.1 Control of production and service provision

When the organization is the main contractor, location and identification of underground and over ground services and structures including installed systems together with the names, addresses and telephone numbers of persons responsible for them.

When the organization is a sub-contractor, the taking of all reasonable steps to ensure this information is available from the main contractor and is suitable to the extent that the organization is satisfied it is safe to carry out the sub-contract works.

Works orders, risk assessment and temporary traffic management plans for the installation, maintenance and removal of temporary traffic management measures shall be signed by the relevant designated personnel and retained.

8.5.2 Identification and traceability

The organization shall implement and maintain documented processes to ensure that retained documents and records can be clearly identified and traced.

8.5.3 Property belonging to customers or external providers

The quality management system shall include a procedure where materials are supplied by the Customer or the Client.

8.5.4 Preservation

Systems shall be in place to inspect and maintain all goods on site and those returned from site are fit for purpose before their subsequent re-use.

8.5.5 Post-delivery activities

No additional particular requirements.

8.5.6 Control of changes

No additional particular requirements.

8.6 Release of products and service

No additional particular requirements.

8.7 Control of nonconforming outputs

8.7.1 The organization shall implement and maintain documented processes such that any work not conforming to the contract specification shall be suitably adjusted to conform to the specification.

Non-conforming component parts for TTM schemes shall not be used unless written approval has been received from the Customer and/or Client.

8.7.2 Agreement in line with the contract specification shall be obtained from the Customer and/or Client prior to any adjustment or use (see 8.7.1 above).

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

This includes the on-going impact of the temporary traffic management measures on other works including congestion and traffic flows. This also includes recorded accidents and incidents that are traffic related.

9.1.2 Customer satisfaction (includes interested parties)

No additional particular requirements.

9.1.3 Analysis and evaluation

No additional particular requirements.

9.2 Internal audit

9.2.1 Internal audits shall be carried out at sufficient frequency and by a suitable technically competent person(s) to ensure a robust assessment of the compliance of the product.

9.2.2 The quality plan shall state the frequency of internal audits. Internal audits of the quality management system against this SSD shall include at least two visits a year to specific works sites to check NHSS 12D activities (where the organization does not have contracts which provide continuous working throughout a full year, visits shall be conducted on a pro-rata basis, but at least one visit per contract must be made). Internal auditors shall have a working knowledge of NHSS12D activities Internal audits shall be carried out by the nominated quality manager or a designated competent person.

9.3 Management review

9.3.1 General

- (i) The organization shall review the quality management system at least once a year to ensure its continuing suitability and effectiveness to conform to this NHSS.

9.3.2 Management review inputs

No additional particular requirements.

9.3.3 Management review outputs

The output and actions from the management review shall be considered by top management at regular intervals throughout the year.

10 Improvement

10.1 General

The corrective and preventative action processes shall include analysis of incidents and occurrences. Consideration should be given to accident statistics and near miss reporting.

10.2 Nonconformity and corrective action

10.2.1 No additional particular requirements.

10.3 Continual improvement

A record of improvement measures shall be maintained as documented information.

Appendix A

Requirements for Quality Plans

The quality plan shall include the following items as a minimum.

1.0 General requirements

- 1.1 Definition of the product (or service) to be provided.
- 1.2 The structure of the organization describing the line of command and stating the names of the organization's personnel responsible for the contracted work, to include;
 - Organization's Manager responsible for the contracted work
 - Technical Officer
 - Traffic Management Design/Development personnel
 - Registered Lead Traffic Management Operative(s)
 - Other Registered Traffic Management Operatives involved with the work
 - TM Module 1 Operative
- 1.3 Identification of the relevant parts of the organization's documented quality management system relevant to the product or service being provided.
- 1.4 The control of team selection including special requirements for skilled personnel e.g. training of site staff.
- 1.5 The control of equipment.
- 1.6 Any environmental conditions impacting upon the specified works.
- 1.7 Location of site for the contract and means of access.
- 1.8 Specification and/or Contract Documents.
- 1.9 The Client's/Customer's details including nominated Quality Manager, Project Manager and/or other representative's through whom communication is to be made throughout the contract.
- 1.10 Extent of the works and the commencement and completion dates of the contract.
- 1.11 Details of the work (as appropriate), including method statements and H&S measures (see 2.6).
- 1.12 Details of existing materials (as applicable).
- 1.13 Disposition of documented information.

2.0 Contract Specific Information

- 2.1 Liaison arrangements with the Highway Authority and the Police and other emergency services, including, for example, working hour restrictions, road space booking, unexpected increase in traffic flows, permissions required and notice requirements.
- 2.2 Submission for examination by the Client's representative of:
 - certificates of registration for conformity against this scheme
 - copies of the TMO's Smart Skills Registration Cards and training certificates
 - and the up to date register of TMO's employed, which shall be maintained by the organization.

- 2.3 Receipt and examination of certificates of registration and test results for materials used.
- 2.4 Provision, handling, installation, and storage of traffic management equipment on site, including maintenance and details of spare equipment.
- 2.5 Details and control of Quality records.

Method statements for installation, maintenance and removal of Temporary Traffic Management measures including:

- detailed drawing(s) to be supplied if required, this requirement may be time specific;
- checking regime to validate that the temporary traffic management systems have been correctly installed and that signage is in accordance with the drawings, specification and statutory requirements;
- site specific risk assessments detailing the agreed measures for traffic control including parameters such as different weather conditions, speed limits, traffic/pedestrian counts, road/footway widths, street lighting, traffic signs, junctions, sight lines, parking restrictions or Temporary Traffic Regulation Orders affecting the works. (See Annex A to this Appendix for an example of a TTM assessment)
- equipment requirements and control where positive traffic control is being used.
- details of the vehicles and communication system to be used where convoy working is being used.
- any process of how modification or changes will be made to the installation/layout during the currency of the works.

- 2.6 Detail of the control of non-conforming products.
- 2.7 Reference to any requirements given in Appendix 1/24 to the Specification for Highway Works or equivalent documentation.
- 2.8 Inspection regime to be adopted covering frequency and acceptance criteria.
- 2.9 How performance requirements are to be achieved.
- 2.10 All relevant contract specific information in respect to speed restrictions, safety requirements, environmental requirements, existing conditions and site conditions.
- 2.11 Any client-specified testing requirements and responsibility for testing including the supply of test equipment.
- 2.12 Risk Assessments

NOTES:

1. Where certain aspects of this information cannot be obtained or, is not provided, this fact shall be noted in the quality plan against the appropriate section.
2. The organization should also be aware that there may be further general requirements for quality plans within a contract, for instance Appendix 1/24 of the Manual of Contract Documents for Highway Works, which may also need to be addressed.

Annex A

TTM Assessment

Introduction

Form 1 of this Annex is intended as an example of a site specific TTM assessment; this is not comprehensive and is open to the judgement of the individual completing it. Using this document or similar will provide evidence that appropriate measures have been considered for the most appropriate form of temporary traffic management.

This form has been developed for use for routine highway maintenance work with the intention that the first person on site completes the TTM assessment. In many instances this will be a client officer whilst marking up.

Form 1 should accompany the works order identifying the minimum TTM requirements for each site. This will ensure sufficient allocation and planning of resources prior to the TTM being installed. On arrival, the responsible person shall review the operative's site assessment plan and the method of TTM defined on the form and if necessary upgrade the TTM but shall not install to a lesser standard.


For major maintenance projects requiring a specific TTM plan completion of Form 2 may assist both designers and principal contractors with the identification of suitable TTM requirements.

Prior to work commencing, agreement should be reached between the Highway Authority and the TTM supplier for the necessary temporary traffic management arrangements.

Whilst this agreement specifically identifies the appropriate TTM requirement there may be other site specific information required by CDM in addition to this information such as location of overhead cables, location of schools, public buildings, and other local factors etc.

See Sample form/s overleaf.

Annex A: Form 1 (sample)

ANNEX A – Temporary Traffic Management Assessment Sheet (2014)																																																																																																																																																													
Date	Location	Works Order																																																																																																																																																											
Time of Traffic Count	Road No.	Name																																																																																																																																																											
1.1 Existing Carriageway Conditions																																																																																																																																																													
Road Speed	mph	Carriageway Width	m	Traffic Count <i>No. of Vehicles in 3 minutes</i>																																																																																																																																																									
1.2 Existing Conditions for Pedestrians / Cyclists																																																																																																																																																													
Category	Footway Width	Category	Footway Width	Verge	Cycle Way	Pedestrian / Cycle Count <i>No. in 3 minutes</i>																																																																																																																																																							
Urban / Estate	m	Rural	m	Tick	Tick	Description of users																																																																																																																																																							
2.1 Remaining width available to Traffic, Pedestrians During Works																																																																																																																																																													
Carriageway: A=		m	Footway/ Cycleway: B=		m																																																																																																																																																								
Include Materials, Site Machinery, Vehicles in Works Area and Appropriate Safety Zone																																																																																																																																																													
3.1 Carriageway for Standard Traffic Management (from Section 2.1, A)																																																																																																																																																													
A: Under 3.00m		Tick	A: 3.00 to 6.75m		Tick	A: Over 5.50m																																																																																																																																																							
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Note 1 – The above information is guidance on the minimum level of Traffic Management required.

Note 2 - In completing the following, further information/remedial actions to minimise risks are to be written in the spaces provided (append additional sheets as necessary).

Annex B Form 2 (This sample is intended as guidance only and can be expanded as required)

DETAILS ON THIS PAGE TO BE COMPLETED BY DESIGNER

Health & Safety Pre-Construction Information Plan provided (see attached) Sketch No: _____			
General Information Surrounding land uses (Nursery, school, hospital, fire station, police station, residential home, day centre, retail area, factories etc.): _____			
Working Adjacent/Over Watercourse? Y/N _____		Overhead Services? Y/N _____	
Underground Services Applicable? Y/N _____		Plans and Details provided? _____	
Traffic Sensitive Route? Y/N _____		Working hours restricted to: _____	
Length of Works(m) _____			
Roundabout:	Y/N	Pedestrian Crossing:	Y/N
Road Junction:	Y/N	Parked Cars:	Y/N
Incline:	Y/N	Blind Corner:	Y/N
Hidden Dip:	Y/N	Bus Route:	Y/N
Comments and suggested Actions: _____ _____ _____			
Scheme Specific Risk Assessment is required _____ Design Details on Drawing/Sketch/Bill of Quantities Ref No: _____			
Access/egress for personnel, plant, materials. Any Problems? _____			
Sketch		See separate sheet	

The following section to be completed and signed by Supervising Designer:

Traffic Management Required? Y/N Road Closure Required? Y/N

[If Road Closure required, are Diversion Routes approved & Closure advertised? Y/N

Regarding Safety Zone *, Are temporary speed limits required? Y/N Advertised? Y/N

Pre-contract Site Visit Required by Contractor before commencing works Y/N
If Yes, details to be completed (see over)

Temporary traffic management plan proposals required from Principal Contractor Y/N

Issue to Principal Contractor (as H&S Plan) Signed..... (Supervising Designer) Date.....

Form 2 Continued
 DETAILS ON THIS PAGE TO BE COMPLETED BY PRINCIPAL CONTRACTOR

Following Site Visit:

Any further non-generic Risk Assessments Required? Y/N
(if yes see attached)
 Site Specific Method Statement attached? Y/N
 Designers Measurements of Carriageway Geometry (length & width) checked? Y/N

Outcome:

Traffic Management Plan attached: Y/N If yes, see attached proposed layout

Other:

(to include pedestrian safety and management)

Traffic Management Approved: Date:.....

Method Statements received from sub-contractor and approved Date:.....

Temporary Road Closure Required Y/N Date:.....
 (Dates confirmed with Designer)

Contractor arranged to start Works on:

Designer:

Informed:

Other Comments:

Sketch:

The H&S Plan Updated Signed: (Principal Contractor)

Date:

Updated version received, and final approval by Supervising Designer / Project Engineer:

Signed: (Supervising Designer /
 Project Engineer)

Date:

Work Issued to Site: (Principal Contractor)

Date:

Note this form to be issued to sub-contractors carrying out the Works.

Issued to all sub-contractors (if applicable) Signed
 (Principal Contractor)

Date:

Note this form to be returned to Supervisor Designer/Client on completion of Works together with as built drawings/sketches, and record materials used/materials suppliers:

As Built drawings/sketches, materials details/suppliers list, and copy of this form returned to Planning Supervisor/Client.

Signed: (Principal Contractor)

Date:.....

Appendix B

Reference and Associated Documents (Bibliography)

The listing is not exhaustive; other documents may be required to fulfil the requirements of the contract. Organizations shall ensure that they have a working knowledge of and access to all the documents including amendments unless stated otherwise in the specification. Organizations shall ensure they are working to current reference or associated documents appropriate to work in their sector.

The list of standards and documents below are date specific, however, the organization shall have processes in place to ensure that the latest version is always available. Organizations should be aware that utilisation of internet search engines may result in out of date references being identified/called up.

1. Normative Reference

The main reference documents relevant to this Sector Scheme at the date of issue are:

- i) Safety at Street Works and Road Works: A Code of Practice. (October 2013, latest edition), Issued under sections 65 and 124 of the New Roads and Street Works Act).
- ii) Traffic Signs Manual (the Stationary Office), particularly:
Chapter 5: Road Markings
Chapter 7: Design of Traffic Signs
Chapter 8: Traffic Safety Measures and Signs for Road Works and Temporary Situations.
- iii) The Traffic Signs Regulations and General Directions, or The Traffic Signs Regulations (Northern Ireland)
- iv) BS EN ISO 9000:2015 Quality management systems – Fundamentals and vocabulary
- v) BS EN ISO 9001:2015 Quality management systems – Requirements
- vi) BE EN ISO 9004:2009 Quality management systems – Managing for the sustained success of an organization. A quality management approach

2. Bibliography

- i) Manual of Contract Documents for Highway Works: Volume 1 Specification for Highway Works (SHW), and amendments
Series 000 Introduction
Series 100 Preliminaries
Series 1200 Traffic Signs
Series 1400 Electrical Work for Road Lighting and Traffic Signs.
(www.dft.gov.uk/ha/standards/mchw/index.htm)
(see Note 2)
- ii) Manual of Contract Documents for Highway Works – Volume 2 Notes for Guidance on the Specification for Highway Works (NGSHW), and amendments
Series NG000 Introduction
Series NG100 Preliminaries
Series NG1200 Traffic Signs
Series NG1400 Electrical Work for Road Lighting and Traffic Signs.
(www.dft.gov.uk/ha/standards/mchw/index.htm)
(see Note 2)

Appendix C

Training and Assessment of Competence

1. Training and competency assessments

The organization shall ensure that their employees have undergone suitable training and competency assessment as appropriate. The qualifications herein are deemed to satisfy the requirements of the nationally recognised standard. Other qualifications may be acceptable provided it can be demonstrated through mapping to this standard. Any request should be made to the scheme administrator who will provide an estimate of the cost.

1.1 Lantra administers the training and assessment programme for candidates on behalf of the SSAC. Details of Training Providers can be obtained from:

Lantra, Lantra House, Stoneleigh Park, Coventry, Warwickshire, CV8 2LG

Tel: 02476 858443

Email: nhss-highways@lantra.co.uk Website: www.lantra.co.uk

1.2 Training and assessment

^(04/18) The Lantra Smart Skills Registration Card carried by the candidate will be endorsed with the level of training and assessment (see below).

The training and assessment has been divided into modules for the different systems of temporary traffic management as shown in the route map and tables overleaf. This will assist Organizations with the identification of personnel having suitable levels of competence to fulfil their job roles.

1.2.1 Modules

Module 1 to Module 5 (M1 to M5) comprise successful completion of training courses T1 to T5 and the completion of on-site assessments as appropriate. The training element for each module will include a test paper. This will be taken at the end of the training session and marked as PASS or FAIL.

Module 6 and Module 7 (M6 & M7) require successful completion of the training course and test paper.

NB. T6 requires a pre-qualification of M1 and M2 as a minimum and M3, M4 or M5 as appropriate. There are no pre-requisites for T7.

Summary of the training and assessments are shown in Table C1.

Renewal of the validity of the Smart Skills Registration Card is achieved through refresher training at 5 year intervals.

1.2.2 Refresher Training

Formal refresher training, for Smart Skills Registration Card renewal has been suspended and will not be re-instated until 01 April 2019 when all individuals renewing their Smart Cards will have received training in the new requirements of the Safety at Streetworks and Roadworks a Code of Practice. For further information, refer to the Lantra Course Portfolio Sheets.

Refresher training will consist of updated training and a test paper and must be completed within the six months prior to the expiry of the module on the Smart Skills Registration Card.

M6 takes precedence over the M1 to M4 modules. The M6 training/refresher training (available in April 2019) will include, if applicable, legislative updates for M1, M2, M3 and M4 therefore automatically refreshing these modules. M5 will require individual refresher training.

For further information, refer to the Lantra NHSS12D course portfolio sheets (<http://www.lantra.co.uk/nhss/course-portfolio-sheets>).

1.2.3 Mobile Works Operative (Operative level M1)

Section 3 of this document provides the following definitions:

Mobile Works	Mobile works are carried out from a vehicle moving significantly slower than the prevailing traffic speed and involve continuous mobile operations.
Short-Duration Work up to 15 minutes	Short-duration works involve a single vehicle or a small number of vehicles undertaking one or more intermittent stops of up to 15 minutes.
Mobile Works Operative (MWO)	A person successfully completing Module M1 of the training programme who may undertake mobile works operations. This achievement will be recorded with Lantra and a Smart Skills Registration Card issued.

1.2.4 Registered Traffic Management Operative (Operative level M2)

Section 3 of this document provides the following definitions:

Registered Traffic Management Operative (RTMO)	An operative who will have successfully achieved Modules 1 & 2 as a minimum, and been issued with a Smart Skills Registration Card by Lantra. Where relevant the person(s) shall be named in the organization's Contract Specific Quality Plan.
	This will include all systems of temporary traffic management up to 2-way traffic signals, including short-duration works between 15 and 60 minutes (between 15 and 30 minutes for Scotland).

This provides a basic competency for static works traffic control (Modules 1 & 2) which includes single phase temporary traffic signals and stop/go boards. Additional Modules which extend the RTMOs competency are available for low speed dual carriageways 40mph and below; convoy working and multi-phase temporary traffic signals. (Modules 3, 4 & 5 respectively) The Smart Skills Registration Card will indicate the competency level the operative has achieved.

NOTE: For Organizations who do not use temporary traffic signals, the assessment of those operatives will not include Unit 7 of M2 (temporary traffic signals) of the logbook. This will be recorded on the operative's Smart Skills Registration Card as "12D RTMO (M1/M2) without Temporary Traffic Signals". This RTMO will not be able to extend their competencies until they have completed the basic training and assessment i.e. Unit 7 of M2.

Certificates of registration are issued to those with existing Smart Cards to confirm that additional skills have been added.

1.2.5 Registered Lead Traffic Management Operative (Operative level M6)

Section 3 of this document provides the following definitions:

Registered Lead Traffic Management Operative (RLTMO) An operative who will have successfully achieved Modules 1, 2 & 6 as a minimum, and been issued with a Smart Skills Registration Card by Lantra.

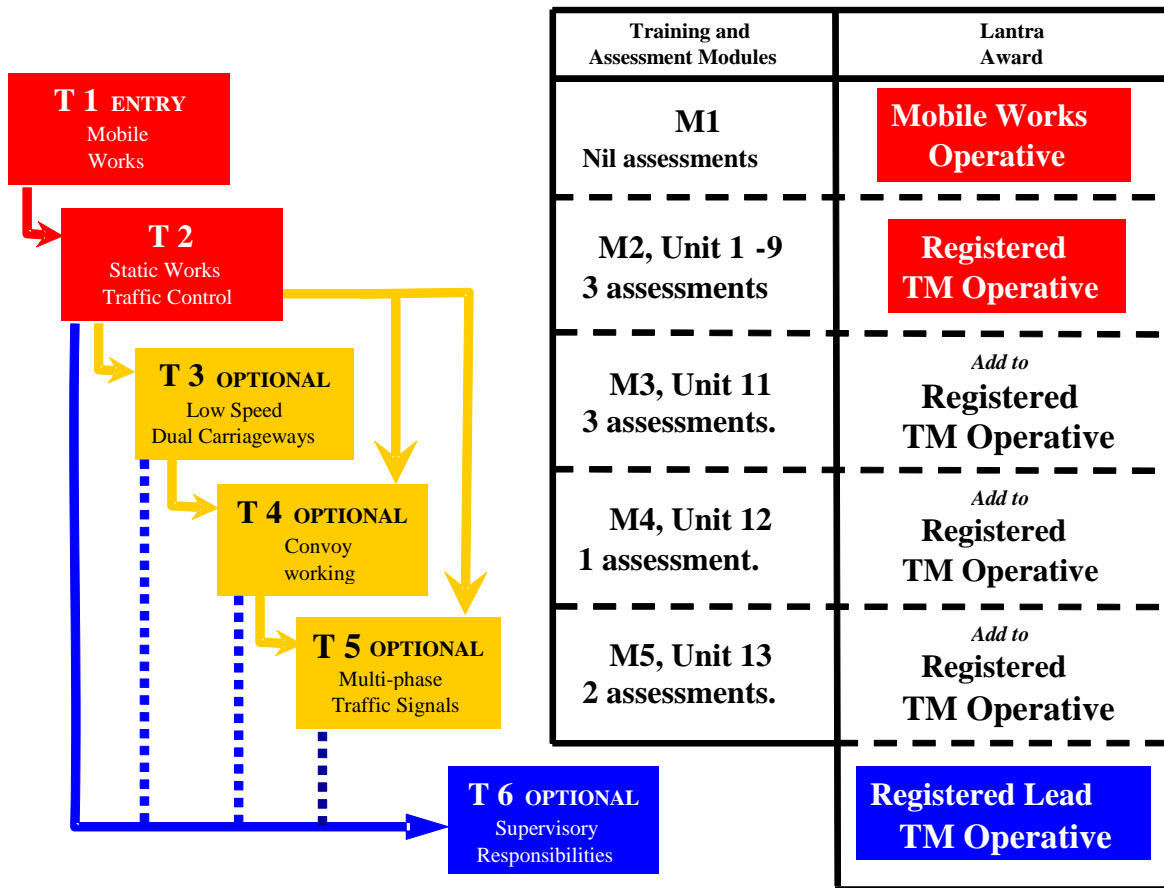
To supervise works for low speed dual carriageways (M3), convoy working (M4) and multiphase traffic signals (M5) the RLTMO shall have successfully achieved the appropriate modules and been issued with the relevant Smart Skills Registration Card. The organization is responsible for the appointment of the RLTMO. (See clause 7.2) Where relevant this persons(s) shall be named in the organizations Contract Specific Quality Plan.

The Smart Skills Registration Card will indicate the additional modules the operative has achieved.

NB RLTMO shall complete the full training and assessment programme for Modules 1 & 2 including Unit 7 (assessment of 2-way portable traffic signals) of Module 2.

See below for Table of Operative Route Map:

Operative Route Map



1.2.6 Managers and Client Officers (M7)

This module is designed for personnel who do not physically set out temporary traffic management but have temporary traffic management responsibilities i.e. Designers, Surveyors, Inspectors, etc. **M7 is a mandatory requirement for Technical Officers and the Organizations TTM manager. It is also strongly recommended for all other managers with TTM responsibilities.**

(06/17) 1.3 **TABLE C1 – SUMMARY OF TRAINING AND ASSESSMENT MODULES**

MODULE/ TRAINING	TYPE OF ROAD WORKS	PURPOSE OF COURSE	TRAINING COURSE	SITE ASSESSMENT	REFRESHER TRAINING
TTMBC (as of 01 April 2018)	All	Basic training in TTM	TTMBC (0.5 Day) includes test paper	Nil	Full course Failure to progress to M1 will result in the TTMBC having to be renewed every 6 months
M1	Mobile and Short-Duration Works up to 15 minutes on Single Carriageways	For candidates requiring MWO status	T1 (0.5 Day) includes test paper Note: other training may also be required e.g. equipment competency and environmental awareness	Nil	To be introduced April 2019
M2	Short-Duration Works between 15 and 60 minutes (between 15 and 30 minutes in Scotland) and Static works including the use of positive traffic control	For candidates requiring RTMO status	Must achieve M1 first T2 (0.5 Day) includes test paper followed by a 1-day Centre based assessment (Recorded in Log Book)	Units 1 to 9 NOTE: For organizations who do not use temporary traffic signals, the assessment of those operative will not include Unit 7 (temporary traffic signals) of the logbook	To be introduced April 2019
M3	Dual carriageways restricted to 40 mph or less	Optional module for RTMO's (holding Modules M1 & M2)	T3 (0.5 Day) includes test paper Note1: Module 3 does not include contraflow works, 12A/B training required. Note 2: holders of 12A/B Smart Skills Registration Card who have completed 12D modules M1 and M2 are automatically qualified (must be applied for)	Unit 11	To be introduced April 2019
M4	Convoy Working on all categories of roads excluding motorways.	Optional module for RTMO's (holding Modules 1 & 2)	T4 (0.5 Day) includes test paper Note: For convoy operations on high speed dual carriageways the Static TM shall be carried out by 12A/B qualified personnel	Unit 12*	To be introduced April 2019
M5	Multi-Phase Traffic Signals	Optional module for RTMO's (holding Modules 1 & 2)	T5 (1 day) includes test paper and Centre based assessments	Unit 13	To be introduced April 2019 Refresher 0.5 day training only.

M6	All categories of TTM systems covered by 12D.	For RTMO's who are required to become RLTMO's appropriate to the modules achieved	T6 (2 days) which includes supervisory responsibility for the RLTMO appointment; two tests, one written and one scenario based. NB: On successful completion of T6 an M6 Smart Skills Registration Card can be applied for.	Nil	To be introduced April 2019
M7	All categories of TTM systems covered by 12D.	For Managers, Designers, Technical Officers and others who do not physically install TTM but do have responsibility for the installation	M7 (2 days) covers content from Modules 1 – 6 in addition to Client/Contractor responsibilities. A Smart Skills Registration Card will be issued to the candidate on successful achievement of the module.	Nil	To be introduced April 2019

The renewal of a smart card should be made within the 6-month period prior to the expiry date.

Candidates who have not successfully achieved refresher training (existing course until refresher training introduced April 2019) will be required to complete the full module (training and assessment) appropriate to their qualification, before being issued with a current Smart Skills Registration Card.

A window of opportunity is available for 6 months after the expiry date of the existing skills card during which the Smart Skills Registration Card is not valid where the candidate can sit the full course but does not have to re-take the assessments.

Any cards more than 6 months out of date will require candidates to complete the full training and assessment module appropriate to their qualification.

Assessments shall be undertaken on a 1:1 basis with a maximum number being carried out per day as listed in the course portfolio sheets (subject to course time and, where appropriate, sites being dismantled and re installed between each Learner. Learners not being assessed must remain in safe location.

For M2 to M4 candidates shall undertake a set of onsite assessments which must be completed within a two year period starting from the date of passing the training to gain Smart Skills Registration Card.

Important Note: Please refer to 7.1.2 for minimum competency requirements for gang sizes which must be maintained whilst assessments are being carried out.

For further information, refer to the Lantra NHSS12D Course Portfolio sheets: <http://www.lantra.co.uk/nhss/course-portfolio-sheets>

1.4 Log Books

The candidate shall be assessed against the criteria set out in the Sector Scheme Log Book. Copies are available from the awarding organisation.

Before registration training shall have been passed together with successful completion of practical assessments where appropriate by the Awarding Organisation's approved assessor.

1.5 ^(04/18) Smart Skills Registration Cards

Cards will be issued upon the successful completion of the module. Where a TMO undertakes further training and assessment an updated card will be issued on application.

Where applicants hold other cards or qualification (from a state other than England), it will be necessary to establish the competency equivalence of such qualifications and advice should be sought from the appropriate Sector Skills Council or issuing/awarding body of recognised qualifications or the administrator of the embedded skills scheme as to the equivalence of the qualification to meet the described competency and knowledge described in the sector scheme document.

The Awarding Organisation will charge a fee for the issue of the Smart Skills Registration Cards.

1.6 Appointment of Registered Lead Traffic Management Operatives by an Organization

On completion of module M6 candidates will be issued with an RLTMO card.

The formal appointment to the position of RLTMO is the responsibility of the organization.

1.7 Health and Safety

Organizations are reminded of the legal requirements to provide health and safety training for all operatives as appropriate in accordance with the Health and Safety at Work Act 1974.

The training and assessment of operatives required by this scheme is aimed primarily at technical competence for temporary traffic management. It is intended to provide awareness to carry out work in a safe manner; however, it remains the responsibility of the organization to determine and implement safe systems of work.

1.8 TTM training for other NHSS

Where other Sector Schemes require TTM, organizations registered to those sector schemes should satisfy themselves that operatives have obtained the level of qualification relevant to the activities they are required to undertake.

1.9 Fraudulent certificates/cards

ACTION IN THE CASE OF SUSPECT CERTIFICATES/CARDS THE FOLLOWING ADVICE IS GIVEN:

SUGGESTED ACTION BY ORGANIZATION

- On being presented with a suspect certificate/card (check logo, print quality, colour, layout, spelling, likeness of photograph)
- Take possession of certificate/card.
- Call a member of the body that issued the certificate/card. A member of the team will help you confirm your suspicions or otherwise:

If the certificate/card appears to be fraudulent:

- Retain the certificate/card if possible
- Make photocopies of front and back
- Record certificate/cardholder's name and address
- Ask certificate/cardholder where the certificate/card was obtained from
- Call the local police and report the matter
- Refuse access to site (subject to company rules).
- Forward copies of all evidence to the body who issued the certificate/card marked "SUSPECTED FRAUDULENT CERTIFICATE/CARD" with any crime number given by local police

Note: The body should in the majority of cases fully support any prosecution with technical and factual evidence.

This should help to maintain the integrity of the Highway Sector Schemes.

Appendix D

Example Register of Personnel Attainments

This appendix is not used.

Appendix E

Guidance for the Control of Monitoring and Measuring Equipment

This appendix is not used.

Appendix F

Certification Bodies Accredited for this Sector Scheme

This appendix should be addressed by the requirements of NHSS 0 (currently with UKAS to provide information on accessibility).

Information on certification bodies accredited against this scheme can be found on the UKAS website www.ukas.com. To identify the certification bodies on the website:

- From the UKAS home page
- place the cursor onto 'the search facility in top right hand corner of the page
- Type in "sector scheme No X" (including the inverted commas) (see note 1 below)
- Select certification bodies button (located immediately below the search facility)
- Left click Search
- This then lists the certification bodies that are accredited to NHSS X and their details can be found by clicking on the appropriate links.

Note 1: "X" represents the scheme number

Note 2: This process will not identify certification bodies that do not have "sector scheme No X" in their scope, but which may have other sector scheme descriptions such as "NHSS X" or "sector scheme X". To complete the full list of accredited CBs it will be necessary to repeat the process (at least twice) by typing in other sector scheme descriptions such as "nhss X" or "sector scheme X" as appropriate at bullet point 3. This should then list the certification bodies who are accredited to the scheme and their details can be found by clicking on the appropriate links

Note 3: Advice on the current accreditation status of certification bodies to assess against this document should be sought from UKAS (Tel 01784 429000).

Appendix G

The Role of Certification Bodies and Auditor Qualifications

1. Role of certification bodies

- 1.1 The independent assessment of conformity of organizations to the requirements of ISO 9001:2015 and this SSD rely upon the assessment expertise, competence and capability of accredited certification bodies.
- 1.2 The certification body role is to ensure, through assessment, that organizations have management systems in place which address the enhanced ISO 9001:2015 requirements detailed in this SSD.
- 1.3 Certification bodies shall ensure they are all represented by at least one nominated individual lead certification body (or deputy) who will represent all certification bodies at meetings of this Sector Scheme Advisory Committee. This does not preclude other certification bodies from attending, as appropriate.
- 1.4 Certification bodies shall be represented at the National Highway Sector Scheme Liaison Committee.

2. Certification body accreditation

- 2.1 To ensure consistency and to demonstrate independent capability certification bodies are required to be accredited against the requirements of ISO 17021 by the United Kingdom Accreditation Service (UKAS) or by an equivalent International Accreditation Forum (IAF) member for assessment and registration of ISO 9001:2015 quality management systems interpreted in accordance with this NHSS or other international management scheme.

3. Assessor and assessment team competence

- 3.1 The certification body must be able to demonstrate to the United Kingdom National Accreditation Body or any recognised European National Accreditation Body or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory (UKAS) that it possesses and can maintain the necessary assessor experience and technical understanding of the NHSS12D covered in the scope of this Sector Scheme. These assessment areas shall include, but not be limited to the following:
 - i) Knowledge, understanding and application of this SSD (See Appendix G1).
 - ii) Knowledge of the Specification for Highway Works and design standards requirements for temporary traffic management.
 - iii) Works and design standards requirements for temporary traffic management.
 - iv) ability to demonstrate that they have ongoing suitable health and safety training which shall include appreciation of the risks involved in the installation in the specific aspects of the scheme as appropriate.
- 3.2 The certification body must also ensure that assessors have sufficient knowledge of health & safety requirements related to working on live highways where appropriate, knowledge of temporary traffic management, working in confined spaces and working at height for assessment of guidance provided on these aspects.

- 3.3 Guidance to Certification Bodies on assessor competence related to this Sector Scheme is given in the certification body guidance document – National Highway Sector Scheme Accreditation, Registration and Assessment Guidance for Certification Bodies – NHSS 0 Part 4.
- 3.4 The certification body is responsible for ensuring that the assessment teams possess demonstrable expertise in the assessment areas detailed above as they relate to the scope of their client's activities under assessment.
- 3.5 Minimum assessor qualifications and competence for assessment of this NHSS, which may reside in a single individual, or in an assessment team are as follows:
- i) International Register of Certificated Auditors (IRCA) Registered ISO 9001:2015 Lead Auditor qualification or certification body equivalent and demonstrable expertise in leading assessment teams.
 - ii) ISO 9001:2015 assessment experience
 - iii) technical assessment competence in the temporary traffic management detailed in 3.1 above.
 - iv) knowledge, understanding and application of this SSD.
 - v) It is recommended that assessors should pass the CITB Health & Safety Touch Screen Test (Highways) to obtain a CSCS visitors card.
 - vi) demonstrable knowledge of the Specification for Highway Works and design standards requirements for TTM.
 - vii) each individual has suitable health and safety training which includes appreciation of the risks involved in this sector scheme activity.

4. Conduct of Assessments

- 4.1 Certification Bodies shall ensure that at least a third of the initial and continuing assessment duration is devoted to assessing operational activities at sites and locations where temporary traffic management works covered by the scope of this Sector Scheme are being undertaken.
- 4.2 Certification Bodies shall make every endeavour to ensure that during a three-year certification cycle there is evidence of assessment of all temporary traffic management activities covered by the organization's scope of registration.
- 4.3 Certification Bodies shall undertake surveillance visits at intervals of not greater than one a year.

5. Format and Content of Registration Certificates

- 5.1 Certificates of registration issued by Certification Bodies, which include within the scope of registration reference to compliance with this Sector Scheme, shall contain the content detailed in Appendix K of this SSD.
- 5.2 The National Highway Sector Scheme Logo shall be included in any Certificate of Registration which has this Sector Scheme detailed in the Scope of Registration. The logo shall only be used and applied in the manner detailed in any conditions of use which may be published from time to time; NHSS 0, part 2.1, Annex F.

6. National Highway Sector Schemes Schedule of Suppliers

- 6.1 Certification Bodies shall monitor the National Highway Sector Schemes Schedule of Suppliers posted at <http://www.scheduleofsuppliers.co.uk/> to ensure equivalence between their clients registered to this Sector Scheme and the listed organizations.
- 6.2 Certification Bodies shall provide to National Highway Sector Schemes Schedule of Suppliers administrator at Lantra details of registered organizations whose scope of registration against this Sector Scheme has ceased to be applicable within 10 working days of that situation occurring.
- 6.3 Certification Bodies shall audit the organization to ensure that the organization has recorded their NHSS registration on the Lantra Schedule of Suppliers web-based register (See 4.4 and 8.2.1 of this NHSS).

7. Reporting on each Scheme Performance

- 7.1 Each Lead certification body shall provide to the Chairperson of the SSACS a summary report which includes as a minimum:
- i) observations and comments on the implementation and assessment findings related to the Sector Scheme including any omissions or deficiencies in its scope.
 - ii) recommendations for improving/clarifying the SSD.
 - iii) Feedback on deficiencies against contract documentation.
 - iv) A list of organizations whose scope of registration includes this Sector Scheme for comparison against the Schedule of Suppliers.
- 7.2 A written report is to be provided to the Secretary of this Sector Scheme Committee at least 2 weeks prior to the NHSS 12D scheduled meeting.
- 7.3 Additionally, the lead CB shall provide a similar report to the Chairperson of the National Highway Sector Scheme Liaison Committee, which shall be available at least a week before each National Highway Sector Scheme Liaison Committee meeting (normally held each June/July and November/December), so that it may be considered during the Liaison meeting.

Note 1: It is recommended that the report should be a combined report prepared by the nominated certification body (Lead CB) to provide assurance that confidentiality is maintained.

Appendix G1

Guidance to Assessors' and other Auditors' Competencies Requirements for National Highway Sector Scheme 12d

Section 1 - General information

The information contained in this appendix has been collated by the NHSS committee to provide CB and other assessors with the background information that is considered appropriate for carrying out an assessment against ISO 9001:2015 and these NHSS documents.

Section 2 – Knowledge requirements

2A General background to this NHSS

- i) The reasons for development of the National Highway Sector Schemes (NHSS0 and this scheme in particular where its absence has caused concern/problems.
- ii) To whom the scheme applies; see Scope in this NHSS document.
- iii) Contact details of those that can offer scheme specific assistance.
- iv) An overview of the highway infrastructure that the scheme applies to.
- v) The range of contracts that the scheme can apply to.
- vi) Specific types of works that the scheme applies to; see Scope in this NHSS document and also Appendix L in this NHSS.
- vii) Definitions and terminology which are particular to the scheme; see section 3 of this NHSS.
- viii) Routes to competency of personnel (including management, supervisors and other employees) delivering the scheme services.

Information/guidance is contained in Appendix C of the document, however the organisation's training administrator should have this information available (assessors should also be aware of training and competency assessment requirements available from Awarding Bodies such as Lantra who should be able to assist

- ix) Overview of important reference documentation applicable to the scheme, section 2 and Appendix B of the document provides some information.
- x) Knowledge of relevant international, European and British standards, in particular those relating to temporary traffic management. Familiarity with statutory requirements, codes of practice, Traffic Signs Manual (particularly Chapter 8), SHW especially Series 100 and notes for guidance for the SHW, the Design Manual for Roads and Bridges and Interim Advice Notes issued by Highways England.
- xi) Relationship with other NHSS and their applicability to this scheme.

2B Summary of where the scheme interprets sections 4 to 10 of ISO 9001:2015

The summary provides a list of those clauses where interpretation has been provided. These are indicated by “Y” in the table.

Section/Clause	Specific particular requirements Yes/No	Comment/Requirement
4. Context of the organization		
4.1 Understanding the organization and its context	N	Check annually that the organization has determined issues relevant to its purpose and strategic direction and has monitored and reviewed the information. Especially check and seek evidence relating to external context.
4.2 Understanding the needs and expectations of interested parties	Y	Check annually that the organization has determined interested parties, their requirements and is monitoring and reviewing the data. Seek evidence.
4.3 Determining the scope of the quality management system	Y	Check annually the availability and scope of the relative elements of the NHSS that the organisation considers apt. Check documented information
4.4 Quality management system and its processes. (4.4.1 & 4.4.2)	Y	Check annually, by the CB Auditors and other Auditors. Schedule of Suppliers website to ensure NHSS certificate of registration and all other information provided is current.
5. Leadership		
5.1 Leadership and commitment		
5.1.1 General	Y	Check policy documented information. Ensure that policies are being correctly implemented, communicated and understood. Seek evidence
5.1.2 Customer focus	Y	Ensure that the organization has determined all necessary applicable statutory and regulatory requirements for contract compliance. This may include supplementary services such as recycling, final disposal, equipment inspection, licensing requirements for driving (HGV)etc. Ensure customer feedback documents are in place during and on completion of the contract to the requirements of the organization’s quality systems. Seek evidence that organization is meeting and maintaining customer requirements
5.2 Policy		
5.2.1 Establishing the quality policy	Y	Ensure objectives are covered in quality plan and in policy documented information
5.2.2 Communicating the quality policy	N	Ensure that policy documented information is available as necessary and is being communicated, implemented and understood.

Section/Clause	Specific particular requirements Yes/No	Comment/Requirement
		Seek evidence.
5.3. Organization roles, responsibilities and authorities	Y	Ensure there is an organization plan which covers responsibility/authority in accordance with the requirements of the SSD. Seek evidence. Ensure that personnel with contract specific responsibilities and authorities have been identified and are recorded. Seek evidence. Ensure that the organization management have appointed a member(s) with the appropriate responsibility and authorities. Seek evidence. Ensure that integrity is maintained. Seek evidence
6. Planning		
6.1 Actions to address risks and opportunities		
6.1.1.	Y	Seek evidence that documented information is in place to address risk and opportunities and is operational.
6.1.2	N	
6.2 Quality objectives and planning to achieve them		
6.2.1	N	Check documented information is in place and meets requirements
6.2.2	Y	Check documented information is in place and meets requirements. Seek evidence that quality planning is in place and evaluated. See Appendix A
6.3 Planning of changes		
7. Support		
7.1 Resources		
7.1.1 General	Y	Ensure contract/tender review is in place. Review provisions of resources to confirm they are suitable and include providing the defined personnel for contracts
7.1.2 People	Y	See Appendices A and C
7.1.3 Infrastructure	Y	Review facilities and process equipment to confirm they are suitable for the scope of registration.
7.1.4 Environment for the operation of processes	Y	In process audit. Checks to include environmental condition records, plant maintenance sheets, access equipment certification and induction records.
7.1.5 Monitoring and measuring resources		
7.1.5.1 General	Y	Items requiring monitoring and measurement include temporary traffic signals and automated stop and go systems.

Section/Clause	Specific particular requirements Yes/No	Comment/Requirement
7.1.5.2 Measurement Traceability	Y	Manufacturer's guidance for the maintenance, servicing and calibration of this equipment shall be followed.
7.1.6 Organizational knowledge	Y	Seek evidence.
7.2 Competence	Y	Seek evidence. Review copies of training certificates, qualifications and identity cards and forward looking training plans. Ensure that these are in accordance with the requirements of the sector scheme documents Check sample of identity cards See Appendices C
7.3 Awareness	Y	Seek evidence
7.4 Communication	Y	Check internal and external communication processes have been established and maintained
7.5 Documented information		
7.5.1 General	Y	Check processes are in place to ensure that organization maintain up to date information on documented information. (See Appendix B for external documented information)
7.5.2 Creating and updating	Y	Ensure that all required contract specific documents are in place. Seek evidence
7.5.3 Control of documented information.		
7.5.3.1	N	Ensure that all required contract specific documents are in place.
7.5.3.2	Y	Check appropriate processes are in place for the retention and disposition of documented information
8 Operation		
8.1 Operational planning and control	Y	Check quality plan is in place and complies with 6.1. If necessary, obtain a copy of the plan as evidence. See Appendix A Check appropriate processes are in place for the retention and disposition of documented information
8.2 Requirements for products and services		
8.2.1 Customer communication	Y	Check effectiveness of communication arrangements and conformity to specific contract requirements
8.2.2 Determining the requirements for products and services	Y	Ensure that the organization has determined all necessary specified statutory and regulatory requirements for contract compliance. This may include supplementary services such as recycling, final disposal, equipment inspection, licensing requirements for driving (HGV), animal

Section/Clause	Specific particular requirements Yes/No	Comment/Requirement
		including wildlife handling etc. Check the organizations ability to meet defined contract requirements
8.2.3 Review of the requirements for products and services.		
8.2.3.1	Y	Ensure contract tender review is in place with an appropriate timescale and assessment of availability of resources. Seek evidence
8.2.3.2	N	
8.2.4 Changes to requirements for products and services	Y	Seek evidence
8.3 Design and development of products and services		
8.3.1 General	Y	Ensure contract/tender review is in place.
8.3.2 Design and development planning	Y	Seek evidence
8.3.3 Design and development inputs	Y	Seek evidence
8.3.4 design and development controls	N	
8.3.5 Design and development outputs	N	
8.3.6 Design and development changes	N	
8.4 Control of externally provided processes, products and services		
8.4.1 General	Y	Seek evidence that documented information is in place for externally provided product and services to meet specified requirements.
8.4.2 Type and extent of control	N	Seek evidence that documented information is in place. Seek evidence of effective controls.
8.4.3 Information for external providers	N	Seek evidence that purchasing requests are adequate
8.5 Production and service provision		
8.5.1 Control of production and service provision	Y	Check as part of in process audit
8.5.2 Identification and traceability	Y	Cover during procedure review and seek evidence that relevant documented information is in place
8.5.3 Property belonging to customers or external providers	Y	Seek evidence that documented information is in place.
8.5.4 Preservation	Y	Cover during procedure review. Seek evidence as appropriate
8.5.5 Post-delivery activities	N	See 5.1.2

Section/Clause	Specific particular requirements Yes/No	Comment/Requirement
8.5.6 Control of changes	N	Check documented information is in place
8.6 Release of products and service	N	Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Seek evidence.
8.7 Control of nonconforming process outputs, products and services.		
8.7.1	Y	Ensure processes are in place and have been implemented in line with contract specification.
8.7.2	Y	Check documented information.
9 Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
9.1.1 General	Y	Check planned outputs against actual outputs. Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Seek evidence. Review copy of annual management review. Ensure this contains continuous improvements to the relevant sector scheme
9.1.2 Customer satisfaction	N	Seek evidence, that organization is meeting customer requirements.
9.1.3 Analysis and evaluation	N	Check processes are achieving planned outputs. Check analysis of data has provided information to demonstrate effectiveness of QMS and evaluation of continued improvement
9.2 Internal audit		
9.2.1	Y	Check internal audits are being carried out and ensure corrective actions have been made.
9.2.2	Y	Check frequency of Quality Plan
9.3 Management review		
9.3.1 General	Y	Review copy of annual (or six monthly) management review. Ensure this contains reference to the relevant sector scheme.
9.3.2 Management review inputs	N	
9.3.3 Management review outputs	Y	Seek evidence that the output and actions are considered by top management at regular intervals
10. Improvement		
10.1 General	Y	Check effectiveness of improvement
10.2 Nonconformity and		

Section/Clause	Specific particular requirements Yes/No	Comment/Requirement
corrective action		
10.2.1	N	Seek evidence that documented information is in place and operational.
10.2.2	N	
10.3 Continual improvement	Y	

2C – Overview of this NHSS in terms of industry requirements and working practices

In addition to an assessor/auditor having a general appreciation of the requirements and processes required by ISO 9001:2015 (latest issue), a CB assessor or internal auditor should be aware of the following when completing an audit:

- C1 - Safe Working Practices
- C2 – Training, qualifications and assessment of competency
- C3 - Maintain equipment
- C4 - Public protection
- C5 - Environment
- C6 - Testing/inspection/workmanship
- C7 - Health and Safety
- C8 – Equal Opportunities

C1 – Safe Working Practices

- Correct Personal Protective Equipment Worn
- Equipment approved and suitable for use
- Personnel to be fully aware of their H&S obligations
- Must be able to read and understand their job sheet, risk assessment; understand English.
- Method Statements/work procedures.
- Risk Assessment.
- Induction card/skills card.
- Vehicles/loads are inspected and drivers are qualified
- Site visit including assessment of installation (if possible) and techniques verified.
- Awareness of relevant H&S requirements as applicable to temporary traffic management
- Aware of current best practice

C2 Training, Qualifications and Assessment of Competence

- Have achieved appropriate training appropriately certificated
- Have been assessed as competent within their scope of works (e.g. scheme specific assessment/N/SVQ)
- Has been inducted on specific equipment (by employer) or if appropriate (i.e. under training) is supervised by a qualified person.
- Aware of and understand the relevant requirements of this NHSS.
- Aware of and understand the provisions for implementation of training in this NHSS.
- Has been inducted on site specific H&S issues. (Daily if necessary)
- Hold the relevant smart skills card.

C3 Maintain Equipment

- Relevant personnel are aware of LOLER and PUWER requirements
- Maintenance checklists are available and have been completed as required (e.g. on a daily basis).

C4 Public Protection

- Personnel are aware of the need to protect public during installation operations
- Relevant personnel have been trained to carry out a visual site risk assessment to ensure that the public (including personnel employed by the customer/client) will not be put at unnecessary risk during installation/maintenance operations
- Where appropriate relevant personnel are aware of the Traffic Officer role
- Personnel have identification
- The organization (company) has a complaints process in place.

C5 Environment

Auditors should be sufficiently competent to make general observations on the effectiveness of the organization's provisions in respect of the environment and in particular management of waste and its reduction.

C6 Inspection

Auditors should be aware of the importance of inspection.

C7 Health and Safety

Auditors should be aware of the Health and Safety at Work Etc. Act 1974, associated Health and Safety Legislation, as it applies to this sector scheme, *and customer H&S requirements*.

C8 Equal Opportunities

Assessors/auditors should be aware of and understand the need for effective diversity management, including the implementation of equal opportunities and avoidance of disability discrimination as it applies during the provision of services. Assessors/auditors should understand what is involved and how it can be encapsulated in company procedures.

Appendix H

Organization Acceptance and Guidelines for New Entrants

1.0 Organization Acceptance

- 1.1 For work carried out on roads managed by Highways England, the Welsh Government, Scottish Government and DRD (Northern Ireland), only those organizations holding a valid Certificate of Registration for work within the scope of this SSD will be accepted as complying with Clause 104 and Appendix A of the Specification for Highway Works.
- 1.2 For work carried out on roads managed by other highway authorities, acceptance of the organization will depend on the requirements of the contract.

2.0 Guidelines for New Entrants - Requirements

- 2.1 These guidelines have been drawn up to provide organizations with a method of entry into the Scheme. The guidelines also provide rules by which Certification Bodies and Clients are able to evaluate these organizations for compliance and acceptability for carrying out temporary traffic management measures.
- 2.2 Organizations must have the required experienced and qualified operatives and supervisory staff who meet the requirements of this Sector Scheme. (In respect of qualified TM Operatives a minimum of two registered operatives will meet the requirement.)
- 2.3 Organizations must have applied for registration with a certification body that is accredited by UKAS to audit against this Sector Scheme. Organizations will have to demonstrate that they have been audited for office based and site based activities.
- 2.4 In addition to any requirement for the organization to notify the Secretary of the Sector Scheme, as detailed in paragraph 4.1 of section 4 of this SSD, the organization shall record their registration to this sector scheme on the Schedule of Suppliers website <http://www.scheduleofsuppliers.co.uk/> upon receipt of the certificate issued by their Certification Body to confirm their accreditation and thereafter check its suitability annually.

3 Operatives with existing qualifications

- 3.1 Operatives with NHSS 12A and/or 12B qualifications will need to complete 12D training modules other than the qualification relating to low speed dual carriageways (M3). With regard to assessments, some of the evidence within the 12A/B logbook may be used as accredited prior learning but this is subject to knowledge checks so that the Assessor can be confident that the candidate is competent.

4. Trade Associations

- 4.1 Membership of a trade association is not a requirement of this Sector Scheme.

Appendix J1

Feedback to Committee Chairperson

Any observations or feedback *relating to the content of this document or the process described* herein should be addressed (using the form below) to:

Committee Chairperson
Sector Scheme Advisory Committee for NHSS 12D
C/o Lantra
Lantra House
Stoneleigh Park
Nr. Coventry
CV8 2LG

Tel: 02476858428
Email nhss@lantra.co.uk

Issue Identified:

Suggested Action:

Name:
organization:
Address:

Contact details:

Date:

Note: In many instances, J1 forms can be responded to without the need for them to be considered by an NHSS committee, those requiring a more detailed response will be dealt with at the next meeting of the committee as part of the review of the document. If the J1 form contains information that is critical, then exceptionally action can be taken prior to the meeting by the chairperson for instance by arranging an extraordinary meeting of the NHSS advisory committee. The secretary will normally advise the originator of receipt of the J1 document and when the next meeting is expected to be held.

Appendix J2

Feedback to Certification Bodies &/Or Notified Bodies

Feedback relating to certification matters including alleged deficiencies in the product provided under this scheme should in the first instance be taken up with the organization. In the event that the matter cannot be satisfactory resolved written complaints should be made to the organization's certification body and/or notified body as appropriate, detailing the problem identified.

Issue Identified:

Organization's Details:

Name:

Address:

Feedback

Name:

organization:

Address:

Date:

Signed:

Appendix J3

Feedback to Client Bodies on Policing of National Highway Sector Scheme Registration

Feedback relating to policing of National Highway Sector Schemes registration matters in respect of alleged contractual mismanagement/oversights or alleged omissions in contract requirements by client organisations, their management agents or principle contractors where contracts can be or may have been awarded to organisations not registered to this National Highway Sector Scheme, or where contracts are alleged to have omitted requirements for compliance with this National Highway Sector Scheme should be referred back to the client body through an independent third party e.g. a trade association. Details of the alleged mismanagement or omission should as a minimum include the following details:

- a) Contract identified

- b)
 - i) Details of omission in contract or

 - ii) organization Identified as being awarded the contract or

 - iii) Both i) and ii) above

- c) organization raising feedback / issue
Name:
organization:
Contact details (Address, email address, telephone etc.)

- d) Date: Signed:

Highways England Roads/Contracts – Route for Feedback

Feedback should be sent by email to Standards Enquiries@highwaysengland.co.uk

Other Highway Authorities and Clients

Feedback should be sent back to the relevant project manager or head of division responsible for the contract works. Such information or relevant contact details may be available on that highway authority's or client's web-site.

Health and Safety Executive

Advice about reporting a complaint about the application of the health and safety recommendations related to a specific incident is available at <http://www.hse.gov.uk/contact/workplace-complaints.htm>

Appendix K

The Interpretation of Certificates Issued by Certification Bodies

Certification Bodies (CB) issue Certificates of Registration (CoR) in a variety of styles as suits their particular house style. They may consist of a single CoR containing all the requisite information or the CoR may be a standard certificate with appendices or addendum attached providing the full scope of certification (services) and the location(s) where these services are offered by an Organization. In the latter case, the CoR refers to the relevant appendices or addenda, which form an integral part of the certificate.

A valid National Highway Sector Scheme (NHSS) CoR is only issued by a CB accredited by UKAS against the relevant NHSS (See Appendix F of this document) or by a recognised equivalent accreditation body.

As a minimum a valid CoR will contain the following information:

- The scope of registration including specific registration to BS EN ISO 9001:2015 and this NHSS including the scheme title e.g. National Highway Sector Scheme 12D for Temporary Traffic Management on Rural and Urban Roads
- The registration of each and every location (depot/area/office) to which the CoR is applicable
- The services/product offered by the organization at each location identified on the CoR e.g. for NHSS 12D for Temporary Traffic Management on Rural and Urban Roads
- Logos for the NHSS, UKAS (or equivalent) and the CB
- The name and address(es) of the organization
- The validity of the certificate
- A unique reference number/code
- The signature of a relevant CB official with his name and title

Note where an organization has an extension to scope to include for this NHSS, the expiry date of the certificate remains as 3 years after their initial assessment/or triennial assessment and not 3 years after obtaining the extension.

	Activity	Primary Category (select)	Secondary Category (select)	Tertiary Category (select)

Categories of services offered are;

1. Mobile works and Short-Duration Works
2. Static works
3. Dual carriageway works
4. Convoy works
5. Multiphase traffic signals

Appendix L

Guidance for Clients

1. General

It is recommended that Clients/Highway Authorities acknowledge the requirements of this sector scheme as a contract requirement.

This guidance is primarily of relevance to Clients/Highways Authorities and their supervisory staff.

2. Specific Guidance

- 2.1 It is necessary for the Client/Highway Authority to ensure that all those involved in temporary traffic management operations are appropriately trained and skilled, whether or not they are directly employed. The modular training scheme described in this scheme document is designed to cater for the various alternative situations, ranging from the employment of a lone worker cutting hedges to a traffic management contractor for a major highway contract.
- 2.2 For the Sector Scheme to achieve its objectives it is essential that clients, either directly or via the agenda and individuals they employ that the requirements of this document are complied with. This includes ensuring that the TTM organizations, employed directly or indirectly as sub-contractors, are registered to the Sector Scheme, and that all TMOs are appropriately trained and skilled however the latter are employed. Supervisory staff shall be instructed to carry out spot checks of Smart Skills Registration Cards. The Client / Highway Authority shall always ensure that a detailed risk assessment for the specific site has been undertaken and incorporates an assessment of temporary traffic management requirements as described in the Annex Form 1 to Appendix A.
- 2.3 Specific attention is drawn to Appendix M which states that it is not intended that organizations registered to another NHSS where TTM is required should also be registered to NHSS12D In particular the arrangements between NHSS12D and NHSS8 are that NHSS 8 has adopted the training requirements of 12D as set out in the NHSS 8 HE Training Specification courses 302.1 and 302.2 with the competency assessment element being covered in the NHSS 8 / HERS Occupation and Competency Matrices under Found06, as well as under the Highway Electrical NVQ's.
- 2.4 Lantra have established a website of registered organizations that have been registered to National Highways Sector Schemes access to the website is via <http://www.scheduleofsuppliers.co.uk/>
- 2.5 Client checklist:

Pre Contract Award		
1.	Is the organisation listed on the Schedule of Suppliers website?	
2.	Is there an ISO 9001 certificate present?	
3.	Does the ISO 9001 certificate cover NHSS 12D?	
4.	Is the Certification Body that issued the certificate accredited by UKAS for ISO9001?	
5.	Is the Certification Body that issued the certificate accredited by UKAS for assessments to NHSS 12D?	
6.	If the answer to 4 or 5 is No – is the accrediting body equivalent to UKAS?	
7.	Does the scope of works of the ISO 9001 certificate, including NHSS 12D cover the actual works intended to be carried out under the contract?	

Post Contract Award		
8.	Confirm validity of skills / registration cards (skills and in date) of personnel.	
9.	Assess ongoing performance of the organization (including sub-contractors) in relation to the scope of the works.	
10.	Is the organisation intending to sub-contract any of the works?	

If the answer to 10 is Yes – repeat Question 1 – 9 for that organisation, if necessary replacing NHSS 12D by the relevant NHSS i.e. including NHSS 12D and also other NHSS's.

3. Road Death Investigation

Attention is drawn to the ACPO Road Death Investigation Manual, which indicates that in the advent of a collision or other road incident particularly one where there has been a fatality, the police may ask the relevant highway authority to provide information on the state of the road.

In respect of this National Highway Sector Scheme information that is likely to be sought includes the following:

- a) High level general policy statements
- b) Specific local maintenance policies and standards
- c) Authority procedures
- d) Works records including the results of any test carried out
- e) The quality of systems for traffic management
- g) Skidding resistance testing

An Authority may be required to present data to the Police at short notice in case of a fatality on the network. It should ensure that it has, or can obtain, the relevant information from the Contractor.

Note: Highways England have provided an Interim Advice Note on road death investigation (IAN166/14), <http://www.standardsforhighways.co.uk/ha/standards/ians/index.htm>

4. Corporate Manslaughter and Corporate Homicide Act 2007

Advice from HSE regarding corporate manslaughter and corporate homicide is available on the HSE web-site, the following extract has been copied from the HSE web-site.

“The Corporate Manslaughter and Corporate Homicide Act 2007 is a landmark in law. For the first time, companies and organisations can be found guilty of corporate manslaughter as a result of serious management failures resulting in a gross breach of a duty of care.

The Act, which came into force on 6 April 2008, clarifies the criminal liabilities of companies including large organisations where serious failures in the management of health and safety result in a fatality.

- The Ministry of Justice leads on the Act and more information is available on its Corporate Manslaughter and Corporate Homicide Act 2007 webpage.

HSE welcomes and supports the Act. Although the new offence is not part of health and safety law, it will introduce an important new element in the corporate management of health and safety.

Prosecutions will be of the corporate body and not individuals, but the liability of directors, board members or other individuals under health and safety law or general criminal law, will be unaffected and the corporate body itself and individuals can still be prosecuted for separate health and safety offences.

The Act also largely removes the Crown immunity that applied to the previous common law corporate manslaughter offence. This is welcome, and consistent with Government and HSE policy to secure the eventual removal of Crown immunity for health and safety offences. The Act provides a number of specific exemptions that cover public policy decisions and the exercise of core public functions.

Companies and organisations should keep their health and safety management systems under review, in particular, the way in which their activities are managed and organised by senior management. The Institute of Directors and HSE have published guidance for directors on their responsibilities for health and safety. 'Leading health and safety at work: leadership actions for directors and board members' (INDG417)

Contact us

For specific questions about the act and guidance:

- Ministry of Justice

Further information on the application of corporate manslaughter to health and safety issues can be found at:

<http://www.hse.gov.uk/corpmanslaughter/index.htm>

Note: HSE now operates a Fee for Intervention (FFI) cost recovery scheme, which came into effect on 1 October 2012.

Under The Health and Safety (Fees) Regulations 2012, those who break health and safety laws are liable for recovery of HSE's related costs, including inspection, investigation and taking enforcement action. For information may be obtained from the HSE web-site (www.hse.gov.uk/fee-for-intervention/index.htm)

Appendix M

Guidance for organizations

This guidance is primarily of relevance to National Highway Sector Scheme Committees and those organizations registered to these schemes. The guidance is designed to enable them to decide how this scheme may be used to provide installation of safe temporary traffic management operations in rural and urban situations as part of their overall execution of works for road purposes. This Appendix should be read in conjunction with Appendix L "GUIDANCE FOR CLIENTS/HIGHWAY AUTHORITIES".

^(06/17)1 National Highway Sector Schemes likely to be directly affected by this document are:

Scheme 2A	General Fencing
Scheme 2C	Environmental Barrier
Scheme 7	Road Marking and Road Studs
Scheme 8	The Overseeing and / or Installation and / or Maintenance of Highway Electrical equipment and supporting works
Scheme 10B	Permanent Vehicle Restraint Systems
Scheme 13	Surface Dressing
Scheme 16	Asphalt
Scheme 17/17B	Vehicle Recovery
Scheme 18	Landscaping
Scheme 19	Corrosion Protection
Scheme 23	Small Scale Pavement Repairs
Scheme 30	Installation, Maintenance and Repair of Modular Paving

- 2 It is necessary for the organization to ensure that all those involved in temporary traffic management operations are appropriately trained and skilled, whether or not they are directly employed. The modular training scheme described in this scheme document is designed to cater for the various options available, ranging from the employment of a lone worker to a traffic management contractor for a major highway contract.
- 3 It is not intended that organizations registered under another NHSS should also be registered to SSD 12D, but rather that the NHSS Committee considers the available options and provides appropriate advice to organizations on what they need to do to meet their individual specific requirements and work commitments in respect of temporary traffic management for their field of operations. ^(01/12) In particular the arrangements between NHSS12D and NHSS8 are that NHSS8 has adopted the training requirements of NHSS12D as set out in NHSS 8 HE Training Specification Courses 302.1 and 302.2; with the competence assessment element being covered in the NHSS8 / HERS Occupation and Competency Matrices under Found06, as well as under the Highway Electrical N/SVQ's.
- 4 For many operations it may be sufficient for the organization to ensure that a member of the team is registered appropriately as a RLMO or RTMO and has successfully undergone the relevant training and competency assessment requirements for the type of temporary traffic management to be implemented. In other instances it may be appropriate for the whole team to have gained qualifications as RLMOs and/or RTMOs in their own right. Only those members of a gang who are responsible for installing, maintaining and removing temporary traffic management will need to be registered for 12D training and assessment. The organization shall include such information in their quality plan.
- 5 For routine Highway Maintenance work it is recommended that organizations carry out their own Temporary Traffic Management assessments which may incorporate the use of Annex A. This will then provide the basis for agreement of the temporary traffic management need between the client and supplier for each site. Finalised details should be recorded in the quality plan where applicable.

- 6 Where operationally the works are extensive, or are to be carried out on roads other than rural and urban roads, the employment of a specialist TTM supplier to set up and remove TTM measures will need to be considered. This will form part of the organization's and client's risk assessments and be incorporated into the organization's quality plan for carrying out the works.
- 7 For work on motorways and dual carriageways operated by Highways England, it is mandatory for the temporary traffic management measures to be installed, maintained and removed by TTM suppliers registered to sector schemes 12A/B. Other highway authorities operating similar roads in the UK may have similar requirements.
- 8 For work on other roads managed by Highways England requires registered 12D TTM suppliers to be employed.
- 9 A staged approach may be adopted for the training and accreditation of operatives for organizational compliance to the requirement of this sector scheme. The organization or sector scheme committee shall consider the ramifications of any decision taken that a staged approach may have.
- 10 Other National Sector Schemes affected by the training and assessment requirements of this sector scheme should record their implementation criteria which will reflect the individual industry's ability to accommodate the 12D requirements within their scheme document. Specific competency needs should first be discussed and agreed with the SSD12D Committee prior to inclusion within their individual sector scheme documents.

Note:

Should TM Operatives be working adjacent to live highways it is a requirement that personnel pass the specialist test questions for Highway Works included in the CSCS or the ECS Highway Electrical Version Health & Safety touch screen test.

Appendix N

Guidance for Mobile Works Operatives and organizations not Registered to Another NHSS

This guidance is primarily of relevance to operatives that have successfully achieved Module M1 described in Appendix C of this document and who undertake mobile works operations only and for organizations for whom they may work.

1. It is not intended that these operatives should embrace the sector scheme and be audited against this scheme and ISO 9001:2015, but rather that they heed the need to undertake training to attain a basic understanding and implementation of temporary traffic management on urban and rural roads for their own and other road users' safety and become registered as Moving Works Operatives. It is recommended that operatives should carry out their Temporary Traffic Management assessment using the Form 1 included in the Annex to Appendix A
2. However, it is possible that certain MWOs will be employed by organizations that are registered to ISO 9001:2015 or have implemented ISO 9001:2008 procedures, in which case the training and Temporary Traffic Management assessments associated with this document should be incorporated into their quality management system. Where the operative is employed by organisations that are not registered or do not have implemented procedures, it is recommended that such organisations adopt the principles of this sector scheme.
3. It is also envisaged that organisations (e.g. local authorities) may contract directly with Moving Works Operatives such as farmers. It is recommended that the operative familiarise themselves with the requirements of this scheme and in particular the guidance contained in Appendix L – Guidance to Clients/Highway Authorities; it is also recommended that clients work within the recommendations contained in this document particularly with respect to assessment of risk.

Clients / Highway Authorities may need to be aware of the standards of other sector schemes.

Training

4. Following completion of Module 1 (see Appendix C), operatives will be issued with a Smart Skills Registration Card, which will be valid for 5 years. However, the operative will be required to renew it within the 6 months prior to its expiry date

Information on availability of courses can be obtained from Lantra (tel: 02476858443) www.lantra.co.uk or email nhss-highways@lantra.co.uk

Further Information

5. Current versions of National Highway Sector Schemes can be downloaded from the UKAS website www.ukas.com. The documents are in the publications section.

How to Register on the Schedule of Suppliers

Lantra hosts the register of organizations on their website <http://www.scheduleofsuppliers.co.uk>. This is a self-registration list and it is a requirement of this scheme that organizations register their details on this website and keep them up to date; Certification Bodies will check that the organization is registered on the website together with all relevant information, including a pdf copy of the certification of registration that the Certification Body issues and any other specific documentation to be uploaded specified by this SSD, prior to annual and surveillance visits

The process for registering on the Schedule of Suppliers can be found in the user guide which is available to download using the following link: <https://www.scheduleofsuppliers.co.uk/node/61>

Lantra will check that the relevant document(s) have been uploaded (see note 1) and that the registration details (see note 2) have been filled in. Once complete the information will be published and appear on the Schedule of Suppliers website and will be searchable.

Note 1: It is the responsibility of companies registering on the site to enter their own details and data which would then be checked by certification bodies during any subsequent company audit. Lantra do not check the content of the records going onto the site and accept no liability for the information being entered. However, Lantra will continue to check that your company ISO certificate (also HERS certificate if registering for NHSS 8) has been uploaded before approving the registration.

Note 2: Your certification body Assessor should check your entry prior to each surveillance or assessment visit to you to ensure that you have recorded your registration and the details are correct.

Note 3: You should review/update your registration (It is recommended that this done annually).

Note 4: Where work is contracted to a public body (e.g. a local highway authority acting for example as a "Contracting Authority"), or where there is a business restriction in place limiting the extent where a local highway authority operates, the NHSS registered organization (highway authority) when completing their registration should under the section "Business Summary" state that "Works carried out are only within the area of the [highway] Authority for in-house requirements only" or as a "Service provider to", and under the section for "Business Description" provide the statement "Local Government trading account" or similar text. In this instance it would not be appropriate for the NHSS registered organization to complete the section "What areas do you cover?".

Note 5: Any queries should be sent to the SoS team at scheduleofsuppliers@lantra.co.uk

Appendix P

Not Used.