



**NATIONAL HIGHWAY SECTOR SCHEMES FOR
QUALITY MANAGEMENT IN HIGHWAY WORKS**

Scheme 23

**PARTICULAR REQUIREMENTS FOR THE APPLICATION OF
ISO 9001:2015**

FOR

Small Scale Pavement Repairs

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Name

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CONTENTS

	Page No
COVER SHEET	1
DOCUMENT CONTROL	2
CONTENTS	3
COMPOSITION OF SECTOR SCHEME ADVISORY COMMITTEE, EXCLUSION OF LIABILITY, COPYRIGHT, SELECTION OF CERTIFICATION BODY & IMPLEMENTATION	5
INTRODUCTION	7
PARTICULAR REQUIREMENTS FOR THE APPLICATION OF BS EN ISO 9001:2015	10
1. SCOPE	10
2. NORMATIVE REFERENCE	10
3. TERMS, DEFINITIONS AND ABBREVIATIONS	10
4 - 10. QUALITY MANAGEMENT SYSTEM REQUIREMENTS	13
APPENDIX A: REQUIREMENTS FOR QUALITY PLANS	26
APPENDIX A1 EXAMPLE OF GUIDANCE ON KEY ELEMENTS OF THE QUALITY PLAN	
APPENDIX A2 – EXAMPLE PROFORMA	
APPENDIX B: REFERENCE AND ASSOCIATED DOCUMENTS (BIBLIOGRAPHY)	30
APPENDIX C: TRAINING AND ASSESSEMENT OF COMPETENCE	32
APPENDIX D: EXAMPLE REGISTER OF PERSONNEL QUALIFICATIONS & CPD – NOT USED	34
APPENDIX E: GUIDANCE FOR THE CONTROL OF MONITORING AND MEASURING EQUIPMENT	35
APPENDIX F: CERTIFICATION BODIES ACCREDITED FOR SECTOR SCHEME 23	36

APPENDIX G:	THE ROLE OF THE CERTIFICATION BODY AND AUDITOR QUALIFICATIONS	37
APPENDIX G1	GUIDANCE TO CERTIFICATION BODY ASSESSORS' AND INTERNAL AUDITORS' COMPETENCIES REQUIREMENTS	40
APPENDIX H:	ORGANIZATION ACCEPTANCE AND GUIDELINES FOR NEW ENTRANTS	50
APPENDIX J1:	FEEDBACK TO SCHEME COMMITTEE	51
APPENDIX J2:	FEEDBACK TO CERTIFICATION BODIES AND/OR NOTIFIED BODIES	52
APPENDIX J3:	FEEDBACK TO CLIENT BODIES ON POLICING OF NHSS REGISTRATION	53
APPENDIX K:	THE INTERPRETATION OF CERTIFICATES ISSUED BY CERTIFICATION BODIES	55
APPENDIX L:	GUIDANCE FOR CLIENTS	56
APPENDIX M:	GUIDANCE FOR OTHER NHSS COMMITTEES AND ORGANIZATIONS REGISTERED TO ANOTHER NHSS, FOR WORK WHICH INCLUDES SMALL SCALE PAVEMENT REPAIRS	60
APPENDIX N:	GUIDANCE FOR ORGANIZATIONS REGISTERED TO ANOTHER NHSS	61
APPENDIX O:	HOW TO REGISTER ON THE SCHEDULE OF SUPPLIERS	62

COMPOSITION OF THE SECTOR SCHEME ADVISORY COMMITTEE, EXCLUSION OF LIABILITY AND SELECTION OF CERTIFICATION BODY

COMPOSITION OF SECTOR SCHEME ADVISORY COMMITTEE

a) FULL MEMBERS

Association of Directors of Environment, Economy, Planning and Transport (ADEPT)
Lead Certification Body - British Board of Agrément (BBA)
Construction Industry Training Board (CITB)
Transport Northern Ireland
Highways England (HE)
Highways Term Maintenance Association (HTMA)
Mineral Products Association (MPA)
Road Condition Management Group (RCMG) of UKRLG
The Road Surface Treatments Association (RSTA)
Local Government Technical Advisers Group (TAG)
Transport Research Laboratory (TRL)
Transport Scotland (TS)
United Kingdom Accreditation Service (UKAS)
Institute of Clerk of Works (ICoW)
Civil Engineering Contractors Association (CECA)

CORRESPONDING MEMBERS

Accredited Certification Bodies
Welsh Government
NHSS 7
NHSS 8
NHSS 12D
NHSS 13
NHSS 16
NHSS 30

EXCLUSION OF LIABILITY

The Sector Scheme Advisory Committee for Small Scale Pavement Repairs

- 1 has 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 that is the subject of such assessment,
- 2 does not provide any representation or warranty as to any aspect of any such system, product or service, and
- 3 hereby expressly excludes 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

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 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 CE marking is a requirement for products regulated by a harmonised European Standard under the Construction Products Regulations (CPR), 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), which came into force on 1 July 2013, is the Department for Communities and Local Government (DCLG)).

IMPLEMENTATION

This document has been produced to supersede the UKAS 1 version (which relates to ISO 9001:2008), however UKAS 1 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 National Highway Sector Scheme NHSS 23 for Small Scale Pavement Repairs. It sets out to identify a common interpretation of BS EN ISO 9001 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 BS EN ISO 9001 and other relevant specification/standard where appropriate, as detailed in Appendix B.

2 This Sector Scheme is one of the series of National Highway Sector Schemes (NHSSs), which have been developed as bespoke integrated management schemes within an ISO 9001 framework to interpret BS EN ISO 9001 as it applies to a particular highway related activity/industry within the United Kingdom.

3 Separate Sector Scheme Advisory Committees (SSACs) for each activity within the sector provide advice to UKAS (*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 has interpreted BS EN ISO 9001 in relation to the requirements of its particular activity and has 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, health and safety and other aspects. The details are contained in the individual Sector Scheme Documents (SSDs). Following the publication of a revised BS EN ISO 9001, the committees will review their documents to ensure alignment with the revised BS EN ISO 9001 and that the SSD does not conflict with the national standard prior to withdrawal of the previous edition of the standard.

4 The individual NHSS technical advisory committees are overseen by the National 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 forum where dialogue with UKAS and the Certification Bodies on the application of the Sector Schemes takes place.

5 NHSSs, together with BS EN ISO 9001, are designed to:

- Provide an industry benchmark
- Identify risks and opportunities
- Ensure that all processes are planned
- Provide a basis for continuous improvement
- Focus on quality as an objective
- Reduce costs for Client and Organization
- Provide and maintain a properly trained and competent workforce
- Involve all sides of industry in scheme ownership within a partnership framework
- Provide the basis for the technical knowledge and experience that Certification Body auditors will use in the sector concerned
- Promote confidence in quality management systems through provision of a robust transparent system

6 The Sector Scheme shall apply only where specified by the Client in their Contract Documents for NHSS23 Small Scale Pavement Repairs.

7 In using this Sector Scheme users shall use best practice, such as specifying any other relevant NHSSs as detailed in Appendix B appropriate to the nature of the work being undertaken.

8 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 BS EN ISO 9001 and this SSD as part of their continual improvement within their BS EN 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 BS EN ISO 9001 and this SSD. Other owners of transportation infrastructure, for example local authorities, may also require their suppliers to comply with this Sector Scheme, as may other infrastructure owners.

9 Where traffic management is required companies should either employ a relevant National Highway Sector Scheme registered company or, where applicable, have skilled registered traffic management personnel qualified to meet the requirements of NHSS12D relevant to contract requirements and risk assessments. For work carried out on high speed dual carriageways and motorways the Organization installing temporary traffic management measures should always be registered to NHSS 12A/B and/or 12C.

10 The SSD is a live document, with the SSAC23 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 downloaded freely.

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

11 The Secretary of the SSAC23 maintains a list of registered Organizations. The Secretary can be contacted at the address given in 13 below.

12 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. Prior to annual and surveillance visits Certification Bodies are required to check that the Organization is registered on the website together with all relevant information, including a pdf copy of the certification of registration that the Certification Body issues and any other specific documentation to be uploaded specified by this SSD.

13 Scheme Feedback

Any feedback relating to this SSD should be provided in accordance with the procedures detailed in Appendices J1 to J3. 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 23 Advisory Committee for Small Scale Pavement Repairs
c/o The Road Surface Treatments Association Ltd,
Technology Centre, Science Park, Wolverhampton, WV10 9RU

e-mail: enquiries@rsta-uk.org

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

14 Scheme Contact

The Secretary
Sector Scheme 23 Advisory Committee for Small Scale Pavement Repairs
The Road Surface Treatments Association Ltd,
Technology Centre, Science Park, Wolverhampton, WV10 9RU

e-mail: enquiries@rsta-uk.org

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

Note: The SHW is a contract document that is periodically up-dated. As a result of this it is unlikely that the SHW will include reference to this scheme when it is published. Additionally, existing contracts may not necessarily recognise the existence of the scheme and consequently the Scheme may be included as a compensation event.”

Particular Requirements for the Application of ISO 9001:2015

1. SCOPE

1.1 SCOPE

This SSD together with BS EN ISO 9001 describes the quality management system requirements to be established by Organizations providing for Small Scale Pavement Repairs.

The document provides particular requirements for the application of this scheme additional to the requirements of 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 Organization within the scope of the defined QMS carrying out Small Scale Pavement Repairs.

This SSD applies to site operations where the repair of small scale pavement defects is the main intended activity.

The scope of this SSD excludes the requirements of Clause 7.3 of BS EN ISO 9001: – Design and Development. Such exclusion does not affect the Organization's ability, or responsibility, to provide service or product that meets customer and applicable regulatory requirements. (See section 7.3 of this document for further information).

2. NORMATIVE REFERENCE

The following normative documents contain provisions that 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
- BS EN ISO 9004: 2009 Quality Management Systems – Managing for the sustained success of an organization. A quality management approach.

3. TERMS, DEFINITIONS AND ABBREVIATIONS

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

Client:	The body for which the work is being carried out e.g. highway authority.
Certificate of Registration:	<p>A certificate issued by a UKAS accredited Certification Body certifying that the holder operates a Quality Management System complying with BS EN ISO 9001:2015 and this SSD. The Certificate will state the category (ies) of work that the holder is competent to supply.</p> <p>Note The Certificate of Registration must identify the NHSS(s) by number as well as by category and sub-category</p>
Contract Specification:	<p>The technical requirements of the contract agreement, for example the following may apply:</p> <p>i) Manual of Contract Documents for Highway Works: Volume 1:</p>

The Specification for Highway Works (Department for Transport) or as specifically required in the contract documents.

ii) Contract Specific Appendices

iii) The Contract Drawings

Components:	These comprise all the elements that make up the required pavement including, as appropriate, sub base, base materials, binder course material, surface course material, jointing sand, bedding course and jointing mortar, concrete and clay blocks, joint sealants and complementary fittings.
Customer:	The body engaging the Organization for the purpose of the work described in this SSD.
Defect:	Any imperfection or deficiency that causes part of the pavement to fall short of the required standard.
Ironwork:	Gratings, covers, gulleys, rodding eyes and other metalwork and related products installed in the road structure.
National Occupational Standard (NOS)	Provide the means for assessing performance in a job: they are work-related statements of the ability, knowledge, understanding and experience that an individual should have to carry out key tasks effectively. They provide a benchmark for qualifications
Organization's Manager	The person named in the Organization's Quality Plan as having managerial responsibility for Small Scale Pavement Repairs.
Pavement	Any paved area or surface designed and built to carry pedestrian and/or vehicular traffic.
Quality Plan	The document setting out the specific quality practices, resources and sequence of activities relevant to the project (See Appendix A).
Repair	To restore the pavement to the required condition or standard following identification of a defect or series of defects.
“shall”	The term “shall” is used in this document 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 Part 3:1997, Annex E)” (reference “guidance on terminology used in ISO 9001 and ISO 9004”).)
“should”	The term “should” is used in this document to indicate recognised means of meeting the requirements of the standard (ISO 9001). An Organization can meet these in an equivalent way provided this can be demonstrated to a Conformity Assessment Body (CAB).
Small Scale	Small scale relates to works involving plant and/or equipment that can be manually moved by the operator controlling the equipment on foot and including ride on equipment e.g. roller compactors.

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

CB (CAB)	Certification Body (Conformity Assessment Body)
CSCS	Construction Skills Certification Scheme
NHSS	National Highways Sector Scheme
SSAC	Sector Scheme Advisory Committee
SSD	Sector Scheme Document
SMALL SCALE PAVEMENT REPAIRS	Small Scale Pavement Repairs
UKAS	United Kingdom Accreditation Service or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory with a scope that includes this sector scheme.

Note: The terms and definitions given in ISO 9000 remain applicable.

4 to 10 QUALITY MANAGEMENT SYSTEM REQUIREMENTS

Particular Requirements ISO 9001:2015

Introduction

This document shall 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 a particular requirement for that clause.

Where the term "No specific particular requirement" is used in this SSD the requirements are as stated in ISO 9001:2015 without further qualification.

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 in addition to ISO 9001:2015.

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 organisations and stakeholders.

4.3 Determining the scope of the quality management system

This SSD applies to site operations where the repair of small scale pavement defects is the main intended activity.

The SSD is applicable to Organizations carrying out any of the following Small Scale Pavement Repairs to:

- a) asphalt pavements
- b) concrete pavements
- c) modular paving and block work – refer to NHSS 30
- d) surround to surface apparatus (including ironwork)
- e) road surface treatments

Including but not limited to the following techniques:

1. sealing pavement cracks and failed joints
2. spray injection patching – refer to NHSS13
3. thermal road repairs

The SSD together with the sub-scopes a) to e) shall be referenced on the Certificate of Registration issued by the Certification Bodies (See Appendix K).

The scope of this SSD excludes the requirements of Clause 7.3 of BS EN ISO 9001: – Design and Development. Such exclusion does not affect the organization’s ability, or responsibility, to provide service or product that meets customer and applicable regulatory requirements. (See section 7.3 of this document for further information).

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 Scheme Secretary 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 and 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 notified to the Client/customer/interested parties as required.
- (iii) A copy of all relevant working methods and risk assessments for undertaking the works shall be available on site.

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 in addition to ISO 9001:2015.

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 identify in the Quality Plan those persons with specific responsibility and authority for the management and implementation of contract requirements on each project. Responsibilities should be identified in a task-based manner, with typical areas of responsibility likely to include:

- overall managerial responsibility for implementation of the pavement repairs and all contractual requirements,
- technical interpretation of the requirements of the contract specification,
- establishment and control of a pavement repair operation to meet the requirements of the contract documentation,
- safe and correct operation of all plant and equipment used in the pavement repair process,
- control of the pavement repairs that will meet the requirements of the contract specification with particular reference to laying to line and level and to compaction of the bound and/or unbound layers,
- health, safety and environmental aspects of the pavement repairs,
- traffic management responsibilities,

such that the quality of the pavement repair process is not compromised.

For smaller schemes and organisations, one individual may have responsibility for a number of these tasks, and for a number of sites, although this may not necessarily be practicable or desirable.

6 Planning

6.1 Actions to address risks and opportunities

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

6.1.2 No specific particular requirement in addition to ISO 9001:2015.

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 small scale pavement repairs activities.

6.3 Planning of changes

No specific particular requirement in addition to ISO 9001:2015.

7 Support

7.1 Resources

7.1.1 General

All necessary facilities, equipment and personnel shall be available to carry out the required processes, inspections and tests in order to undertake all the requirements for small scale pavement repairs in accordance with the contract.

7.1.2 People

Operatives and supervisors shall have the qualifications and experience listed in Appendix C. Management of Competency.

7.1.3 Infrastructure

Requirements for levels of plant, equipment and sub-contract resources for contracts shall be determined and substantiated by the Organization and included in their Quality Plan and method statement for the works.

7.1.4 Environment for the operation of processes

(i) In planning and maintaining the work environment due consideration shall be given to the fact that works may be taking place in areas shared with the public. All necessary measures shall be taken to keep the environment safe for all including disabled persons.

(ii) Works shall be planned so that disruption to the public is kept to a minimum.

(iii) The work area shall be kept neat and tidy and safe.

(iv) The Organization should consider the hazards that may arise whilst undertaking small scale pavement repairs and undertake a risk assessment for every specific site with due regard to the current version of "The Red Book" (Safety at Street Works and Road Works). This requires that all road works are legally bound to follow this Code of Practice, not just Utility Street Works.

7.1.5 Monitoring and measuring resources

7.1.5.1 General

No specific particular requirement.

(See Appendix E for guidance.)

7.1.5.2 Measurement traceability

Manufacturer's guidance for the maintenance, servicing and calibration of equipment shall be taken into account within the quality management system.

(See Appendix E for guidance.)

7.1.6 Organizational knowledge

Reference and legal documents listed in Appendix B are the main documents relevant to this scheme, however it should be noted that the list is only current at the time this version of the scheme document was published. The employer is responsible to

ensure that the latest issues of these documents are being used.

7.2 Competence

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.

Requirements

- (i & ii) Organizations shall demonstrate their commitment to development and training of personnel. Requirements for appropriate levels of competency, experience and qualification, training and staffing shall be determined and substantiated and regularly reviewed by the organization. Guidelines for the demonstration of competency requirements for organization personnel are outlined in Appendix C.

NOTE 1: The above requirements apply equally to staff directly employed by the organization or to staff employed under sub-contract to the organization.

NOTE 2: As Temporary Traffic Management is likely to be a consideration in small scale pavement repairs, the training and competency of personnel carrying out such work needs to be considered. Guidance for organizations certificated to this Scheme, but not for any of the Sector 12 Schemes for Temporary Traffic Management, can be found in Appendix M of the Sector 12 D Scheme Document available to download from www.ukas.com.

- (iii) The Organization shall create and maintain a record of training and practical experience and assessment of competence for each operative/employee giving the scope of their competency as detailed in the scope of this Sector Scheme (See Para. 4.3).organization
- (iv) The organization shall create and maintain a register of employees as part of the organization's competency management documented information. "(See Appendix D)"
- (v) 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.
- (vi) Operational requirements, number of qualified employees to be engaged in Sector Scheme activities, ratio of qualified personnel to non-qualified personnel including trainees. This may be better included in Clause 7.1.2]
- (vii) NOTE: NVQs were proposed to be phased out following the introduction of the qualifications credit framework (QCF), although they may remain in use for some English Apprenticeships. The qualifications credit framework (QCF) had introduced a system of Awards, Certificates and Diplomas; details of the relevant qualifications structure are provided in Appendix C. The QCF system in England was withdrawn in 2015 and replaced with RQF a revised structure, which has Total Qualification Time (TQT) as well as credit and Guided Learning Hours (GLH). Qualifications under the QCF system will continue to be recognised as should equivalent qualifications obtained in Scotland, Wales and N. Ireland.

7.3 Awareness

No specific particular requirement in addition to ISO 9001:2015.

7.4 Communication

The relevant Quality Plan and standard operating procedures shall be communicated to all relevant employees.

7.5 Documented Information

7.5.1 General

Quality Plans shall be required for all contracts.

When specified in the contract documents or requested, the Organization shall submit a Quality Plan or alternative document as defined in the Contract Specification for acceptance or approval by the Client, as appropriate, prior to commencement of work (See Appendix A).

The relevant Quality Plan and standard operating procedures shall be communicated to all relevant employees.

The Organization shall have in place auditable processes to identify publication of relevant new documents/standards and implementation requirements (See Appendix B, note 2).

Quality manual

The quality manual shall outline the scope of the quality management system, and shall detail reasons for any specific exclusions.

The quality manual shall indicate the quality management system's compliance with this SSD and include a means for identifying and detailing the specific processes that directly affect the quality of the small scale pavement repairs.

Control of documents

As part of the Organization's procedures documents required by the Quality Management System shall have controlled status. The Organization shall have procedures in place to ensure that the latest versions of the relevant standards and documents are always available (see Appendix B).

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 document 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 Quality Plan 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 should be taken which links the Quality Plan, Environmental Plan, Sustainability Plan, the Health and Safety Plan, Risk Management etc. together.

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

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

Note 3: Client duties under CDM require the provision of known information and cooperation and coordination with the principal/main contractor.

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

8.2 Requirements for products and services

8.2.1 Customer communication

(i) The Organization shall have a process in place to record their registration to this sector scheme on the Schedule of Suppliers website www.lantra-awards.co.uk/schedule-of-suppliers upon receipt of the certificate issued by their Certification Body to confirm their accreditation and thereafter check its suitability annually.

The Customer needs to be informed about the products, that is, they require detailed information as appropriate regarding materials, components, manufacturing details etc. for the purposes of:

(a) as-built records for maintenance/health and safety requirements.

(b) for their own monitoring of the effectiveness/performance of the product.

NOTE: an example of suitable information to be recorded by the contractor during completion of the works is included in Appendix A.

(ii) The Quality Plan shall identify what and when relevant information is passed on to the Customer or their agent.

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

components, manufacturing details etc. for the purposes of:

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

8.2.2 Determining the requirements for products and services

The contract review process shall include procedures to ensure that the requirements of the customer and the contract specification are fully understood. There shall be provisions to ensure that any changes in customer or contract requirements are similarly reviewed and that such changes are communicated to appropriate personnel in the organisation.

Safe working methods shall be documented and any deviation from these methods should be agreed with the Client.

A copy of the risk assessment shall be available on site for inspection by the Client's representative

8.2.3 Review of the requirements for products and services

8.2.3.1 (i) The processes for review and determination of requirements shall require the Organization to verify with the Customer that the order placed meets the technical requirements included in the Client's Contract Specification.

(ii) The Organization's representatives shall, at the earliest opportunity prior to commencement of any small scale pavement repairs, review and evaluate the technical aspects of the end product required and check the practicality of the proposed measures and work instructions, and also the Organization's ability to provide such product. Where appropriate this will include liaison with the customer and/or third parties, in particular the highway or road authority, and the police. When irregularities or inconsistencies with the specification, health and safety requirements or other concerns (including concern over the anticipated performance of the completed repair) are encountered, then these shall be brought to the attention of the customer for resolution.

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

8.3 Design and development of products and services

8.3.1 General

No specific particular requirement, see also Quality Plan, however Small Scale Pavement Repairs are generally undertaken to customer-supplied requirements or maintenance standards. As a result this does not affect the organization's ability, or responsibility, to provide a service or product that meets customer and applicable regulatory requirements, nor to carry out design and development as part of its commitment to continual improvement.

8.3.2 Design and development planning

No specific particular requirement refer to 8.3.1.

8.3.3 Design and development Inputs

No specific particular requirement refer to 8.3.1.

8.3.4 Design and development controls

No specific particular requirement refer to 8.3.1.

8.3.5 Design and development outputs

No specific particular requirement refer to 8.3.1.

8.3.6 Design and development changes

No specific particular requirement refer to 8.3.1.

8.4 Control of externally provided processes, products and services

8.4.1 General

In addition to ISO 9001:2015 please see below:

Delivery documentation shall be inspected by a competent person to verify that the delivery satisfies the purchase requirements.

The Organization shall identify and plan the supply and installation processes. The control procedures shall verify that suppliers of incoming materials, equipment and services are capable of providing the required quality and adequate supplies in order to maintain the planned rate and quality of production of the pavement repair.

(i) For highway use, appropriate products shall be CE marked complying with the relevant harmonized European Standard as applicable to the national regulation or be proprietary.

(ii) Where the provision of ancillary activities such as road marking or temporary traffic management are procured only suppliers with Certification to the relevant NHSS shall be used.

Materials, products and services shall be selected in accordance with the contract (specification) documents including compliance with other relevant NHSS. (See appendix A of the SHW).

8.4.2 Type and extent of control

No specific particular requirement in addition to ISO 9001:2015.

8.4.3 Information for external providers

The specification and tolerances for incoming materials, equipment and services (including records and/or personnel training requirements for any services) to be procured shall be established and communicated to suppliers by appropriate traceable and confirmable means (e.g. faxed, emailed or written instructions, and recorded or transcribed telephone messages).

8.5 Production and service provision

8.5.1 Control of production and service provision

(i) Quality management system documentation shall be established to describe the flow of materials and the processes carried out on them, including inspection and testing if

required, from delivery through to hand-over to the customer. This shall incorporate a written method statement and/or flow diagram to demonstrate the process control measures, personnel and equipment necessary to maintain the quality of the small scale pavement repair in conformity with the specification and the records that are to be established, and shall reflect any site specific requirements.

(ii) Supplier performance shall be assessed and monitored by a nominated representative of the organisation, at a frequency to be determined by the organisation dependent on the period and quantity of supply.

(iii) The Organization shall ensure it has knowledge of the 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.

(iv) When the Organization is a sub-contractor, take all reasonable steps to ensure the information in (iii) above 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.

(v) Where samples of the components of the installation are required they shall be taken in accordance with relevant Standards or methods by appropriately trained and competent personnel, who should be able to show evidence that he/she has received training in the sampling of such materials (see Appendix C).

(vi) Works orders, risk assessment and NHSS23 quality plans for the undertaking of small scale pavement repairs shall be signed by the designated Management Representative in the Quality Plan and retained for 6 years. They will also be submitted to the Client if requested.

(vii) The quality management system documentation shall identify those items of plant and measuring equipment that require calibration and the frequency of such calibration. Items requiring monitoring include level control devices, tapes and rulers etc.

(viii) The Organization's system shall include documented procedures to demonstrate the manner and frequency of the calibration of the measuring and test equipment. (See Appendix E for guidance).

8.5.2 Identification and traceability

There must be an auditable process of document retention which can be clearly identified and traced.

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

8.5.3 Property belonging to customers or external providers

The quality management system shall include a procedure where materials are supplied by the Customer, an identified agent or the Client (if required in the contract specification), to ensure that the property or material is safeguarded from damage, deterioration or misuse. This is particularly important where those products are not installed by the organization itself e.g. third party sub-contract organisations such as ground workers, drainage contractors etc.

8.5.4 Preservation

The quality management system documentation shall contain procedures to ensure that all the pavement repair components are delivered, handled, stored, mixed, laid and compacted with the minimum of segregation or degradation and in an appropriate ambient temperature to ensure the works can be constructed as required by the contract.

The quality management system documentation should describe the characteristics of any

storage system or facilities e.g. at a central depot, or in a site-based silo or store and define their mode of operation. The organization should ensure through checks, inspections and records that such facilities are used correctly and that stored materials including those returned from site, maintain their suitability for use.

NOTE: This SSD applies both to situations where the organization is responsible for collection and delivery by truck to the repair site and to those where the organization receives deliveries directly from a supplier. The quality management system documentation should make clear the point to which the organization's responsibility for handling, storage and delivery extends.

8.5.5 Post-delivery activities

No specific particular requirement in addition to ISO 9001:2015.

8.5.6 Control of changes

No specific particular requirement in addition to ISO 9001:2015.

8.6 Release of products and service

Monitoring of quality of the installed works shall be carried out (see 8.5.1). The number of checks carried out shall be sufficient to demonstrate the works have been constructed as stated in the contract.

8.7 Control of non-conforming 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 Non-conforming components shall not be used unless written approval has been received from the Client.

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.

The quality management system documentation shall identify the control procedures to be taken when non-conformity in materials, preparation or undertaking of small scale pavement repairs.

Some inconsistencies and/or irregularities may not initially be reasonably evident e.g. as a result in delays in receipt of test results on a component or within the control of the organization and can arise during or after the laying process. The organization may seek concessions from the customer with regard to acceptance or repair as a result of such factors.

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

This includes the ongoing impact of Small Scale Pavement Repairs on other works including congestion and traffic flows.

All sampling and testing required shall be carried out by suitably trained personnel in

accordance with the relevant procedures.

All records required by the customer shall be provided promptly and form part of the quality records.

Prior to handing the finished pavement/work over to the customer (or at appropriate stages during the repair process), inspection shall take place and any problems recorded. Appropriate action to either correct or monitor any problems shall be planned and recorded. When appropriate, the final inspection and/or corrective measures (including monitoring) may be carried out/agreed with the customer.

The Quality Plan shall provide the detailed plan for monitoring and measurement of processes in delivery of Small Scale Pavement Repairs.

9.1.2 Customer satisfaction

Where customer complaints or observations are made on the quality of the works these shall be noted and referenced in the quality records.

9.1.3 Analysis and evaluation

No specific particular requirement in addition to ISO 9001:2015.

9.2 Internal audit

9.2.1 No specific particular requirement in addition to ISO 9001:2015.

9.2.2 Internal audits shall be scheduled such that the whole of the Organization's quality management system is audited at least annually. Activities on site are to be included in the scheduled audits. Each gang shall be subject to at least a full annual audit. This shall always include assessing the actual repair taking place and also the relevant associated site activities. Relevant activities might include the preparation of underlying structural elements (e.g. substrate), treatment of joints and ironwork and the preparation of and cutting of modules, public safety and the ongoing impact of the works on other activities including pedestrian and vehicular flows. (Where the organization does not have contracts that 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 NHSS23 activities. Internal audits shall be carried out by suitably trained and qualified personnel (see Appendix G1).

9.3 Management review

9.3.1 General

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

9.3.2 Management review inputs

No specific particular requirement in addition to ISO 9001:2015.

9.3.3 Management review outputs

No specific particular requirement in addition to ISO 9001:2015.

10 Improvement

10.1 General

No specific particular requirement in addition to ISO 9001:2015.

10.2 Nonconformity and corrective action

10.2.1 Non-conformity of the quality management system shall be reviewed and procedures for taking corrective action shall be followed.

The organization shall also take action to eliminate the cause of nonconformities in order to prevent recurrence.

10.2.2 No specific particular requirement in addition to ISO 9001:2015.

10.3 Continual improvement

The corrective and preventative action processes including risk assessment 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 describing the line of command and stating the names of the organization's Manager responsible for the contracted work. Where it is proposed to use a sub-contractor, term maintenance contractor/in house operator this shall be stated and details provided. All sub-contractors, term maintenance contractors/in house operators shall also comply with all requirements of this sector scheme.
- 1.3 Identification of the relevant parts of the organization's quality manual relevant to the product or service being provided.
- 1.4 The control of team selection including any 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(s) 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)

2.0 Contract specific information

- 2.1.1 The Customer's nominated Quality Manager, project manager and/or other representatives through whom communication is to be made throughout the contract.
- 2.1.2 Names of the staff involved with the contract including details of qualified personnel and site contact details.
- 2.2 Details of the contract specific equipment to be used and any certification required to be issued to the Customer/Client.
- 2.3 Name and contact details of Customer/Client contact(s).
- 2.4 Details of the communications required between the organization's staff and the Customer/Client or any other party.
- 2.5 Work programme and details of deliverables.
- 2.6 Liaison with the police and the highway authority or other competent authority.
- 2.7 Materials storage details and location
- 2.8 Method statements for application/installation of small scale pavement repairs in accordance with the contract specification.
- 2.9 Inspection and testing regime to be adopted covering frequency, methods of test, responsibility for testing and acceptance criteria.
- 2.10 Control of non-conforming product.
- 2.11 How performance requirements are to be achieved.
- 2.12 All relevant contract specific information in respect to speed restrictions, safety requirements, environmental requirements, existing conditions and site conditions.
- 2.13 Any client-specified testing requirements and responsibility for testing including the supply of test equipment.
- 2.14 Risk Assessments

NOTES:

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

APPENDIX A1: EXAMPLE OF GUIDANCE ON KEY ELEMENTS OF THE QUALITY PLAN

NOTE: This is an example of many of the elements (and supporting documentation for these) that are likely to be drawn from the contract documents. This 'checklist' is not exhaustive but may assist an organisation in preparation and development of its quality system and procedures.

General	<ul style="list-style-type: none"> • Management Responsibility • Demonstration of commitment to Sector Scheme 23 • Resource Management • Training/Qualifications/Experience requirements for compliance with Sector Scheme 23 • Auditing 	
Prior to works commencing	Materials <ul style="list-style-type: none"> • Approval • Delivery/Collection • Storage • Test certificates or verification of source e.g. Sector Scheme 14, HAPAS etc 	Resource <ul style="list-style-type: none"> • Compaction equipment • Sweeping equipment • Planers/cutting and breaking Saws/equipment • Competent personnel • Equipment test certificates, maintenance schedules, calibration records • Road marking / stud replacement
Site/Contract Parameters	Health and Safety <ul style="list-style-type: none"> • Safety Plan and risk assessments Traffic management <ul style="list-style-type: none"> • Procedures for establishing and implementing site specific requirements • Competency of responsible staff, Ch8/Sector Schemes/NRSWA/ The “Safety at Street Works and Road Works” • Review and satisfy highway authority permit conditions e.g. traffic control Climate <ul style="list-style-type: none"> • Temperature/rainfall monitoring /recording Design <ul style="list-style-type: none"> • Extent of responsibility for design/treatment selection 	
During installation	Detailed programme of work Works instructions <ul style="list-style-type: none"> • Process/equipment used • Tack coat/bond coat/edge seal • Method statements • Site suitability for specified/proposed treatment • Location of joints / surface apparatus Installation records (see also Appendix A2) <ul style="list-style-type: none"> • Location, layer thickness, material type, delivery tickets, temperatures, visual inspection of loads/stockpiles, weather, area repaired • Condition of substrate • Site testing/sampling, including required frequency Equipment checks <ul style="list-style-type: none"> • Suitability/condition/calibration 	

Aftercare	Where applicable, procedures for: <ul style="list-style-type: none"> • Overband sealing • Gritting • Sweeping • Road marking / studs • Opening to unrestricted traffic • Inspection • As built records • Complaints
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NOTE: *The Road Death Investigation Manual* requires highway authorities and operators to maintain, and provide for investigation, records of highway construction and maintenance activities, particularly if the road surface is suspected to be a contributory factor in an accident. Clients should give careful consideration to the records that they will need to specify within contracts for retention for this purpose (See Appendix L).

APPENDIX A2 – EXAMPLE PROFORMA

Client	Client Contact	Contact Details	
Location of Works	Site Access / Times	Traffic Volumes	
Opening Details			
Carriageway Position			
Dimensions			
Depth			
Existing/Adjacent Carriageway			
Type of Material			
Condition			
Weather Conditions	Substrate Temperatures	Ambient Temperatures	
Nature of the Repair	Emergency / Planned		
Provision of Traffic Management	TM by	Type of TM	TM plan
Preparation			
Tack/Bond Coat/Edge sealer Batch Number			
Repair Material Batch Number			
Over-banding treatments			
Installation Team			
After care / Visual Assessment			

APPENDIX B: REFERENCE AND ASSOCIATED DOCUMENTS (BIBLIOGRAPHY)

NOTE

The listing is not comprehensive and other documents may be required to fulfill the requirements of the contract. Organizations or their agents* shall ensure that they have a working knowledge and access to all the documents including amendments unless stated otherwise in the specification.

(*Allows for the use of sub-contractors when required).

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 procedures 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. Amendments are made to documents on a regular basis. Users should check that they are consulting the appropriate or most recent version of the documents in relation to the contract documentation.

1. REFERENCE DOCUMENTS

- 1 Manual of Contract Documents for Highway Works: Volume 1 Specification for Highway Works (SHW), and amendments.
<http://www.standardsforhighways.co.uk/ha/standards/mchw/index.htm>
(See note 2)
- 2 Manual of Contract Documents for Highway Works – Volume 2 Notes for Guidance on the Specification for Highway Works (NGSHW), and amendments.
<http://www.standardsforhighways.co.uk/ha/standards/mchw/index.htm>
(See note 2)
- 3 BS EN ISO 9000 (latest issue) - Quality Management Systems – Fundamentals and Vocabulary
- 4 BS EN ISO 9001 (latest issue) - Quality Management System – Requirements
- 5 ISO 9004 (latest issue) - Quality Management Systems – Managing for the sustained success of an organization. A quality management approach.
- 6 ACPO Road Death Investigation Manual (latest issue)
- 7 Scottish Police Road Death Investigation Manual (latest issue)

Bibliography

1. Construction (Design & Management) Regulations
2. Manual of Contract documents for Highway Works Volume 3 Highway Construction Details.
3. Design Manual for Roads and Bridges.
4. Traffic Signs Manual Chapter 8: Traffic Safety Measures and Signs for Road Works and Temporary Situations (latest issue).
5. Traffic Signs Regulations and General Direction .
6. Safety of Street Works and Road Works: A Code of Practice.
7. Other Sector Schemes where relevant and in particular NHSS 12D
8. Guidance on Notified Body's Tasks of Technical Documentation Assessment on a Representative Basis; Best Practice Guide (latest issue)
9. Other product and application specifications and regulations issued by Government Departments, Statutory and Local Authorities or any other specifications as appropriate and agreed between the suppliers, the organisation, sub-contractors and the customer.

Note 1: The 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 2: 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. Sector specific Competency Guidelines and targets are currently under development.

Any programme of training, development and assessment appropriate to the job function(s) and levels of supervision should be shown to meet the relevant National Occupational Standard(s) (NOS) and any relevant legal requirements.

To demonstrate continuing competence, a record of relevant Continuing Professional Development (CPD) to be kept, preferably in accordance with a professional scheme.

2. Relevant Occupational Skills for use of Plant & Equipment

For those using plant machinery within the scope of their work, competency should only be recognised against qualifications mapped within the Regulated Qualifications Framework (RQF)

Note: Many plant cards are awarded on the basis of a training course alone. Although the training may accord with NOS, this is nevertheless, training under controlled conditions, and not competence as demonstrated through the acquisition of experience of operating a machine under a range of conditions, in a working environment. Employers need to recognise this key difference, and ensure that inexperienced workers are carefully managed and their experience developed. The Sector Scheme committee do not have the resources or qualifications to thoroughly assess such training courses and subsequent competency.

3. Temporary Traffic Management

This section is intended to bring the management of traffic in association with small scale pavement repairs 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.
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 and 12B.
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 T1 /2.
7. Where convoying is used the operatives involved shall be qualified to Lantra Awards module T4.

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 Leading Traffic Management Leading Operative (RTMLO)

An operative who will have successfully undergone an approved training course, to Lantra module 6 as a minimum, completed the competency assessment and been issued with an identification card by Lantra Awards and has 2 years experience of relevant temporary traffic management. The person shall be named in the Organizations 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 establishment, modification and removal of traffic management and implementation of the requirements of the contract specification.

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

4. Health & Safety

Organisations are reminded of the legal requirements to provide health and safety training for each Operative and Foreman 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 small scale pavement repairs. It is intended to provide awareness to carry out work in a safe manner; however, it remains the responsibility of the Organisation to determine and implement safe systems of work.

5. Fraudulent Certificates/Cards

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

SUGGESTED ACTION BY ORGANIZATION

On being presented with a suspect certificate/card (check logo, print quality, colour, layout, spelling, likeness of photograph):

Take possession of certificate/card.

Call a member of the body that issued the certificate/card. A member of the team will help you confirm your suspicions or otherwise.

If the certificate/card appears to be fraudulent:

- Retain the certificate/card if possible
- Make photocopies of front and back
- Record certificate/cardholder's name and address
- Ask certificate/cardholder where the certificate/card was obtained from
- Call the local police and report the matter
- Refuse access to site (subject to company rules).

Forward copies of all evidence to the body who issued the certificate/card marked "SUSPECTED FRAUDULENT CERTIFICATE/CARD" with any crime number given by local police.

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

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

APPENDIX D: EXAMPLE REGISTER OF PERSONNEL QUALIFICATIONS AND CPD

Not used.

APPENDIX E: GUIDANCE FOR THE CONTROL OF MONITORING AND MEASURING EQUIPMENT

Example of a typical requirement for national highway sector schemes:

Item No	Equipment	Purchase Specification	Calibration Control	Calibration Frequency
1	Thermometers and temperature control equipment	Equipment must operate within a tolerance of $\pm 1^{\circ}\text{C}$ at 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

Note

- 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 described in their quality manual.
- 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 established and maintained.

APPENDIX F: CERTIFICATION BODIES ACCREDITED FOR SECTOR SCHEME 23

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

OTHER NOTES:

1. Certification Bodies interested in being accredited by UKAS for this Sector Scheme should contact UKAS.
2. Organizations currently registered to ISO 9001 with a UKAS (or equivalent) accredited certification body that does not hold registration to this NHSS may wish to consider the following option. Continuing to be registered with their existing Certification Body but having the interpretation of the NHSS carried out by and in conjunction with a UKAS accredited certification body for this scheme.
3. Advice on the current accreditation status of certification bodies to assess against this document (NHSS 23) can also be sought from UKAS (Tel 01784 429000).

APPENDIX G: THE ROLE OF THE CERTIFICATION BODY AND AUDITOR QUALIFICATIONS

1. Role of Certification Bodies

- 1.1. The independent assessment of conformity of organizations to the requirements of BS EN ISO 9001 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 BS EN ISO 9001 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 Sector Scheme Advisory Committee. This does not preclude other Certification Bodies from attending, as appropriate.
- 1.4. Certification Bodies shall demonstrate their engagement with this scheme as appropriate and as necessary be represented at the National Highway Sector Scheme Liaison Committee – see NHSS 0 part 4 for details.

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 an equivalent International Accreditation Forum (IAF) member for assessment and registration of BS EN ISO9001 quality management systems interpreted in accordance with the particular requirements of this NHSS.

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 materials and methods of application for products and systems covered in the scope of this sector scheme. These assessment areas shall include, but not be limited to the following:
 - i) knowledge, understanding and application of this SSD (See Appendix G1).
 - ii) knowledge of the manufacture and supply of products and systems covered in the scope of this sector scheme in the highway maintenance and repair industry, including the methods and techniques sufficient to understand the processes employed and the controls necessary to ensure delivery of conforming product. 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 relevant to materials and methods of application for products and systems identified within Clause 4.3 of this document.
 - 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 materials and methods of application for products and systems covered in the scope of this sector scheme .

- 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 sector scheme, 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 Lead Auditor qualification or Certification Body equivalent and demonstrable expertise in leading assessment teams.
 - ii) ISO 9001 assessment experience obtained from assessments of manufacture and site installation activities associated with materials and systems identified within clause 4.3 of this SSD in different organizations,
 - iii) Technical assessment competence in the categories in the preparation and installation of small scale pavement repairs.
 - iv) Knowledge, understanding and application of this SSD.
 - v) Knowledge of the manufacture and supply of materials and repair products and systems identified in Clause 4.3 Scope in the highway maintenance and repair industry, including the methods and techniques sufficient to understand the processes employed and the controls necessary to ensure delivery of conforming product. 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 relevant to materials and methods of application for products and systems identified within Clause 4.3 of this document.
 - vii) ability to demonstrate that they have ongoing suitable health and safety training which includes appreciation of the risks involved in the manufacture, supply and installation in the specific aspects of the scheme as appropriate.
 - viii) preferably knowledge of constituent components and their properties related to materials listed in Clause 4.3.

4. Conduct of Assessments.

- 4.1. Certification Bodies shall ensure that at least a third of the initial and continuing assessment duration is devoted to assessing operational activities at locations where sector scheme activities 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 activities covered by the organization's scope of registration. Certification bodies shall undertake surveillance visits at intervals of not greater than one year to ensure that each gang foreman and his team receives at least one surveillance visit over a 3 year period.

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 that 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 that may be published in NHSS 0 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 shall include verification of the certificate of registration currency.

7. Reporting on Sector Scheme Performance.

- 7.1. Each Lead certification body shall provide to the Leader of the SSAC a summary report that 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 CERTIFICATION BODY ASSESSORS' AND INTERNAL AUDITORS' COMPETENCIES REQUIREMENTS

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 ISO 9001:2015 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

Note 1: This section of the guidance is divided in three parts namely 2A, 2B & 2C.

Note 2: Section part 2C will need to be developed by the relevant sector scheme committee to identify all relevant knowledge of their industry that is pertinent to carrying out an audit. It is intended that the content of this part will be used to develop a training awareness course for auditors.

2A General background to the NHSS 23

- 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 (NHSS 23) was initially developed by HE, ADEPT, RSTA, HTMA and other industry stakeholders.

- ii) To whom the scheme applies. See Scope in this NHSS document.

- iii) Contact details of those that can offer scheme specific assistance. (This should be contained in the Organization's quality manual/NHSS documents.)

Chairman of the Advisory Committee to the Sector Scheme, see Introduction and Appendix J1 to the scheme. Information should also be contained in the Organization's quality manual/NHSS documents

- iv) An overview of the highway infrastructure that the scheme applies to. See reference documents in Appendix B.

- v) The range of contracts that the scheme can apply to.

See Scope in this document

- vi) Specific types of works that the scheme applies to.

See Scope in this NHSS document and also Appendix L in this NHSS

- vii) Definitions and terminology which are particular to the scheme. (See section 3 of this NHSS.)

- viii) 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 document, however the organisation's training administrator should have this information available (assessors should also be aware of training and competency assessment requirements available from Awarding Bodies such as CITB, 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 European, British Standards and Notified Body documents for small scale repair products and systems in particular those relating to product conformity, type testing and their requirements. Familiarity with relevant SHW Series including notes for guidance, (including when these are updated), the Design Manual for Roads and Bridges and Interim Advice Notes issued by the Highways England. Knowledge shall also extend to include SROH and best practice documents.
- (xi) Relationship with other NHSSs and their applicability to this scheme e.g. NHSS 12A/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 how the scheme interprets section 4 to 10 of BS EN ISO 9001:2015 with commentary.

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 and seek evidence 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. Seek evidence.
4.3 Determining the scope of the quality management system	N	Check that the organization has reviewed the scope of the relative elements of the latest applicable issue of the NHSS that the organisation considers appropriate
4.4 Quality management system and its processes. (4.4.1 & 4.4.2)	Y	Check annually by the CB Auditors and other Auditors the Schedule of Suppliers website to ensure registration and uploaded information is current and valid.
5. Leadership		
5.1 Leadership and commitment	-	
5.1.1 General	Y	Check policy documented information includes this NHSS Ensure that policy is being correctly implemented, communicated and understood. Seek evidence.
5.1.2 Customer focus	Y	Ensure that the organization has determined all necessary applicable statutory and regulatory requirements for contract compliance. This may include supplementary services such as recycling, final disposal, equipment inspection,

Section/Clause	Particular requirement Yes/No	Comment/Requirement
		licensing requirements for driving (HGV), animal including wildlife handling etc. Seek evidence.that the organization is meeting and maintaining customer requirements.
5.2 Policy		
5.2.1 Establishing the quality policy	Y	Ensure requirements are covered in 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, understood and implemented.. Seek evidence.
5.3. Organization roles, responsibilities and authorities	Y	Ensure there is an organization plan which covers responsibility/authority in accordance with the requirements of the SSD. Seek evidence. Ensure that personnel with contract specific responsibilities and authorities have been identified and are recorded. Seek evidence. Ensure that the organization management have appointed a nominated person or persons with the appropriate responsibility and authority. 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 plan is in place and evaluated. See Appendix A. Ensure objectives are covered in quality plan and/or policies.
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

Section/Clause	Particular requirement Yes/No	Comment/Requirement
		are suitable and include providing the defined personnel for contracts Ensure there is an organizational plan which covers responsibility/authority in accordance with the requirements of the SSD. Ensure that personnel with contract specific responsibilities and authorities have been identified and are recorded.
7.1.2 People	N	See Appendices A and C
7.1.3 Infrastructure	Y	Review facilities, processes and equipment to confirm they are suitable for the scope of registration.
7.1.4 Environment for the operation of processes	N	In process audit. Checks to include environmental condition records, plant maintenance sheets, access equipment certification and induction records.
7.1.5 Monitoring and measuring resources		
7.1.5.1 General	Y	See Appendix E
7.1.5.2 Measurement Traceability	Y	See Appendix E
7.1.6 Organizational knowledge	N	
7.2 Competence	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	Seek evidence.
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
7.5.2 Creating and updating	Y	Ensure that all required contract specific documents are in place.

Section/Clause	Particular requirement Yes/No	Comment/Requirement
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 7.5. See Appendix A. Check appropriate processes are in place for the retention and disposition of documented information.
8.2 Requirements for products and services		
8.2.1 Customer communication	Y	Check effectiveness of communication arrangements
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	Seek evidence.
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	

Section/Clause	Particular requirement Yes/No	Comment/Requirement
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	N	Ensure or seek evidence that documented information is in place for externally provided product and services to meet specified requirements.
8.4.2 Type and extent of control	N	Seek evidence that documented information is in place. Seek evidence of effective controls.
8.4.3 Information for external providers	N	Seek evidence that purchasing requests are adequate
8.5 Production and service provision		
8.5.1 Control of production and service provision	Y	Check as part of in process audit Refer to Appendix E
8.5.2 Identification and traceability	Y	Cover during procedure review and seek evidence that relevant documented information is in place
8.5.3 Property belonging to customers or external providers	Y	Seek evidence that documented information is in place.
8.5.4 Preservation	Y	Check process. Seek evidence as appropriate.
8.5.5 Post-delivery activities	N	Ensure customer feedback documents are in place on completion of the contract.
8.5.6 Control of changes	N	Check documented information is in place.
8.6 Release of products and service	N	Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Seek evidence.

Section/Clause	Particular requirement Yes/No	Comment/Requirement
8.7 Control of nonconforming 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. Seek evidence. Review copy of annual management review. Ensure this contains continuous improvements to the relevant sector scheme
9.1.2 Customer satisfaction	N	Seek evidence that organization is meeting customer requirements.
9.1.3 Analysis and evaluation	N	Check processes are achieving planned 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 minutes of 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

Section/Clause	Particular requirement Yes/No	Comment/Requirement
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	N	

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 BS EN ISO 9001, 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 – Maintenance of 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
- Aware of current best practice including 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

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 and others will not be put at risk during installation/maintenance operations
- Where appropriate relevant personnel are aware of the Highways England and Welsh Traffic Officer role
- Personnel have identification
- The Organization(company) has a complaints procedure in place

C5 Environment

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

C6 Inspection/ 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, such as CDM regulations, as it applies to small scale pavement repairs included within this sector scheme.

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 the Highways England, the Welsh Assembly 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 a site visit over a 3 year period then evidence must be provided of site activity (e.g. site records, video recording) to ensure that registration can be maintained.

2 Guidelines for New Entrants - Requirements

- 2.1 Organizations must have the required experienced and qualified NHSS23 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

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 (RSTA) www.rsta-uk.org

Highway Term Maintenance Association (HTMA) www.htma.info

Mineral Products Association (MPA) www.mineralproducts.org

Civil Engineering Contractors Association (CECA) www.ceca.co.uk

APPENDIX J1: FEEDBACK TO SCHEME COMMITTEE

APPENDIX J1: FEEDBACK ON THIS DOCUMENT

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 Secretary
The Road Surface Treatments Association Ltd
Technology Centre
Glaisher Drive
Science Park
Wolverhampton
WV10 9RU
enquiries@srta-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 exceptionally action can be taken prior to the meeting by the chairperson for instance by arranging an extraordinary meeting of the NHSS advisory committee. The secretary will normally advise the originator of receipt of the J1 document and when the next meeting is expected to be held.

APPENDIX J2: FEEDBACK TO CERTIFICATION BODIES 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 satisfactory resolved written complaints should be made to the Organization's certification body, 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 NHSS 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 principal 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) Organisation Identified as being awarded the contract or

 - iii) both i) and ii) above

- c) Organisation raising feedback / issue
Name:
Organisation:
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 web-site.

Health and Safety Executive

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

APPENDIX K: THE INTERPRETATION OF CERTIFICATES ISSUED BY CERTIFICATION BODIES

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

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

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

- The scope of registration including specific registration to BS EN ISO 9001 and this NHSS including the scheme title e.g. National Highway Sector Scheme 23 - Sector Scheme for Small Scale Pavement Repairs.
- 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 23 [for small scale pavement repairs](#) 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 (3 years for ISO 9001*)
- A unique reference number/code
- The signature of a relevant CB official with his name and title

*Note where an organization has an extension to scope to include for this sector scheme, 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.

Activity	Primary Category (select)	Secondary Category (select)
Small Scale Pavement Repairs	a) Asphalt pavements	1. Sealing pavement cracks and failed joints
	b) Concrete pavements	2. Spray injection patching – refer to NHSS13
	c) Modular paving and block work – refer to NHSS 30	3. Thermal road repairs
	d) Surround to surface apparatus (including ironwork)	4. Any combination of sub-categories
	e) Road Surface Treatments – refer to NHSS13	

(Note: These lists are not exhaustive and the description of the categories and sub-categories may vary.)

APPENDIX L: GUIDANCE FOR CLIENTS

1 General

It is recommended that clients acknowledge the requirements of this sector scheme as a contract requirement. It should be noted that this SSD will be included in the Specification for Highways Works (in Appendix A to Volume 1, Quality Management Systems), so where this specification is used compliance with this SSD will be compulsory, unless specifically excluded by local variation.

It must be remembered that this SSD is not in itself a specification or a technical guide for the repair of pavements; it is intended to ensure that quality processes and procedures are adopted in the execution of small scale pavement repairs. This SSD does not cover the design of the repair (design includes the requirements for site preparation, depth of repair, choice of repair material and similar); this responsibility will remain with the Client, unless clearly delegated to another party. There will be examples of arrangements where the organization carrying out the repair is also responsible for the design element.

Clients' attention is particularly drawn to Section 8.2.3 of this SSD, which requires the organization to review the work instructions issued by the Client and feedback any possible technical shortcomings or other factors concerning the practical aspects of carrying out the repair or its anticipated performance once completed.

2 Specific guidance

2.1 Reference should be made to Appendix M before deciding whether to specify that organizations should be registered to NHSS 23, as registration to other NHSSs may include relevant requirements for small scale pavement repairs.

2.2 The NHSS for the small scale pavement repairs 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 small scale pavement repairs.

2.3 The implementation of the NHSS and development of training and competency requirements is intended to provide:

- i) A competent workforce able to carry out small scale pavement repairs.
- ii) Requirements to evaluate risks and develop processes associated with small scale pavement repairs and the production of an associated comprehensive quality plan for each contract.
- iii) The obligation on the registered organization to review the work instructions issued by the Client and verify that they meet the technical requirements included in the Client's specification and that the Client's objectives for the repair will be met.

During the introductory period for this NHSS Clients may take into consideration, in the quality assessment of an organization's tender, their commitment to compliance with this NHSS. This may be demonstrated through the extent to which the organization has introduced a qualified and demonstrably skilled workforce for undertaking small scale pavement repairs.

2.4 It is necessary for the Client to ensure that all those involved in carrying out small scale pavement repairs 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 small scale pavement repairs.

2.5 Clients and Customers that require confirmation of compliance with their contract specification, that suppliers be registered to this NHSS, should confirm that the certificate of registration issuer is accredited by UKAS to make assessments for this NHSS, and that specific reference is made to this 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. If the small scale

pavement repairs are carried out by sub-contractors, employed directly or indirectly, Clients must ensure that these are registered to the NHSS. Supervisory staff must be instructed to carry out spot checks of identification/skills cards.

2.7 Lantra hosts a schedule of registered companies that have been registered to National Highways Sector Schemes; free access to the schedule is obtained by going to the Lantra website; search “Lantra schedule of suppliers”. However, it should be noted that only those companies that self register on the schedule are listed.

2.8 Client check list

The following check list should be used by clients to establish the registration status of an organization and its employees.

- 1 Is the organisation listed on the Schedule of Suppliers Website www.lantra-awards.co.uk/schedule-of-suppliers.aspx?
- 2 Is there an ISO 9001 certificate present?
- 3 Has the ISO 9001 certificate been extended to cover NHSS 23?
- 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 23?
- 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 23 extension cover the actual works intended to be covered by the contract?
- 8 Is there an audit or surveillance visit report from the Certification Body?
- 9 If the answer to 10 is No – when is it due?
- 10 Do the named employees to be used on the works have relevant and valid in date CSCS Registration Cards?
- 11 Is the scope of the works within the competency scope of the employees?
- 12 Is the organisation intending to sub-contract any of the works if so is the sub-contractor registered to the scheme?

If the answer to 12 is Yes – repeat q 1-11 for that organisation, if necessary replacing NHSS 23 by relevant NHSS (i.e. including NHSS 12D).

3 Road death investigation

Attention is drawn to the Road Death Investigation Manuals (available from ACPO and Scottish Police), 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/tests carried out
- e) The quality of systems for temporary traffic management
- f) Skidding resistance

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 any relevant information on repairs carried out under this NHSS can be obtained when

required from the organization. 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 from the HSE; 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.

HSE welcomes and supports the Act. Although the offence is not part of health and safety law, it introduced 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 removed the Crown immunity that applied to the previous common law corporate manslaughter offence. This is 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 organized 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), available from the internet.

For general health and safety information and answers to specific health and safety questions contact HSE, search "HSE information" on the internet.

5. Temporary Traffic Management

It is likely that the small scale pavement repairs carried under this NHSS will require temporary traffic management before they can be executed. It is recommended that Clients consider making a contract requirement that the organization responsible for the installation of the temporary traffic management be registered under Sector Scheme Document 12A/12B, Sector Scheme Document 12C or Sector Scheme Document 12D, as appropriate for the class of highway and type of temporary traffic management employed.

At least, the training requirements described in Appendix C of this SSD must be complied with. The trained traffic management operatives can be either directly employed by the organization or by a sub-contractor.

Although the detailed layout of temporary traffic management will be the responsibility of the registered traffic management organization it is essential that Clients instructing small scale repairs understand the statutory and good practice requirements of temporary traffic management installations. As an example, if the space requirements of a working area and safety zone mean that there is insufficient road width remaining for traffic a temporary traffic regulation order may be necessary to close the road or ban a turn.

As it is now a requirement that all works on public highways be properly noticed or permitted under the New Road and Street Works Act 1991 it is essential that responsibilities and mechanisms for making the notices or applying for a permit are agreed between the Client and the organization.

The Client must always ensure that a detailed risk assessment for the specific site has been undertaken and incorporates an assessment of traffic conditions as described in Sector Scheme Document 12D Annex Form 1 to Appendix A. In instances where a non-registered organization is employed it will be appropriate for the

Client, or his agent for the design and instruction of the small scale pavement repairs, to carry out a preliminary risk assessment.

6. Construction Products Regulations

From 1 July 2013, under the Construction Products Regulations (CPR), it became mandatory for manufacturers to apply CE marking to any of their products that are covered by a harmonized European standard (hEN) or European Technical Assessment (ETA). Specifiers of highway maintenance products must have an understanding of this regulation.

A document, "Guidance Note on the Construction Products Regulation" (Version 2, dated December 2012) has been prepared jointly by the Construction Products Association, the British Board of Agrément, British Standards Institution and FBE Management Limited in consultation with the Trading Standards Institute. It is available from the internet.

APPENDIX M: GUIDANCE FOR OTHER NHSS COMMITTEES AND ORGANIZATIONS REGISTERED TO ANOTHER NHSS, FOR WORK WHICH INCLUDES SMALL SCALE PAVEMENT REPAIRS

General Guidance

1. This guidance is primarily of relevance to other NHSS Committees and those organizations registered to these Sector Schemes. The guidance is designed to enable them to decide how works covered under the scope of this Sector Scheme, which they might be undertaking, should be dealt with. This Appendix should be read in conjunction with Appendix L "GUIDANCE TO CLIENTS".
2. National Highway Sector Schemes likely to be directly affected by this document are:

Scheme 7	The Application of Road Marking Materials and Road Studs to Road Surfaces
Scheme 8	The Overseeing and / or Installation and / or Maintenance of Highway Electrical equipment and supporting works
Scheme 12D	Installing, Maintaining and Removing Temporary Traffic Management on Rural and Urban Roads
Scheme 13	Supply and Application of Surface Treatments to Road Surfaces
Scheme 16	Laying of Asphalt Mixes
Scheme 30	Installation, Maintenance and Repair of Modular Paving.

Note: the above is not an exhaustive list

3. A NHSS Committee may liaise with a relevant, recognized training and competency assessment body to develop bespoke training and competency assessment relevant to their sector activities. The training and competency assessment requirements shall be described in the appropriate SSD and supporting documents.
4. Details of the training and competency assessment shall be submitted to the Sector Scheme Advisory Committee for Small Scale Pavement Repairs for acceptance as being appropriate and relevant for the intended purpose but not necessarily equivalent to that provided under NHSS 23.
5. Where the arrangements described above are in place within a NHSS, it is not intended that organizations registered under the NHSS and undertaking works covered by it, which includes works covered by the scope of NHSS 23, should also be registered to NHSS 23.
6. Relevant NHSS Committees should consider the available options and provide appropriate advice to organizations on what they need to do to meet their individual specific requirements and work commitments in respect of Small Scale Pavement Repairs for their field of operations.

National Highway Sector Scheme Arrangements – NOT USED.

APPENDIX N: GUIDANCE FOR ORGANIZATIONS REGISTERED TO ANOTHER NHSS

Guidance pending discussion with other Sector Schemes.

APPENDIX O: HOW TO REGISTER ON THE SCHEDULE OF SUPPLIERS

The process for registering on the Schedule of Suppliers (see note 5) 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 to for as per your Certification Body registration certificate
4. Upload a PDF copy of your BS EN 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: For more detailed information see NHSS 0 Part 2.4 (Guidance on registration to the Schedule of Suppliers).