

**National Highway Sector Schemes for
Quality Management in Highway Works**

Scheme 13

**Particular Requirements for the Application of ISO 9001:2015 for
the Supply and Application of Surface Treatments to Road Surfaces**

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to Road Surfaces

Endorsed for publication by the Chairman of the SSAC

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Document Control

Issue Statement

Issue 1 [9001:2015]
Issue 2 [9001:2015]

September 2016
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Issue	Amendments
Issue 2 [9001:2015]	Asphalt Preservation Systems included in Scheme Scope. <u>Appendix C updated</u> Table 1: updated to note CSCS ceased issuing the TRAINEE CRAFT & OPERATIVE Red Card in August 2016. Same applies to the TRAINEE SUPERVISOR / MANAGER Red Card. Note 8 updated to recognise there is now a Level 2 NVQ Certificate in Plant Operations Sweeping, Cleaning and Clearing qualification.

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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

- ADEPT Association of Directors of Environment, Economy, Planning and Transport (formerly CSS)
- HE – Highways England
- HTMA – Highways Term Maintenance Association
- IoCW - Institute of Clerk of Works
- MPA - Mineral Products Association
- RSTA – The Road Surface Treatments Association
- SCOTS – Society of Chief Officers of Transportation in Scotland
- SGS United Kingdom Ltd (Lead Certification Body)
- Transport NI - Transport Northern Ireland
- UKAS – United Kingdom Accreditation Services

b) Corresponding Members

- British Board of Agreement (BBA)
- BSI Management Systems
- DNV Certification B.V.
- Exova B M TRADA Ltd
- Lloyds Register Quality Assurance Ltd
- Local Government Technical Advisors Group
- National Quality Assurance Ltd
- National Standards Authority of Ireland
- PTS Ltd
- Transport Scotland
- Transport Wales

Exclusion of Liability

The Sector Scheme Advisory Committee for NHSS 13

- 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.

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Selection of Certification Body / Notified 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).

Note: Where the Construction Products Regulations apply and CE marking is a requirement, this can only be applied following successful evaluation of the factory production control process by a Notified Body. (Notified Bodies are appointed by the relevant authority in a Member State of the European Union and notified to the European Commission. In the UK, the relevant authority for notification under the Construction Products Regulations (CPR) is the Department for Communities and Local Government (DCLG).

Implementation

Issue 1 [9001:2015]

This document has been produced to supersede the UKAS 4 version (which relates to ISO 9001:2008) however UKAS 4 version (or a later updated version) 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 the Supply and Application of Surface Treatments to road surfaces. It sets out to identify common particular requirements/particular applications 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 as specified within the normative references – Section 2

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 provide particular requirements/applications for ISO 9001:2015 as applicable 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 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 and expert representation is drawn from all sides of industry. Each SSAC determines the particular requirements for ISO 9001 in relation to the requirements of their particular activity and come 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 international standard prior to withdrawal of the 2008/previous edition of the standard.

4 The individual NHSS technical advisory committees are overseen by the National Highways 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 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. NHSS 12D for temporary traffic management on rural and urban roads.

7 It should also be noted that this SSD is 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 Sector Scheme is listed in Appendix A of the Specification for Highway Works that is valid within the contract.

8 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 competency 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.

9 The SSD is a live document with the SSAC13 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.

10 The Secretary of the SSAC13 maintains a list of registered organizations. The Secretary can be contacted at the address given below in 13.

11 Lantra hosts the register of organizations on their website (www.lantra-awards.co.uk/schedule-of-suppliers or 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 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 Chairman
Sector Scheme Advisory Committee for the Supply and Application of Surface Treatments to Road Surfaces
Technology Centre
Glaisher Drive
Wolverhampton Science Park
Wolverhampton WV10 9RU

E-mail enquiries@rsta-uk.org
Tel: 01902 824325

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.

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 Supply and Application of Surface Treatments to Road Surfaces
Technology Centre
Glaiser Drive
Wolverhampton Science Park
Wolverhampton WV10 9RU

E-mail enquiries@rsta-uk.org

Tel: 01902 824325

Particular Requirements for the Application of ISO 9001:2015

1. Scope

This SSD together with ISO 9001 describes the quality management system requirements to be established by organizations providing the road surface treatments listed below.

The document provides particular requirements for the application of this scheme additional to the requirements of British Standard BS EN ISO 9001:2015 for this industry and shall be read and implemented in compliance with that standard. The SSD is applicable to the part of the organizations within the scope of the defined QMS carrying out the design as applicable, supply, installation, maintenance and repair of road surface treatments (See also Appendix K and NHSS 0 Part 4):

- Surface Dressing
 - machine applied
- Slurry Surfacing incorporating Microsurfacing
 - hand applied
 - machine applied
- Spray Injection Patching
- Geosynthetics & Steel Meshes
- Re-Texturing / Surface Re-profiling
 - Bush Hammering, Shot Blasting, Grooving/Grinding, Longitudinal Scabbling, Water Jetting, Fine Cold Milling
- Deep In-Situ Recycling
- Asphalt Preservation Systems

This scheme is not intended to replace other management system requirements or other contractual requirements.

The SSD shall be referenced on the Certificate of Registration issued by the Certification Bodies.

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.

3. Terms, Definitions and Abbreviations

3.1 For the purpose of this Sector Scheme Document the terms and definitions given in ISO 9000:2015 shall apply except where listed in the table below; see also NHSS 0 Part 5:

The following additional terms and definition shall apply:

Certificate of Registration	A Certificate issued by UKAS accredited Certification Body certifying that the holder operates a Quality Management System complying with ISO 9001:2015 and this document. (See Appendix K).
Client	The body for which the work is being carried out.
Contract Specification	Manual of contract Documents for Highway Works: Volume 1: Specification for Highway Works (the Stationery Office) or as specifically required in the contract documents.
Customer	The body engaging the organization for the purpose of the work described in this Document. (The main contractor where the organization is a subcontractor).
Designer	The body responsible for converting customer requirements into design outputs in the form of drawings, specifications, plans, instructions etc.
*Leading-Hand / Ganger / Charge-Hand / Foreman	<p>A senior trained and competent operative in surface treatments that as well as undertaking part of the gangs operations have supervisory responsibilities as delegated by the Surface Treatments Supervisor/Agent.</p> <p>The use of the titles varies between organizations involved in surface treatments and is a generic description.</p>
Organization	In this document, the organization or contractor supplying the Surface Treatment.
*Organization's Manager	The person named in the quality plan as having managerial responsibility for the Surface Treatments operations.

Provider	This term is the preferred term used in ISO 9001:2015 in place of “supplier”, which was used in ISO 9001:2008. The terms are synonymous.
Quality Plan	The document setting out the specific quality practices, resources and sequence of activities relevant to the project (see Appendix A).
RSTA Silver Certificate	A requirement in Appendix C for Engineers, Managers, Supervisors and Technicians to demonstrate they have received regular up-skill training every 5 years to maintain knowledge.
“shall”	“Used to indicate a requirement strictly to be followed in order to conform to the standard and from which no deviation is permitted. (See ISO Directives Part3:1997, Annex E)” (reference “guidance on terminology used in ISO 9001:2008 and ISO 9004:2000”).
Skills Card	<p>A card issued by a recognised authority, which demonstrates the level of competency, the date achieved by the holder and the validity of the card.</p> <p>In some instances it is also used as a registration card and as an identity card.</p>
SSAC 13	Sector Scheme Advisory Committee for NHSS 13
*Surface Treatments Agent/Supervisor	<p>An appropriately qualified person named in the quality plan as having the responsibility and experience to establish and control a surface treatments operation to meet the requirements of the contract document. The Surface Treatments agent/supervisor shall be site based.</p> <p>The use of the titles Agent/Supervisor varies between organizations involved in Surface Treatments and is a generic description.</p> <p>In each case the title is used to describe the person in overall charge of all operations undertaken on site and this person must be identified in the quality plan.</p> <p>On larger contracts, a Surface Treatments organization may employ experienced supervisor/s who is/are responsible for a number of sites. In this case each gang will have a leading-hand/charge-hand/ganger/foreman in charge of the operations on individual sites.</p>
*Technical Manager	The person named in the Contractor's quality plan responsible for the technical interpretation and implementation of the requirements of the Contract Specification.
Training	The acquirement of skills and knowledge by an individual attained through a structured programme/course. Upon completion of the course the individuals' competencies can then, if appropriate, be assessed by a competent person for attainment of NVQ/SVQ.
Other Terms/Acronyms	Other definitions, appropriate to the scheme. See also NHSS0 part 5

*For smaller schemes some roles may be combined.

3.2 For the purpose of this Sector Scheme Document the following abbreviations shall apply:

Abbreviations

ADEPT	Association of Directors of Environment, Economy, Planning and Transport (formerly CSS)
CITB	Construction Industry Training Board
CSCS	Construction Skills Certification Scheme
HS&E	Health Safety & Environment
NVQ	National Vocational Qualifications (NVQs) are work based awards in England, Wales and Northern Ireland that are achieved through assessment and training. In Scotland they are known as Scottish Vocational Qualifications (SVQs). To achieve the qualification candidates must prove that they have the ability (competence) to carry out their job to the required standard. NVQs are based on National Occupational Standards that describe the “competencies” expected in any given job role.
RSTA	The Road Surface Treatments Association Ltd.
RSDA	The Road Surface Dressing Association, now a sector of the RSTA.
SSAC	Sector Scheme Advisory Committee.
SSCA	The Slurry Surfacing Contractors Association, now a sector of the RSTA.
SSD	Sector Scheme Document.
TAIT	Type approval installation trial. TAITs are the means by which a producer demonstrates the ability to design and install a group or family of surface treatments meeting the required performance characteristics for a given road type as described in BSEN 12271 (Surface Dressing), BSEN 12273 (Slurry Surfacing) and PD 6689. TAITs can also be used as the basis for CE marking if required by regulation.
UKAS	United Kingdom National Accreditation Body or any recognised European National Accreditation Body or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory.

4 to 10 Quality Management System Requirements

Particular Requirements ISO 9001:2015

Introduction

This document needs to 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 particular requirements' are recorded under an ISO 9001 clause heading this means that it is not considered necessary to provide an particular requirement 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 this particular requirement.

4 Context of the Organization

4.1 Understanding the organization and its context

No specific particular requirement.

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 e.g. the general public including travelling public, emergency services and other relevant organizations and stakeholders.

4.3 Determining the scope of the quality management system

Specific requirements in addition to ISO 9001:2015 please see below:

(i) The scope of the quality management system shall cover the range of specific services that the organization is competent to supply and for which they are seeking registration.

(ii) Consideration shall be given to outsourced services and how those outsourced services are controlled.

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 SSD.

4.4.2 The organization shall have a process in place to record/update their registration to this sector scheme on the Schedule of Suppliers website www.lantra-awards.co.uk/schedule-of-suppliers 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 Lantra's NHSS Schedule of Suppliers if Certification is suspended or withdrawn. (email - scheduleofsuppliers@lantra.co.uk).

The organization shall also notify the Secretary of the Scheme of their registration to the scheme.

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, the interests of the Client and the product and service end users, e.g. the general public and travelling public, other interested parties, and shall be mindful of the Client's interaction with the end users. This 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/notified to the Client/customer/interested parties as required. (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 specific particular requirement.

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.

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 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 Clause 5.1.2 above.

6.2 Quality objectives and planning to achieve them

6.2.1 No specific particular requirement.

6.2.2 The quality objectives shall include a commitment to meet Customer and Client requirements with respect to Road Surface Treatments.

6.3 Planning of changes

No specific particular requirement.

7 Support

7.1 Resources

7.1.1 General

No specific particular requirement.

7.1.2 People

All personnel involved in Surface Treatments operations shall have adequate training and competency qualifications. This training will be documented in training records, which must be maintained. The minimum training and assessed competency requirements for personnel are given in Appendix C. Companies must arrange for appropriate training (see Appendix C) to have been carried out within 12 months of becoming registered to the scheme.

Safe and successful Surface Treatments require formal and informal training and experience. In particular, it is essential that the Surface Treatments Supervisor/Agent is competent in all aspects of the operation including temporary traffic management. Examples of the assessed competency qualifications and training required are included in Appendix C.

The organization shall create and maintain a record of Surface Treatments training, qualifications and experience for each of its operatives. The records shall include details of the manner in which the individual has obtained practical experience (See Appendix D for Example).

The organization shall ensure that Technical Managers and Surface Treatment Supervisors/Agents have a working knowledge of the relevant documents listed in Appendix B of this document.

The organization shall ensure that Surface Treatment operations are supervised by a Surface Treatment Supervisor/Agent. On large contracts the organization may also use Leading-Hand/Ganger/Charge-Hand/Foreman to supplement the supervision of the site.

Trainees and non-technically competent operatives shall at all times be supervised by the appropriate Surface Treatments Supervisor/Agent or their delegate (as above) depending upon the make-up of the organizations installation team.

7.1.3 Infrastructure

Refer to Health & Safety plan which must for example cover provision of welfare facilities.

7.1.4 Environment for the operation of processes

No specific particular requirement.

7.1.5 Monitoring and measuring resources

7.1.5.1 General

- (i) Any measuring equipment in use shall comply with the appropriate British or International Standard. Daily checks shall be carried out on site and records kept to confirm the equipment is working and is not damaged. Any measuring equipment shall be checked for accuracy at intervals not exceeding twelve months. Equipment used for calibration checks shall not be used for any other purpose and shall be re-calibrated traceable to National Standards at intervals not exceeding five years.

When new, all measuring wheels, measuring tapes and rules shall be manufactured such that an accuracy of $\pm 1\%$ on the measurement undertaken can be achieved. Verification checks shall be undertaken when signs of wear or damage appear. If this condition adversely affects the accuracy required the item should be repaired or replaced. Useful information on calibration and accuracy of test equipment can be found in EN 12697-38.

- (ii) Records of all equipment in use, their calibration status and verification checks undertaken shall be established and maintained.

(See Appendix E for guidance.)

7.1.5.2 Measurement traceability

No specific particular requirement.

7.1.6 Organizational knowledge

No specific particular requirement.

7.2 Competence

7.2.1 General

The training and assessment of competency of personnel required by this scheme is aimed primarily at technical competence for this scheme's personnel. It is intended to enable/assist and support employees to carry out work in a safe manner however it remains the responsibility of the organization to determine and implement safe systems of work.

7.2.2 Requirements

Training and competency requirements are detailed within Appendix C and D.

The organization shall create and maintain a record of training and practical experience and assessment of competence for each employee.

The organization shall create and maintain a register of employees as part of the organization's competency management documented information. "(See Appendix D)"

Employees shall carry an identification/skills/registration card that details their qualifications for competency at all times whilst working at highway construction sites. This card will include an identification photograph and where appropriate the name of the organization.

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 2020. Some major construction companies are already enforcing this as a requirement for personnel to enter their sites.

7.3 Awareness

No specific particular requirement.

7.4 Communication

No specific particular requirement.

7.5 Documented information

7.5.1 General

- (i) When specified in the contract documents or requested, the organization shall submit a quality plan (documented planned arrangements) or alternative document as defined in the Contract Specification for acceptance or approval by the Client, as appropriate, prior to commencement of work (See section 8 and Appendix A).
- (ii) The organization shall have in place auditable processes to identify publication of relevant new documents/standards and implementation requirements (See Appendix B, note 2).

7.5.2 Creating and updating

No specific particular requirement.

7.5.3 Control of documented information

7.5.3.1 No specific particular requirement.

7.5.3.2

(i) Control of Documents

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

Contract specific documents e.g. drawings, schedules, as listed in the quality plan for a particular scheme:

- a) Customer's specification
- b) Review records
- c) Quality plan (including TAIT's)
- d) Instructions to the Supervisor/Agent and staff
- e) Certification of supply of materials
- f) Purchase Orders
- g) Calibration and verification records
- h) Production records
- i) Training
- j) Complaints and Non Conformances
- k) Reasons for work stoppages/delays
- l) As Built Manual, as required by the Contract Specification
- m) Details of any accident known to the organization within or adjacent to the Surface Treatments operations area of work
- n) Results of all tests undertaken, including those which should be made available to the client upon request

(ii) Control of Records

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

Contract specific records, e.g. risk assessments, as listed in appendix A.

- (iii) All records shall be kept by the organization for a minimum period of 6 years or until the end of the maintenance, defects or guarantee period whichever is greater. Record disposition after this period shall be defined in the quality plan.

8 Operation

8.1 Operational planning and control

- (i) The quality plan shall as a minimum address the topics listed in Appendix A of this schedule and where applicable the requirements contained in the Specification for Highway Works (SHW) and associated contract documents.

Note The topics for the content of a QP are given in 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 quality plan may be a largely standard document as indicated in Appendix A of this schedule supplemented by contract specific information.
- (iii) The quality plan should not be considered in isolation. An integrated approach may 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.

- (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 to maximise opportunities for the re-use and recovery of wastes.

8.2 Requirements for products and services

8.2.1 Customer communication

No specific particular requirement.

8.2.2 Determining the requirements for products and services

The Contract Specification shall not be changed without written approval from the client. When the organization is unable to meet the contract specification it shall be referred back to the client for resolution prior to works commencing

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(i) The organization shall carry out a review of the contract/order requirements. The review procedure shall require the organization to verify with the customer that the order placed or any subsequent amendments to that order meet the technical requirements included in the Contract Specification.

- (ii) The Technical Manager shall, prior to commencement of the Surface Treatments operation, check the practicality of the proposed measures. Where appropriate, this will include liaison with third parties, in particular the Highway or Roads Authority, the Customer, Client and the Police. Where irregularities or inconsistencies with the Contract Specification, or for health and safety or other reasons are encountered these shall be brought to the attention of the Customer/Client for resolution.

8.2.3.2 Matters of a significant nature which arise during the review shall be considered during the management review and incorporated as necessary into the quality management system.

8.2.4 Changes to requirement for products and services

No specific particular requirement.

8.3 Design and development of products and services

8.3.1 General

No specific particular requirement.

8.3.2 Design and development planning

No specific particular requirement.

8.3.3 Design and development Inputs

No specific particular requirement.

8.3.4 Design and development controls

No specific particular requirement.

8.3.5 Design and development outputs

No specific particular requirement.

8.3.6 Design and development changes

No specific particular requirement.

8.4 Control of externally provided processes, products and services

No specific particular requirement.

8.4.1 General

The organization shall establish procedures to ensure that all materials satisfy design or customer's requirements. A copy of all certificates verifying this shall, on request, be passed to the Client.

Where supply of materials/products is required the materials/products shall be selected to satisfy 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 specific particular requirement.

8.4.3 Information for external providers

No specific particular requirement.

8.5 Production and service provision

8.5.1 Control of production and service provision

The organization shall identify and plan the supply and installation processes. Examples of conditions, which shall be controlled, include:

- a) An agreed procedure for carrying out emergency repairs including health and safety requirements.
- b) 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.
- c) 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.
- d) Works orders, risk assessment and sector scheme relevant activity quality plans for the installation, maintenance and removal of sector scheme activity shall be signed by the relevant designated personnel and retained for 6 years. They will also be submitted to the Client if requested.
- e) The organization shall have a system in place which provides documented information to demonstrate the manner and frequency of the calibration of the measuring and test equipment (See Appendix E for guidance).
- f) The organization shall have method statements for the installation of the Surface Treatment. The organization's management shall have a working knowledge of and access to the documents listed in Appendix B that are relevant to the work described in the contract.
- g) Before site work commences, the organization shall ensure that the following is documented and issued to the Surface Treatments Supervisor/Agent or staff. A copy shall be retained for record purposes.
 - i) Any special instruction to the organization relating to the programme of work.
 - ii) The equipment required for the work and the method of work to meet the requirements of the contract.
 - iii) Any additional instructions, including application requirements.
- h) Processes to be controlled include:
 - i) Ensuring that the Surface Treatment applied meets the required design.
 - ii) Ensuring that the materials are clearly identifiable.
 - iii) Ensuring the presence of competent personnel during the application of Surface Treatments.
 - iv) A system for dealing with the Variation Orders issued by the Client.
 - v) Record of weather and surface condition prior to application of the Surface Treatments.
 - vi) Compliance with the requirements of agreed temporary traffic management and signing where the road is open to public use.
 - vii) Within 24 hours notify the customer of any problems which may affect the programme of work.

- viii) Compliance with Health and Safety requirements.
 - ix) Ensuring relevant technical information, e.g. test certificates, daily records, is forwarded to the Customer/Client, including the As Built Manual.
 - x) Activities required for after laying monitoring.
 - xi) Contract Maintenance, Defects or Guarantee Period activities.
- i) Inspection and testing shall be undertaken to demonstrate adherence to the contract specification. The methods and frequency of testing shall be defined in the quality plan. During the Contract Review, checks should be undertaken to establish whether any additional client specified testing and inspection regime is to be adopted.

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.

No specific particular requirement.

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

Where appropriate to the contract, storage arrangements and delivery programme for all materials shall be stated in the quality plan.

Systems shall be in place to inspect and maintain all goods returned from site before their subsequent use.

No specific particular requirement or if specific requirements in addition to ISO 9001:2015 please see below.

8.5.5 Post-delivery activities

Post-delivery activities are considered to be those which take place after the completion of the aftercare period stipulated in the contract.

Documented information should be retained to illustrate the service life of the product.

8.5.6 Control of changes

No specific particular requirement.

8.6 Release of products and service

No specific particular requirement.

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 rejected and precluded from use, reworked to conform to the specification, or formally accepted under concession in writing from the Client.
- 8.7.2 Any material and/or work not conforming to the specification shall either be reworked to conform to the specification or must formally be accepted in writing by the customer. The materials and/or work shall otherwise be considered as rejected and precluded from use as originally intended.

9 Performance Evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

This includes the on-going impact of NHSS13 on other works including congestion and traffic flows.

Inspection and testing shall be undertaken to demonstrate adherence to the Contract Specification. The methods and frequency of testing shall be defined in the quality plan (see Appendix A). During the review processes checks shall be undertaken to establish whether any additional client specified testing and inspection regime is to be adopted.

9.1.2 Customer satisfaction

No specific particular requirement.

9.1.3 Analysis and evaluation

No specific particular requirement.

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 road Surface Treatment 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 road Surface Treatment 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.

(ii) No specific particular requirement.

9.3.2 Management review inputs

No specific particular requirement.

9.3.3 Management review outputs

No specific particular requirement.

10 Improvement

10.1 General

No specific particular requirement.

10.2 Nonconformity and corrective action

No specific particular requirement.

10.3 Continual improvement

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

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 including those responsible for design where appropriate, describing the line of command and stating the name of the organization's Manager responsible for the contracted work, the Technical Manager, Surface Treatments Supervisor/Agent and the Designer, as appropriate, together with their qualifications including training and assessed competency. An organization's representative who can be contacted at all times when works are being undertaken must be identified. Where it is proposed to sub-contract the works, this should be stated and details provided. Sub-contractors shall be registered to the requirement of this scheme.
- 1.3 Identification of the relevant parts of the organizations 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 Extent of the works and the commencement and completion dates of the contract
- 1.10 Details of the work (as appropriate)
- 1.11 Details of existing materials (as applicable)
- 1.12 Disposition of documented information
- 1.13 Frequency of internal audits (see 9.2)
- 1.14 Liaison with the Police, the Highway or Roads Authority and other Competent Authority

2.0 Contract Specific Statement

- 2.1 Materials storage details and location, and delivery plan.
- 2.2 Method statements and risk assessments for installation of Surface Treatments: where appropriate detailed drawing(s) to be supplied.
- 2.3 Inspection and testing regime to be adopted covering frequency, methods of test, responsibility for testing and acceptance criteria. Where particular tests are to be done by a UKAS accredited Laboratory, this should be stated.
- 2.4 Identify documentation to be supplied to Customer/Client and responsibility for its production and issue
- 2.5 Control of non-conforming product.

2.6 Organizations design if applicable and binder data sheet.

3.0 Contract Specific Information

3.1 Contract Specific Information shall be obtained directly by the organization and documented in the quality plan, and shall include as a minimum the following:

3.2 Name and address of Customer including his nominated quality manager, project manager and/or other representative through whom communication is to be made throughout the contract.

3.3 Names of the staff involved with the contract including the Sector Scheme qualified personnel. Contact details for these staff.

3.4 Details of the communications required between the organizations staff and the Customer/Client or any other party

3.5 Location of sites for the contract and means of access.

3.6 Specification and/or Contract Drawings.

3.7 Extent of works and commencement and completion dates for the contract.

3.8 Type of Surface Treatments to be applied, including details of any design proposals and data sheets, if required.

3.9 Any requirements additional to or modifying those in the relevant British Standard(s) or any other relevant standards.

3.10 Any other relevant information relating to speed restrictions, safety requirements, temporary traffic management, time of working and any other environmental requirements.

3.11 Testing requirements, including frequency, and responsibility for testing including supply of test equipment. Where particular tests are to be done by a UKAS accredited Laboratory, this should be stated.

3.12 Disposition of records after 6 years or the end of the Maintenance, Defects or Guarantee period whichever is the longer

NOTE: 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.

4. Design Responsibility

The organization's proposed design (where applicable) shall be included in the quality plan. The organization shall also provide a TAIT Certificate (where applicable). Further guidance on responsibility for the provision of data and testing is given in Appendix B reference documents. TAIT's are a requirement of BS EN 12271 and BS EN 12273 which came into effect in UK in July 2013.

5. Health & Safety Responsibilities

The Construction (Design & Management) Regulations 2015 will apply to all Surface Treatment contracts. These regulations define the responsibilities of all parties to the contract and the associated Approved Code of Practice guidance on the application of the regulations.

Suppliers are reminded of the legal requirements to provide health and safety training for all personnel in accordance with the Health & Safety at Work etc Act 1974.

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.
3. See ISO 10005 (Quality management systems – Guidelines for quality plans) for further information

Appendix A1: Guidance on Best Practice for the Quality Plan

The following are subjects which are recommended to be covered in a quality plan for Surface Dressing.

Management Responsibility: Demonstration of commitment to Sector Scheme.			
Resource Management: Training / qualifications / experience requirements for compliance with Sector Scheme.			
Product Realisation:			
Prior to Works Commencing	Binder Storage conditions addressing:- <ul style="list-style-type: none"> • Heat degradation • Separation/binder stability • Viscosity change • Facilities for additives Test certificates for properties	Aggregates Storage facilities addressing:- <ul style="list-style-type: none"> • Cleanliness • Security • Location Test certificates for Properties	Resource Number and type of:- <ul style="list-style-type: none"> • Sprayers • Rollers • Gritters • Sweepers • Dusting equipment • Competent operatives Test certificates for Calibration e.g. BS1707 bench test for rate and accuracy of spread
Site Parameters	<p>Health & Safety Safety Plan and risk assessments</p> <p>Traffic Management Procedures for establishing and implementing site specific requirements. Competency of people responsible.</p> <p>Climate: monitoring/recording Humidity; Temperatures; Weather forecast Procedures</p> <p>Design Issues Design responsibility The Manual of Contract Documents for Highway Works in clauses 919 and 922 sets out two fundamentally different approaches to the specification of surface dressing for Recipe and Performance specifications respectively. Other forms of contract and specifications used by Local Highway Authorities may also provide these two alternatives.</p> <p>Recipe – Clause 919 With this approach the Designer is clearly not the organization but maybe either the Client or the Customer. For this reason the identity of the Designer must be stated in the quality plan. The designer should be GD 02 compliant.</p> <p>Performance – Clause 922 With this approach the Designer is the organization but the Client or Customer is likely to be responsible for providing data on which the Designer will base his design. This data and the source must be clearly identified in the quality plan.</p> <p>The organization's proposed design and Binder Data Sheet(s) shall be included in the quality plan. The organization shall also provide a TAIT Certificate.</p> <p>Further guidance on the responsibility for the provision of data and testing is given in the RSTA Code of Practice.</p>		

Site Parameters (continued)	Wheel track fattening; Variable hardness Design verification and validation procedures Road Surface Acceptance Dampness; Cleanliness; Patches/Cracking Access restrictions		
Installation	Detailed programme of work Working method for site testing, including frequency of testing and demonstration of compliance with Specification, e.g. rate of spread and accuracy of spread for aggregate & binder.		
	<p style="text-align: center;">Binder</p> Delivery documentation. Monitoring of:- <ul style="list-style-type: none"> • Temperature • Rate of spread of binder 	<p style="text-align: center;">Aggregates</p> Delivery documentation plus visual inspection for size, cleanliness, colour, coating, on delivery and of any on its stockpiles. Monitoring of: <ul style="list-style-type: none"> • Rate of spread of chippings 	<p style="text-align: center;">Equipment</p> Location of Joints <ul style="list-style-type: none"> • Suspect areas • Variation along / across site • Local changes in system • Tolerances on rate of spread and transverse distribution of binder chippings
Aftercare	Procedures for :- <ul style="list-style-type: none"> • Sweeping • Dusting • Opening to unrestricted traffic 		

The following are subjects which are recommended to be covered in a quality plan for Slurry Surfacing incorporating Microsurfacing.

Management Responsibility: Demonstration of commitment to Sector Scheme.			
Resource Management: Training / qualifications / experience requirements for compliance with Sector Scheme.			
Product Realization			
Prior to Works Commencing	Binder Storage conditions addressing:- <ul style="list-style-type: none"> • Separation/binder stability • Facilities for additives 	Aggregates Storage facilities addressing:- <ul style="list-style-type: none"> • Cleanliness • Security • Location 	Resource Number and type of:- <ul style="list-style-type: none"> • Applicators • Sweepers • Materials supply vehicles • Competent operatives • Rollers • Binder sprayers
	Test certificates for properties	Test certificates for properties	Test certificates for calibration
	Additives Addressing types, storage and requirements:- <ul style="list-style-type: none"> • Lime • OPC (cement) • Fibres • Retarders • Pigment (colour) 		
	Test certificates for properties		

Site Parameters	<p>Health & Safety</p> <p>Safety Plan and risk assessments</p> <p>Temporary Traffic Management</p> <p>Procedures for establishing and implementing site specific requirements.</p> <p>Competency of people responsible.</p> <p>Climate: monitoring/recording</p> <p>Humidity; Temperatures; Weather forecast</p> <p>Procedures</p> <p>Design Issues</p> <p>Design responsibility</p> <p>The Manual of Contract Documents for Highway Works in clause 918 sets out that the organization is responsible for the design with the Client or Customer providing site and traffic data. Other forms of contract and specifications used by Local Highway Authorities may provide alternative arrangements.</p> <p>With this approach the Designer is the organization but the Client or Customer is likely to be responsible for providing data on which the Designer will base his design.</p> <p>The organization's proposed design and Binder Data Sheet(s) shall be included in the quality plan. The organization shall also provide a TAIT Certificate.</p> <p>Design verification and validation procedures</p>
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Site Parameters (continued)	<p>Road Surface Acceptance</p> <p>Site condition survey; Cleanliness; Patches/cracking</p> <p>Access restrictions</p>		
Installation	<p>Detailed programme of work</p> <p>Working method for site testing, including frequency of testing and demonstration of compliance with Specification.</p>		
	<p>Binder</p> <p>Delivery documentation</p> <p>Monitoring of:-</p> <ul style="list-style-type: none"> • Temperature 	<p>Aggregates</p> <p>Delivery documentation</p> <p>visual inspection for size, cleanliness, on delivery and of any on its stockpiles</p>	<p>Equipment</p> <p>Location of Joints</p> <ul style="list-style-type: none"> • Suspect areas • Variation along/across site • Local changes in system
	<p>Additives</p> <p>Delivery documentation</p>		
Aftercare	<p>Procedures for :-</p> <ul style="list-style-type: none"> • Removal of surplus material and masking • Resetting ironwork, if necessary • Removal of subsequently loosened material • Opening to unrestricted traffic 		
As Built Manual	<p>The information to be provided in the As Built Manual</p>		

The following are subjects which are recommended to be covered in a quality plan for Geosynthetics and Steel Meshes.

Management Responsibility: Demonstration of commitment to Sector Scheme				
Resource Management: Training / Qualifications / Experience requirements for compliance to Sector Scheme				
Product Realisation:				
Prior to works commencing	Binder Storage conditions addressing:- <ul style="list-style-type: none"> • Heat degradation • Separation / binder stability • Viscosity change • Facilities for additives Test certificates for properties e.g. BS1707 Bench test	Aggregates Storage facilities addressing:- <ul style="list-style-type: none"> • Cleanliness • Security • Location Test certificates for properties	Resource Number and type of:- <ul style="list-style-type: none"> • Mechanical applicators • Sprayers • Gritters • Drying equipment • Competent operatives Test certificates for calibration	Geosynthetics & Steel Meshes Addressing specification and Type of:- <ul style="list-style-type: none"> • Geosynthetic or Steel Mesh • Roll size • Security • Location Test certificates for properties including CE Mark
Site Parameters	<p>Health and Safety Safety Plan and risk assessments.</p> <p>Traffic Management Procedures for establishing this is the responsibility of Principal Contractor</p> <p>Climate : monitoring / recording Humidity; Temperatures; Weather forecast Procedures</p> <p>Design Issues Design responsibility The design is with Client / Designer / Principal Contractor not the installation organization. The installation organization shall include Geosynthetic or Steel Mesh Specification and Binder Data Sheets in the quality plan. Design verification and validation procedures.</p> <p>Further guidance on the responsibility for the provision of data and testing is given in the RSTA Code of Practice.</p> <p>Receiving Surface Condition Peaks and troughs of planed surface Dampness, cleanliness Crack Mapping Access restrictions</p>			

The following are subjects which are recommended to be covered in a quality plan for Spray Injection Patching.

Management Responsibility: Demonstration of commitment to Sector Scheme			
Resource Management: Training / Qualifications / Experience requirements for compliance to Sector Scheme			
Product Realisation:			
Prior to works commencing	<p>Binder</p> <p>Storage conditions addressing:-</p> <ul style="list-style-type: none"> • Heat degradation • Separation/binder stability • Viscosity change • Facilities for additives <p>Test certificates for properties</p>	<p>Aggregates</p> <p>Storage facilities addressing:-</p> <ul style="list-style-type: none"> • Cleanliness • Security • Location • PSV • Grading <p>Test certificates for properties</p>	<p>Resource</p> <p>Number and type of:-</p> <ul style="list-style-type: none"> • Spray Injection Patching machines • Rollers/Vibrating plates • Sweepers • Competent operatives <p>Test certificates for calibration</p>
Site Parameters	<p>Health and Safety Safety Plan and Risk Assessments</p> <p>Traffic Management Procedures for establishing & implementing site specific requirements Competency of people responsible</p> <p>Climate: monitoring / recording Ground temperatures; Weather forecast Procedures</p> <p>Design Issues</p> <p>Design responsibility</p> <p>Company's design, operational control and testing will be included in the Quality Plan, cross referenced to the relevant Company Management system procedures and records.</p> <p>Further guidance on the responsibility for the provision of data and testing is given in the RSTA Code of Practice.</p> <p>Design verification and validation procedures Road Surface Acceptance Access restrictions</p>		
Installation	Detailed programme of work Working method for site testing, including mix cohesion (snowball) test		
	Binder No requirement	Aggregates No requirement	Equipment Company machine
Aftercare	<p>Procedures for:-</p> <ul style="list-style-type: none"> • Sweeping (if required) • Site residual safety • Opening to unrestricted traffic 		

Appendix B: Reference and Associated Documents (Bibliography)

NOTE: The listing is not comprehensive; 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. Reference Documents

- 1 Manual of Contract Documents for Highway Works: Volume 1 Specification for Highway Works (SHW), and amendments

Series 000 Introduction
Series 100 Preliminaries
Series 900 Road Pavements - Bituminous Bound Materials
Series 1200 Traffic Signs
Any additional clauses identified in the contract.

www.standardsforhighways.co.uk/ha/standards/mchw/index.htm

- 2 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 NG900 Road Pavements - Bituminous Bound Materials
Series NG1200 Traffic Signs

- 3 European/National Standards and Guidance Documents:

BS EN ISO 9001 (latest issue) – Quality Management Systems – Requirements
BS EN ISO 9000 (latest issue) Quality Management Systems – Fundamentals and Vocabulary
BS 434 Part 2 – Bitumen road emulsions. Code of practice for the use of cationic bitumen emulsions on roads and other paved areas
BS EN ISO 9005
BS EN ISO 9004 Quality Management Systems – Managing for the sustained success of an organization. A quality management approach.
BS EN 13808 Bitumen and bituminous binders – Framework for specifying cationic emulsions.
BS EN 13043:2002 Aggregates for bituminous mixtures and surface treatments for roads, airfields and other tracked areas.
PD6682 – 2:2003 Guidance on the use of BSEN 13043
BS EN 13036 – 1 Road and airfield surface characteristics – Part 1 measurement of pavement surface macro-texture.
BS EN 12273 – Slurry Surfacing Requirements
BS EN 12274
BS EN 12274 Parts 1-8 Test Methods
BS EN 12271 – Surface Dressing Requirements
BS EN 12272 Parts 1-3 Test Methods
BS 1707 Binder Distributors for Surface Dressings
PD 6689 UK Guidance on the use of BS EN 12271 and BS EN 12273

2. Associated Documents - Bibliography

- 1 GD 02 (latest issue) - Quality Management Systems for Highway Design (Design Manual for Roads and Bridges – Volume 0, Section 2, section 1, Part 1).
<http://www.standardsforhighways.co.uk/ha/standards/dmr/vol0/section2.htm>
- 2 GD 04 (latest issue) - Standard for safety risk assessment on the strategic road network (Design Manual for Roads and Bridges – Volume 0, Section 2, section 1, Part 1).
<http://www.standardsforhighways.co.uk/ha/standards/dmr/vol0/section2.htm>
- 3 Construction (Design & Management) Regulations.
- 4 Manual of Contract documents for Highway Works Volume 3 Highway Construction Details.

Note Amendments are made to MCDHW from time to time and the latest versions can be obtained from www.standardsforhighways.co.uk .

Design Manual for Roads and Bridges can be obtained from www.standardsforhighways.co.uk .
- 5 Traffic Signs Manual Chapter 8: Traffic Safety Measures and Signs for Road Works and Temporary Situations (latest version).
- 6 Traffic Signs Regulations and General Direction, (latest version) (The Stationery Office publication).
- 7 Safety of Street Works and Road Works: A Code of Practice (The Stationery Office publication).
- 8 NHSS 9A for the Design, Assembly and/or Provision of Permanent and Road Traffic Signs.
- 9 Current contract specifications.
- 10 Other specifications and requirements as appropriate and agreed between the organization, Customer and Client.
- 11 Other Sector Schemes where relevant and in particular NHSS 12A/B, C, & D
- 12 RSTA Code of Practice for Surface Dressing www.rsta-uk.org/publications.htm
- 13 RSTA Code of Practice for Slurry Surfacing www.rsta-uk.org/publications.htm
- 14 RSTA Code of Practice for Innovative Patching Systems www.rsta-uk.org/publications.htm
- 15 RSTA Code of Practice for Geosynthetics & Steel Meshes www.rsta-uk.org/publications.htm
- 16 RSTA Code of Practice for In-situ Recycling www.rsta-uk.org/publications.htm
- 17 RSTA Code of Practice for Retexturing www.rsta-uk.org/publications.htm
- 18 Road Note 39, latest edition, Design Guide for Road Surface Dressing www.trl.co.uk
- 19 RSDA/CSS Code of Practice for Signing at Surface Dressing Sites (latest version)
www.rsta-uk.org/publications.htm
- 20 RSTA ADEPT Service Life of Surface Treatments www.rsta-uk.org/publications.htm
- 21 Transport Infrastructure Ireland (NRA) Manual of Contracts Document (Applicable in Ireland)

Note 1: This list of standards and documents include those that are date specific, however, the organization shall have procedures in place to ensure that the latest versions are always available. (See clause 4.2.3).

Note 2: Highways England may issue Interim Advice Notes (IANs) as a prelude to inclusion in the MCHW (Vol 1 and 2), the DMRB and/or Chapter 8. Organizations must have auditable processes in place to identify when these documents are issued and their implementation date(s). An index of Interim Advice Notes (IANS) is available on the internet (www.dft.gov.uk/ha/standards/ians/index.htm).

Note 3: Every effort has been made to update web sites, but the committee cannot provide any guarantees that the sites will continue to exist or if they do that they will maintain access to the documents identified above.

Appendix C: Training and Assessment of Competence

1. Training and competency qualifications

The organization shall ensure that their employees shall have undergone suitable training and competency assessment that will cover aspects of the work to be undertaken as follows:

Appendix C Table 1		
GRADE OF EMPLOYEE	CSCS CARD	Qualification & Card Requirements (All CSCS cards require passing of appropriate CITB HS&E test)
LABOURER See Note 2	Green	CITB HS&E Operative test pass required. QCF Level One or SCQF Level 4 Award in Health and Safety in a Construction Environment or Site Safety Plus Health and Safety Awareness Course certificate or IOSH Working Safely course (achieved within three years prior to making application) Valid for 5 years.
PROVISIONAL (Working as a labourer but have not previously applied for a CSCS card or working through probationary periods whilst employers assess their suitability for employment)	Red	CITB HS&E Operative test pass required. Before expiry Provisional card holders must achieve or be registered for a recognised construction related qualification and apply for the appropriate CSCS card for their job. Valid for 6 months - NOT RENEWABLE.
TRAINEE (ALL OCCUPATIONS) (New to industry)	Red	Appropriate CITB HS&E test pass (within last two years) required. Registered for relevant NVQ or SVQ but have not yet achieved. Valid for 5 years – NOT RENEWABLE.
TRAINEE Craft & Operative (New to Industry) CSCS STOPPED ISSUING AUGUST 2016	Red	CITB HS&E Highways Operative test pass (within last two years) required or have attended a 1-day Health and Safety Awareness Course. Registered for relevant NVQ or SVQ but have not yet achieved. Valid for 3years – NOT RENEWABLE. THIS CARD WILL CEASE TO BE VALID FROM 01.08.2019
TRAINEE SUPERVISOR / MANAGER (This card is available if you can provide evidence of current registration with a further/higher education college or university for a nationally recognised construction related qualification). CSCS STOPPED ISSUING AUGUST 2016	Red	CITB HS&E Highways at Supervisor or Manager test pass required. Registered for relevant NVQ or SVQ but have not yet achieved. Valid for 3 years – RENEWABLE UPON APPLICATION (Renewals will be replaced with new TRAINEE category card). THIS CARD WILL CEASE TO BE VALID FROM 01.08.2019

GRADE OF EMPLOYEE	CSCS CARD	Qualification & Card Requirements (All CSCS cards require passing of appropriate CITB HS&E test)
<p>EXPERIENCED WORKER</p> <p>(Not holding NVQ and Minimum of 1 years' experience within last 3 years certified by employer)</p>	Red	<p>CITB HS&E Highways Operative test pass required (within last two years).</p> <p>Registered for relevant Surface Treatment Level 2 NVQ or relevant SVQ.</p> <p>Valid for 1 year - NOT RENEWABLE.</p>
<p>EXPERIENCED TECHNICAL SUPERVISOR / MANAGER</p> <p>(On the job experience, normally at least one year in the last three, who have not achieved a construction related NVQ / SVQ level 3, 4 or 5 (or construction related Level 6 or 7) and are not a member of an approved Professional Body.</p>	Red	<p>CITB HS&E Supervisor or Manager test pass required (within last two years).</p> <p>Registered for relevant Construction related NVQ level 3, 4 or 6 (or relevant Construction related SVQ).</p> <p>Valid for 3 years - NOT RENEWABLE.</p>
<p>SKILLED WORKER</p> <p>(See table 2 for required occupations)</p>	Blue	<p>CITB HS&E Highways Operative Test pass required (within last two years).</p> <p>Achieved Level 2 NVQ or L2 NVQ/SVQ for relevant Surface Treatment or previously issued industry accreditation route.</p> <p>Valid for 5 years.</p> <p>RSTA Endorsed – See Note 1</p>
<p>GANGER / CHARGE-HAND / LEADING HAND / FOREMAN</p>	Gold	<p>CITB HS&E Supervisor test pass required (within last two years).</p> <p>Level 3 NVQ in Occupational Work Supervision; or Level 3 NVQ Construction Site Supervisor; or relevant SVQ; or previously issued industry accreditation route. See notes 5 & 6.</p> <p>Valid for 5 years.</p>
<p>SUPERVISOR / AGENT</p>	Gold	<p>CITB HS&E Supervisor test pass required (within last two years).</p> <p>Level 4 NVQ Diploma for Construction Site Supervisor; or Level 3 NVQ Construction Site Supervisor; or relevant SVQ; or previously issued industry accreditation route. See notes 4, 5 & 6.</p> <p>Valid for 5 years.</p>
<p>CONTRACTS MANAGER</p>	Black	<p>CITB HS&E Managers & Professionals test pass required (within last two years).</p> <p>Level 5, 6 or 7 NVQ or relevant SVQ for relevant Construction Management or previously issued industry accreditation route. See notes 3 & 4</p> <p>Valid for 5 years.</p>

APP C Table 2.			
Surface Treatment	Occupation (Endorsement)	CSCS Card Information	
Surface Dressing	Spray Bar Operator Tanker Operator See note 11 Roller Operator Chipper Operator Tanker & Chipper Combined Loader Operator Linked Tipper Sweeper Operator See note 8	CSCS cards for these occupations should show the endorsement of the NVQ/SVQ qualification on its reverse as shown in example below.	
Slurry Surfacing (Machine)	Applicator Operator Tanker Operator Tipper Grab Operator Roller Operator Sweeper Operator See note 8		
Slurry Surfacing (Manual)	Manual		
Spray Injection Patching	Operator		CSCS cards for L2 NVQ or relevant SVQ require the RSTA logo on its reverse as shown in example below. See note 1
Geosynthetic Membrane/mesh	Installer		
Surface Retexturing	Mechanical Retexturing Operator Mechanical Repair Operator Flailing Operator High Pressure Jetting Operator Grinding Operator Sweeper Operator See note 8 Fine Milling Operator		
In-situ Deep Recycling	Operator		



Note 1.

Blue CSCS Skilled Worker cards endorsed with the RSTA logo, available only through application to the RSTA, are required for holders of cards with the appropriate NVQ or SVQ as listed in APP C Table 2. In order to maintain quality and standards these applications are approved where the Learner has achieved their qualification through the RSTA Assessment Centre or an RSTA Approved Partner and these card details are held on the RSTA Training Database.

Blue Skilled Worker cards showing Industry Accreditation on the reverse are not required to have the RSTA logo endorsement as these cards do not show evidence of qualification. Renewals of these cards can be applied for direct to CSCS.

For further details on applications for these CSCS Cards, or on becoming an RSTA Approved Partner, contact RSTA on 01902 824325 or training@rsta-uk.org

Further details of the CSCS Scheme are available from: CSCS, PO Box 114, Bircham Newton, King's Lynn, PE31 6XD. Tel: 0344 9944 777 www.cscs.uk.com

Note 2.

Holders of current CSCS Blue Skilled Worker, Red Experienced Worker or Red Trainee (Craft & Operative) cards in road-building occupations may be utilised in Surface Treatment operations as labourers and do not require the Green Labourer card when carrying out these duties.

Note 3.

Changes to the NVQ Diploma qualification structure has seen the re-grading of previous NVQ Level 4 Managers qualifications to NVQ Level 6 Diploma. Managers holding an existing relevant Construction NVQ Level 4, or SVQ equivalent, are not required to upgrade to the new NVQ as their current qualification is accepted.

Note 4.

In order to demonstrate acceptable evidence of appropriate training for CPD in the relevant field of Surface Treatment all Managers, Agents and Supervisors are required to obtain an RSTA Silver Certificate obtained from the relevant RSTA Technicians Training Course (where available) which must be renewed on a maximum 5 year cycle. These courses have an end test that the Learner is required to pass to attain this certificate. A register of successful Learners is held by the RSTA. Relevant training courses are listed on the RSTA website under www.rsta-uk.org/calendar

Note 5.

Changes to the NVQ/SVQ Diploma qualification structure have seen a split in the categories of Supervision qualifications

Ganger / Charge-hand / Foreman / Leading Hand require the NVQ Level 3 Occupational Work Supervision qualification or SVQ equivalent. Previously achieved NVQ L3 Construction Site Supervision is acceptable at this level.

Supervisor / Agent require the NVQ Level 4 Construction Site Supervision qualification or previously achieved NVQ L3 in Construction Site Supervision or relevant SVQ.

Where a Supervisor / Agent holds a previously acquired Occupational Work Supervision qualification it is recommended that they upskill and achieve the higher qualification.

Note 6.

Where a CSCS Gold Card holder carries out work on site in any of the roles in APP C Table 2 for their Surface Treatment they must also hold the appropriate CSCS skill card i.e. Blue Skilled Worker (RSTA endorsed) or Red Experienced Worker.

Note 7.

NVQ Assessment Centres, in accordance with the SSC Consolidated Assessment Strategy, are responsible for ensuring that the assessment teams possess demonstrable expertise in the areas of the relevant Surface Treatment activities under assessment. It is highly recommended that NVQ Assessors attend relevant RSTA Technicians Training Course to remain up to date regarding industry regulatory and technical developments. Relevant training courses are listed on the RSTA website under www.rsta-uk.org/calendar

Note 8.

Road sweeper operators: For surface dressing, micro surfacing and surface retexturing there is an endorsed NVQ route for road sweeper operations within the specific operation, and where Surface Treatment companies employ their own operatives to carry out this operation this route should be followed with the appropriate CSCS card and L2 NVQ or SVQ attained. However when sub-contract road sweepers are employed on a site the Surface Treatment company should ensure that the operator can demonstrate sufficient competence to operate the equipment and has as a minimum a relevant CSCS/CPCS card. There is now a Level 2 NVQ Certificate in Plant Operations Sweeping, Cleaning and Clearing qualification which has been developed for delivery in a working environment.

Note 9: In Northern Ireland CSR Cards are used instead of/as well as CSCS cards. Further details are available from:

Construction Employers Federation Ltd
143 Malone Road, Belfast BT9 6SU mail@cefni.co.uk

CSR cards are recognised as the equivalent of CSCS cards in Great Britain.

Note 10: It is recommended that organizations arrange appropriate annual training for all staff/workforce.

Examples of relevant training courses:

Approved in house induction training

In house Safety Awareness Training

RSTA Training Courses for Engineers, Managers, Supervisors and Technicians for:
Surface Dressing;

- Slurry Micro-Surfacing;
- Spray Injection Patching;
- Geosynthetics & Steel Meshes;
- Retexturing and Surface Re-profiling;
- Deep In-situ recycling (under development)

RSTA Induction Training Courses for Operatives

RSTA/CITB Specialist Up-Skilling Programmes

CITB National Specialists Management Training Scheme for NVQ Level 6

Note 11: Tanker operator covers both the installation of emulsions for surface dressing and bond coats for application in asphalt construction as referenced in BS594987.

Note 12: As an alternative to the Level 3 NVQ/SVQ Site Supervisors, Technical Managers and organization managers can secure registration at the appropriate level with the Engineering Council.

Note 13: 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.

2. Health & Safety

Organizations are reminded of the legal requirements to provide health and safety training for all personnel 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 Surface Treatments. 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.

3. Temporary Traffic Management

Highways organizations are reminded of the requirements for temporary traffic management on all highways including high speed dual carriageways and motorways.

For work on high-speed dual carriageways and motorways, other than short duration works on hard shoulders or verges, such works shall be carried out by an organization registered to NHSS 12A/B as appropriate.

For works on mobile lane closures NHSS 12C applies.

For works on other roads NHSS 12D applies and organizations need to ensure that they have appropriately skilled and registered operatives to set out the necessary temporary traffic management measures. Guidance is given in Appendix M of NHSS 12D.

This section is intended to bring the management of traffic in association with Surface Treatment carried out in accordance with the provisions of this Sector Scheme in line with the guidance in Appendix M of NHSS 12D.

1. All temporary traffic management schemes will be designed on the basis of a site-specific risk assessment and for surface dressing operations this should also be in accordance with the RSTA/ADEPT Code of Practice for Signing at Surface Dressing Sites designated in Chapter 8.
2. The provisions for traffic management shall be fully documented and form part of the method statement to be supplied in accordance with Appendix A - 2.3.
3. Traffic management on motorway and dual carriageways carrying unrestricted traffic shall be designed and installed by a TTM contractor registered to sector schemes 12A/B.
4. On works not covered by the above the traffic provisions shall be designed and documented by a Technical Officer qualified in accordance with section 6.2.2 of NHSS 12D.
5. The person responsible for TTM on site shall be site based. S/he shall be suitably experienced and qualified in TTM in accordance with the requirements of NHSS 12D for the type of TTM that is being installed on a specific contract. This person shall be named in the organization's quality plan. (The person shall as a minimum be qualified in the type of TTM being employed on the site and ideally should be qualified as an RTLMO).
6. Operatives responsible for setting out signs or operating stop & go boards shall be qualified to Lantra Awards modules M1 /2.
7. Where convoying is used the operatives involved shall be qualified to Lantra Awards module M4.

Where NHSS 12D recognises equivalent evidence of competence to the above, these shall be accepted as alternatives.

Note 1 – The definitions and abbreviations used in this appendix are taken from both NHSS documents have the same meaning. The relevant 12D definitions are:

Registered Traffic Management Operative (RTMO)

An operative who will have successfully completed Modules 1 & 2 as a minimum, and been issued with a Skills Registration Card by Lantra Awards. Where relevant the person(s) shall be named in the organizations contract specific quality plan.

Registered Lead Traffic Management Operative (RLTMO)

An operative who will have successfully completed Modules 1, 2 & 6 as a minimum, and been issued with a Skills Registration Card by Lantra Awards. 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 skills registration card. Where relevant this person(s) shall be named in the organizations contract quality plan as having the responsibility, training and experience to control temporary traffic management measures to meet the requirements of the Contract Specification.

Technical Officer

The person named in the organization's quality plan responsible for the planning, installation, modification and removal of temporary traffic management and implementation of the requirements of the contract specification.

NB He/ She shall be competent as defined by 6.2.2 of 12D.

4. Fraudulent certificates/cards

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 to 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

Operative's Name:

RSTA/CSCS Registration No:

TRAINING (Date passed, name of trainer/provider and type as appropriate)				COMPETENCIES ACHIEVED (With Dates and Assessor's Name)			Type of RSTA/CSCS Card held and date obtained	TTM Qualifications
Company Induction H&S Training	CSCS Touch Screen Test	RSTA Training	Refresher Training and Other	NVQ Level 1 Units and Award	NVQ Level 2 Units and Award	NVQ Level 3 Units and Award		
				No				
				longer				
				required				

Appendix E: Guidance for the Control of Monitoring and Measuring Equipment

Refer to FPC requirements in EN12271 (Surface Dressing) and EN12273 (Slurry Surfacing). For other activities covered by this sector scheme refer to guidance below.

Example of a typical requirement for NHSS:

Item No	Equipment	Purchase Specification	Calibration Control	Calibration Frequency
1	Thermometers and temperature control equipment	Equipment must operate within a tolerance of $\pm 10^{\circ}\text{C}$ at the working temperature	Calibration traceable to National Standards	3 monthly (may be extended to 12 months upon demonstration of continued calibration accuracy)
2	Pressure measuring equipment	Appropriate British or International standard	Calibration traceable to National Standards	Annually
3	Thickness/height measuring equipment	Maximum allowable error at any point in working range value $\pm 5\%$	Calibration traceable to National Standards	Annually
4	Measuring wheels, tapes and rules	Maximum allowable error $\pm 1\%$ of the measurement range undertaken (upon purchase only)	Verification check when signs of wear or damage appear	Checks as required

Notes

- The table does not represent an exhaustive list of monitoring and measuring devices and therefore equipment not included but employed by the organization should be calibrated to an acceptable standard and be documented.
- Visual daily checks of items 1 and 2 shall be carried out on site to confirm that the equipment is working correctly and is not damaged. Records of the daily checks shall be kept.
- If in-house calibration equipment is used for the calibration of items 1 and 2 it shall not be used for any other purpose and shall itself be calibrated traceable to national standards at intervals not exceeding two years.
- If in-house calibration equipment is used for the calibration of item 3 it shall not be used for any other purpose and it shall itself be calibrated traceable to national standards at intervals not exceeding five years.
- Records of all equipment in use, their calibration status and calibration or verification checks undertaken shall be implemented and maintained.

Appendix F: Certification Bodies Accredited for this Sector Scheme

This appendix should be addressed by the requirements of NHSS 0.

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

The search facility is not guaranteed to return accurate results and so the following process should be followed in full:

- Place the cursor onto 'Find' box in the top right hand corner
- In the Search box under “Search Accredited Organisations” enter “Highway Sector Scheme No 13” (including the inverted commas) (you can optionally also enter your Post Code)
- Left click 'search'
- Left click on 'Certification Bodies' - this then lists the certification bodies who may be accredited
- Click on the particular Certification Body you are interested in and review their Schedule of Accreditation to see whether their scope includes NHSS 13 (this should be towards the end of the Schedule of Accreditation). Note that this may be shown as a title only or a title with, for example, “Highway Sector Scheme No 13”

Note 1: This process will not identify certification bodies that do not have “sector scheme No X” in their scope, but which may have only “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 “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 2: Advice on the current accreditation status of certification bodies to assess against this document should be sought from UKAS (Tel 01784 429001 or Email info@ukas.com).

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 in accordance with the particular requirements of this NHSS or other equivalent international management scheme.

3. Assessor and assessment team competence

- 3.1 The certification body must be able to demonstrate to UKAS that it possesses and can maintain the necessary assessor experience and technical understanding of the Surface Treatment of roads 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 manufacture and supply in the road surface treatments industry, including the methods and techniques sufficient to understand the processes employed and the controls necessary to ensure delivery of conforming product and services. Typically this would include knowledge of the product and processes (including connections to different systems). Conveyance of this knowledge to auditing teams will be determined by the certification body and will be audited by UKAS.
 - iii) maintenance of demonstrable technical highway engineering background, capable of reading and understanding specifications and drawings, including knowledge of the Specification for Highway Works and design standards requirements for road surface treatments.

- iv) ability to demonstrate that they have ongoing suitable health and safety training which shall include appreciation of the risks involved in the manufacture, supply and installation in the specific aspects of the scheme as appropriate.
 - v) preferably knowledge of constituent components and their properties
- 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 this aspect
- 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 client 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 categories of NHSS 13 – or not required as specified in the scheme
 - iv) knowledge, understanding and application of this SSD.
 - v) knowledge of the manufacture and supply in the Surface Treatment industry, including the methods and techniques sufficient to understand the processes employed and the controls necessary to ensure delivery of conforming product. Typically this would include knowledge of the product and processes including connections to different systems. (Conveyance of this knowledge to auditing teams will be determined by the certification body and will be audited by UKAS).
 - vi) demonstrable technical highway engineering background, capable of reading and understanding specifications and drawings, including knowledge of the Specification for Highway Works and design standards requirements for Road Surface Treatments
 - vii) ability to demonstrate that they have ongoing suitable health and safety training which includes appreciation of the risks involved in the sector scheme activities of Road Surface Treatments; and
 - viii) preferably knowledge of constituent components and their properties

4. Conduct of Assessments

- 4.1 Certification Bodies shall ensure that an adequate proportion of the initial and continuing assessment duration is devoted to assessing operational activities at locations where Road Surface Treatments covered by the scope of this Sector Scheme are being undertaken from.
- 4.2 Certification Bodies shall make every endeavour to ensure that during a three year certification cycle there is evidence of assessment of all execution activities covered by the organization's scope of registration. Certification bodies shall undertake surveillance visits at intervals no greater than one 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 be in a format and 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.

6 National Highway Sector Schemes Schedule of Suppliers.

- 6.1 Certification Bodies shall monitor the National Highway Sector Schemes Schedule of Suppliers posted at www.lantra-awards.co.uk/schedule-of-suppliers 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). This check will include verification of the certificate of registration currency.

7 Reporting on Sector Scheme Performance.

- 7.1 Each Lead certification body shall provide to the Chairperson of the SSAC a summary report which includes as a minimum:
- a) observations and comments on the implementation and assessment findings related to the Sector Scheme including any omissions or deficiencies in its scope.
 - b) recommendations for improving/clarifying the SSD
 - c) feedback on deficiencies against contract documentation
 - d) the number of organizations whose scope of registration includes this Sector Scheme for comparison against the Schedule of Suppliers

Note 1: This is to be issued to the Chairperson of this Sector Scheme Committee.

Note 2: 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 May/June and October/November), so that it may be considered during the Liaison meeting.

Note 3: 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 Schemes 13 for the Supply and Application of Surface Treatments to Road Surfaces

Section 1 - General Information

The information contained in this appendix has been collated by the NHSS committee to provide CB assessors with the background information that is considered appropriate for carrying out an assessment against BS EN ISO 9001 and these NHSS documents. During the development of the Appendices it was realised that this information would also provide useful guidance for first and second party auditors of the system.

Section 2 - Requirements

In addition to an assessor/auditor having a general appreciation of the requirements and processes required by BS EN ISO 9001, a CB assessor or other auditor should be aware of the following when completing an audit:

2A General background to the NHSS 13

- i) The reasons for development of the National Highway Sector Schemes (NHSS) and this scheme in particular, and for CB assessors, examples of where its absence has caused concern/problems.

This is normally contained in the introduction to the scheme, in this instance the scheme 13 was initially developed with RSDA, SSCA, HA, CSS.
- ii) To whom the scheme applies. See Scope in this NHSS document and appendix L.
- iii) Contact details of those that can offer scheme specific assistance – Chairman of the Advisory Committee of the Sector Scheme, see introduction and appendix J1. (This should be contained in the organization's quality documentation/NHSS documents.)
- iv) An overview of the highway infrastructure that the scheme applies to see reference documents in Appendix B and visit the RSTA website www.rsta-uk.org.
- v) The range of contracts that the scheme can apply to. (See Scope in this document and Appendix L).
- vi) Specific types of works that the scheme applies to. (See Scope [section 1] 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 document).
- viii) Diagram of routes to competency of personnel (including management, supervisors and other employees etc) delivering the scheme services.

Information/guidance is contained in Appendix C of the scheme document, however the organization'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 CITB and RSTA 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 for Road Surface Treatments. In particular those relating to product conformity, type testing and their requirements. Familiarity with SHW especially Series 900, notes for guidance for the SHW, (including when these are updated), the Design Manual for Roads and Bridges and Interim Advice Notes issued by Highways England.

xi) Relationship with other NHSSs and their applicability to this scheme e.g. NHSS12A/B/D relating to temporary traffic management.

Knowledge of processes and their applicability involved in the design, establishment, maintenance and removal of temporary traffic management measures.

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

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

Section/Clause	Particular requirement 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 relating to external context.
4.2 Understanding the needs and expectations of interested parties	N	Check annually that the organization has determined interested parties, their requirements and is monitoring and reviewing the data.
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 organization considers appropriate 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 registration is current. Check up-loaded information is current and check that SSAC secretary has been notified.
5. Leadership		
5.1 Leadership and commitment	Y	Check policy gives top management support for NHSS 13.
5.1.1 General	Y	Check policy documented information. Ensure that policy is being correctly implemented, communicated and understood.
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), animal including wildlife handling etc. Ensure customer feedback documents are in place on completion of the contract. Check that organization is meeting and maintaining customer requirements.

5.2 Policy		
5.2.1 Establishing the quality policy	Y	Ensure objectives are covered in the quality plan and in policy documented information.
5.2.2 Communicating the quality policy	Y	Ensure that policy documented information is available as necessary and is being communicated and implemented.
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. Ensure that the organization management have appointed a member 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 & 6.1.2)	Y	Check that documented information is in place to address risk and opportunities and is operational.
6.2 Quality objectives and planning to achieve them (6.2.1 & 6.2.2)	N	Check documented information is in place and meets requirements. Check that quality planning is in place and evaluated. See Appendix A
6.3 Planning of changes	N	
7. Support		
7.1 Resources	N	
7.1.1 General	N	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, C and D
7.1.3 Infrastructure	N	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	Y	Examine records of daily checks and calibration certificates.
7.1.5.1 General	Y	See Appendix E.
7.1.5.2 Measurement Traceability	Y	See Appendix E.
7.1.6 Organizational knowledge	N	
7.2 Competence (7.2.1 & 7.2.2)	Y	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 and D.
7.3 Awareness	N	

7.4 Communication	N	Check internal and external communication processes have been established.
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	N	Ensure that all required contract specific documents are in place.
7.5.3 Control of documented information. (7.5.3.1 & 7.5.3.2)	Y	Ensure that all required contract specific documents are in place. 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	N	Check effectiveness of communication arrangements.
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 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 & 8.2.3.2)	Y	Ensure contract tender review is in place with an appropriate timescale and assessment of availability of resources.
8.2.4 Changes to requirements for products and services	N	
8.3 Design and development of products and services		
8.3.1 General	N	Check that contract/tender review is in place.
8.3.2 Design and development planning	N	
8.3.3 Design and development inputs	N	
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	Ensure or seek evidence that documented information is in place for externally provided product and services to meet specified requirements. Check NHSS registration of subcontractors.
8.4.2 Type and extent of control	N	Seek evidence that documented information is in place. Check for 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. Refer to Appendix E.
8.5.2 Identification and traceability	N	Cover during procedure review and check that relevant documented information is in place.
8.5.3 Property belonging to customers or external providers	N	Seek evidence that documented information is in place.
8.5.4 Preservation	Y	Cover during procedure review.
8.5.5 Post-delivery activities	Y	
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.
8.7 Control of non-conforming process outputs, products and services. (8.7.1 & 8.7.2)	Y	Ensure processes are in place and has been implemented in line with contract specification. Check documented information.
9 Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
9.1.1 General	Y	Check planned results Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Review copy of annual management review. Ensure this contains continuous improvements to the relevant sector scheme.
9.1.2 Customer satisfaction	N	Check evidence, that organization is meeting customer requirements.
9.1.3 Analysis and evaluation	N	Check processes are achieving planned results. Check analysis of data has provided information to demonstrate effectiveness of QMS and evaluation of continued improvement.

9.2 Internal audit (9.2.1 & 9.2.2)	Y	Check internal audits are being carried out and ensure corrective actions have been made.
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	N	Seek evidence that the output and actions are considered by top management at regular intervals.
10. Improvement		
10.1 General	N	Check effectiveness of improvement.
10.2 Nonconformity and corrective action (10.2.1 & 10.2.2)	N	Seek evidence that documented information is in place and operational.
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 etc; 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 road Surface Treatments
- Aware of current best practice including temporary traffic management measures (including site arrangements)

- 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)
 - 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
 - Been inducted on site specific H&S issues. (Daily if necessary)
 - Hold the relevant 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 will not be put at 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
- (Note: Public in this instance includes personnel employed by the customer/client)*
- 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/ Testing/Workmanship
- Auditors should be aware of the importance of inspection and testing of the product and have knowledge of the relevant tests and the information provided by the tests.
- C7 Health and Safety
- Auditors should be aware of the Health and Safety at Work etc Act 1974 and associated Health and Safety Legislation, as it applies to this sector scheme for road Surface Treatments 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. 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.
- 1.3 In the absence of assessment including if a site visit has not been carried out over a 3 year period then evidence must be provided of site activity (records, video recording etc) to ensure that registration can be maintained.

2. Guidelines for New Entrants – Requirements

- 2.1 Organizations must have the required experienced and qualified NHSS13 personnel and management who meet the requirements of this Sector Scheme. Organizations will need to demonstrate that their equipment and systems meet the requirements of this Sector Scheme.
- 2.2 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.
- 2.3 In addition to any requirement for the organization to notify the Secretary of the Sector Scheme, as detailed in paragraph 4.4 of section 4 of this SSD, the organization shall record their registration to this sector scheme on the Schedule of Suppliers website www.lantra-awards.co.uk/schedule-of-suppliers or www.scheduleofsuppliers.co.uk/ upon receipt of the certificate issued by their certification body to confirm their registration and thereafter keep their organization's information up to date.

3. Interim Arrangements for Initial Implementation of this Sector Scheme

- 3.1 Not used.

4. Trade Associations

- 4.1 Membership of a trade association is not a requirement of this Sector Scheme, however, the following associations support this Scheme along with the training and competency routes discussed in Appendix C. Their details are included here for information.

- The Road Surface Treatments Association www.rsta-uk.org

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 Road Surface Treatments
C/o The Road Surface Treatments Association
Technology Centre,
Wolverhampton Science Park,
Glaiser Drive,
Wolverhampton,
West Midlands WV10 9RU
Tel: 01902 824325
Email enquiries@rsta-uk.org

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 exceptional 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 and/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 satisfactorily resolved written complaints should be made to the organization's certification body and/or notified body as appropriate, detailing the problem identified.

(Where a CE marked product is deficient the organization will need to a) advise the client and b) formally advise the local trading standards officer who should take appropriate action).

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 organizations, their management agents or principle contractors where contracts can be or may have been awarded to organizations 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 on 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 / Inspection Bodies

Whilst this is covered within NHSS 0 Part 4 it was felt that the scopes and sub-scopes were important to have this as a mandatory appendix.

NOTE: Inspection certificates are not a normal requirement of NHSS but may apply to vehicle recovery (NHSS 17). 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 another 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 13 – Sector Scheme for the Supply and Application of Surface Treatments to Road Surfaces.

The identification of each and every location to which the CoR is applicable.

The services/product offered by the organization at each location identified on the CoR for NHSS 13 for the Supply and Application of Surface Treatments and any applicable categories with associated typical sub-categories where applicable.

Logos for the NHSS, UKAS (or equivalent) and the CB.

The name and address(es) of the organization

The validity of the certificate (ISO 9001 – 3 years)

A unique reference number/code

The signature of a relevant CB official with their 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 to their certificate i.e. the validity of the certificate will not be reset following their NHSS assessment.

Categories of services offered by this scheme are

The	Supply	of	Surface Dressing	In accordance with NHSS13
	Application		Slurry Surfacing to Footways	
	Supply and Application		Micro-surfacing to Carriageways	
			Spray Injection Patching	
			Geosynthetics and Steel Meshes	
			Retexturing Techniques	
			Deep In-situ Recycling	
			Any combination of sub-categories	

(Note: These lists are not exhaustive and the description of the categories and sub-categories may vary from time to time. Sector scheme committee secretaries are respectively reminded that they should inform the Certification Body via the NHSS Liaison Committee of changes in categories or sub-categories prior to the biannual meetings of the NHSLC, so that NHSS 0 part 4 can maintain currency)

Appendix K1: Sample Skills Card – Refer to Appendix C

Appendix L: Guidance for Clients

1 General

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

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

2. Specific Guidance

- 2.1. Reference should be made to Appendix M before deciding whether to specify that organizations should be registered to NHSS13, as registration to other NHSSs may include relevant requirements for Road Surface Treatments.
- 2.2. NHSS 13 for Road Surface Treatments was originally conceived as a document for use by Clients to specify the minimum standards for quality, training and competence of organizations used by them to carry out Road Surface Treatments.
- 2.3. The implementation of the NHSS and development of training and competency requirements is intended to provide:
 - a) A competent workforce able to carry out Road Surface Treatments successfully.
 - b) Requirements to evaluate risks and develop processes associated with Road Surface Treatments and the production of an associated comprehensive quality plan for each contract.
- 2.4. It is necessary for the Client to ensure that all those involved in carrying out Road Surface Treatments are appropriately trained, skilled and competent, whether or not they are directly employed. The training and assessment of competency schemes described in this SSD are designed to cater for the range of skills within the overall process of Road Surface Treatments.
- 2.5. Clients and Customers that require confirmation of compliance with the Contract Specification in respect of the supply of services, products or materials should confirm that the quality management system certificate issuer is accredited by UKAS or equivalent and that specific reference is made to relevant NHSS on certificates. (See Appendices F and K respectively)
- 2.6. For the NHSS to achieve its objectives it is essential that Clients, either directly or via the agents and individuals they employ, ensure that the requirements of this document are complied with. This includes ensuring that sub-contractors employed directly or indirectly, are registered to the NHSS. Supervisory staff must be instructed to carry out spot checks of identification/skills cards.
- 2.7. The Schedule of Suppliers Management Team have established and manage a schedule of registered companies that have been registered to National Highways Sector Schemes; free access to the schedule is obtained by logging on to the Lantra website www.lantra-awards.co.uk/schedule-of-suppliers.aspx . However, it should be noted that only those companies that register on the schedule are listed. Clients should contact Lantra Awards by email at sales@lantra.co.uk to ascertain/check the status of company if it is not listed on the schedule.

2.8 Client check list

The following can be used to assess the validity of contracting organization claims for compliance with this SSD:

- 1 Is the organization listed on the Lantra website for the scope of work required?
- 2 Is there an ISO 9001 certificate present?
- 3 Has the ISO 9001 certificate been extended to cover NHSS 13?
- 4 Is the Certification Body that issued the certificate accredited to UKAS for ISO9001?
- 5 Is the Certification Body that issued the certificate accredited to UKAS for assessments to NHSS 13?
- 6 If the answer to 4 or 5 is No – is the accrediting body equivalent to UKAS and accepted as such by UKAS?
- 7 Does the scope of works of the ISO 9001 certificate, covered by the NHSS 13 extension cover the actual works intended to be covered by the contract?
- 8 Is there a valid (in date) organizational NHSS13 Certificate?
- 9 Does the scope of works on the NHSS13 certificate cover the intended works, and does it align with the ISO9001 certificate (where issued)?
- 10 Is there an audit or surveillance visit report from the Certification Body?
- 11 If the answer to 10 is No – when is it due?
- 12 If the answer to 10 is Yes – are there any action points outstanding which should have been completed within six months?
- 13 Do the named employees to be used on the works have valid CSCS Cards relevant to the Surface Treatment?
- 14 For NHSS13 are the CSCS Blue Skilled Worker Cards endorsed with the RSTA/RSDA logo?
- 15 If the answer to 14 is no then the CSCS card is not compliant with scheme 13 unless “Industry Accreditation” is on the card reverse (See Appendix C Note 1).
- 16 Is the scope of the works within the competency scope of the employees?
- 17 Is the organization intending to sub-contract any of the works – other than excavation, reinstatement?

If the answer to 17 is Yes – repeat q 1-16 for that organization, if necessary replacing NHSS 13 by relevant NHSS.

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
- f) 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. Reference should be made to Highways England IAN166 for further guidance.

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 organizations 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 organizations 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 organizations 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

For health and safety information and answers to specific health and safety questions contact HSE Infoline:

- HSE Infoline

5 Other aspects

Not used.

Appendix M: Guidance for Organizations

“Not used”

Appendix N: Guidance on the Relationship Between this Sector Scheme and other NHSS's

"Not used"

Appendix O: How to Register on the Schedule of Suppliers

The process for registering on the Schedule of Suppliers is as follows:

1. Go to the Lantra Awards Schedule of Suppliers website:
www.lantra-awards.co.uk/schedule-of-suppliers.aspx or www.scheduleofsuppliers.co.uk/
2. Select "Get on the Schedule of Suppliers" or "Register now".
3. Enter the details required, including selecting the Sector Schemes that your organization operates, the Highways England Areas you cover, your certification body and the scopes of the schemes you are registered for as per your certification body registration certificate.
4. Upload a PDF copy of your current ISO 9001 certificate(s) extended to include your NHSS registration and any other specific documentation to be uploaded as specified by this SSD.
5. Submit your registration.

Lantra Awards 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 Awards do not check the content of the records going onto the site and accept no liability for the information being entered. However, Lantra Awards 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 "schedule of suppliers" team at scheduleofsuppliers@lantra.co.uk

Appendix P: Other Guidance

“Not used”.