

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

SCHEME 18

**^{11/20} PARTICULAR REQUIREMENTS FOR THE APPLICATION OF ISO
9001:2015 FOR THE ESTABLISHMENT AND MAINTENANCE OF A
LANDSCAPE AND ASSOCIATED LAND-BASED ACTIVITIES**

Published by Sector Scheme Advisory Committee *for the Environment and Landscape*

Endorsed for publication by the Chairman of the SSAC

DOCUMENT CONTROL

Issue Statement (current version)

Issue No. 3 & Date Nov 20	Amendments between 2 & 3
Title – Front Page	Changed Title of Document
Implementation	
2. Normative Reference	BS EN 9004, NHSS 0 – Listed the 4 Parts
3. Terms & Def etc	Amenity, Biosecurity, Client, Pest, Pest Control, Sub-contractor, Trees, Herbaceous Plants & Water Bodies
7.1.2 People	Sixth paragraph, Ninth paragraph & Table of Gang Size
7.2 Competence	iii added
8.3.1	General
8.4.1	Three – six paragraphs inclusive
Appendix A	1.13 & 2.17
Appendix B	Title change, 1.3.1, 1.3.3 to 1.3.9, 3.5 & 3.7
Appendix C	2, 3 & 4
Appendix C1	Title change
Appendix F	Complete rewrite
Appendix G1	2A, 2B 8.4.1 General
Appendix M	3
Appendix R	Note on Plant Passport added
Appendix S	Guidance on Tree Inspection added as a new appendix

Previous issues of SSDs are shown in Appendix Z

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

02/18 Composition of Sector Scheme Advisory Committee

a) Members Organisations

Arboricultural Association (AA)
Arboriculture & Forestry Advisory Group (AFAG)
Association of Directors of Environment, Economy, Planning and Transport (ADEPT)
British Association of Landscape Industries (BALI)
BASIS Ltd
Chartered Institute of Ecology & Environmental Management (CIEEM)
City & Guilds (C&G)
Co-opted Specialists
Health and Safety Executive (HSE) Agriculture & Amenity
Highways & Construction Training Association (HCTA)
Highways England (HE)
Lantra
Lead Certification Body - SGS
National Association of Agricultural Contractors (NAAC)
Network Rail

b) Corresponding Members Organisations

Chemical Regulation Division (CRD)
Transport for London
Transport NI
Transport Scotland
Transport Wales
United Kingdom Accreditation Service (UKAS)

Exclusion of Liability

The Sector Scheme Advisory Committee for NHSS18:

- 1 have and accept no liability whatsoever for any failure of any system or systems assessed under this Sector Scheme Document or for the quality, fitness for purpose, or safety of any product or service which is the subject of such assessment,
- 2 do not provide any representation or warranty as to any aspect of any such system, product or service, and
- 3 hereby expressly exclude all and any liability or responsibility (however alleged to arise) for or in connection with the provision of any service or product or any use of any product, all and any such liability or responsibility attaching exclusively to the producer (or user as the case may be) thereof.

Copyright

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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).

Alternatively, where the prospective company already has registration to ISO 9001 from an UKAS accredited CB that is not accredited by UKAS for assessing against this document; UKAS have advised that it will be acceptable for the technical assessment against this document to be carried out by another UKAS accredited CB that has accreditation to this scheme.

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

Scheme Contact

Observations or complaints regarding this Sector Scheme should be addressed to:

The Chairman
Sector Scheme Advisory Committee for NHSS18
British Association Landscape Industry
Landscape House
Stoneleigh Park
Coventry
Warwickshire
CV8 2LW
Email: contact@bali.org.uk

^{11/20} Implementation

Issue 3 9001:2015

This issue of the SSD is to be implemented immediately from the date of publication on the authorised website for assessments unless specified otherwise below. Existing assessments will continue to be valid until the following assessment carried out by the accredited Certification Body.

Note 1: Following publication of the document the organization shall implement the changes in time for their next assessment visit by the Certification Body.

Note 2: The Certification Body shall assess the organization against the latest edition of the existing scheme within fourteen months of date of implementation.

Note 3: Where the surveillance/assessment visit of an organization occurs within two months of the publication of a revision, such assessment maybe undertaken against the previous edition subject to compliance with Note 2 above.

Note 4: The NHSS document is date specific; however the organization shall have procedures in place to ensure that the latest version is always available. Organizations should be aware that utilization of internet search engines may result in out of date references being identified/called up.

Introduction

- 1 This Sector Scheme Document (SSD) relates to the quality management system requirements for the establishment and maintenance of a landscape and associated land-based activities. It sets out to identify particular requirements for BS EN ISO 9001:2015 for organizations and Certification Bodies engaged in the sector, and the minimum qualifications/demonstrable experience that an assessor/auditor requires. The document shall be read in conjunction with BS EN ISO 9001:2015.
- 2 This Sector Scheme is one of the series of National Highway Sector Schemes (NHSSs), which have been developed as bespoke integrated management schemes within an ISO 9001 framework to provide particular requirements for BS EN ISO 9001:2015 as it applies to a particular infrastructure related activity/industry within the United Kingdom.
- 3 ^{02/18}Separate Sector Scheme Advisory Committees (SSACs) for each activity within the sector provide advice to UKAS and expert representation is drawn from all sides of industry. Each SSAC reviews BS EN ISO 9001 in relation to the requirements of their particular activity and comes to a consensus on the minimum levels of:
 - Workmanship;
 - Services;
 - Product quality;
 - Testing;
 - Training and competency of personnel;
 - Health, safety and environmental standards that are required of an organization registered under the Sector Scheme.

The requirements above (where applicable) are contained in the individual Sector Scheme Document (SSDs).

- 4 ^{02/18}The individual NHSS technical advisory committees are overseen by the National Highways Sector Scheme Liaison Committee (NHSSLC). This Committee provides a forum for discussion on the effectiveness of the Sector Schemes and co-ordinates developments so that they can be uniformly taken forward by each of the NHSS technical advisory committees. It is also the venue where dialogue with UKAS and the Certification Bodies on the application of the Sector Schemes takes place.
- 5 NHSSs together with BS EN ISO 9001 are designed to:
 - Provides particular requirements for the industry
 - 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 cost for client and organization
 - Provide and maintain a properly trained and competent workforce
 - Involve all side 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 the natural environment and landscape including ecology for infrastructure
- 7 In using this Sector Scheme users shall use best practice such as specifying any other relevant NHSSs as appropriate to the nature of the work being undertaken [e.g. NHSS 12D for temporary traffic management on rural and urban roads].

- 8 It should also be noted that NHSS's are 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 for example (e.g. Network Rail) may also require their suppliers to comply with this Sector Scheme, as may other authorities.

^{02/18}Note: The Sector Scheme is listed in Appendix A of the Specification for Highway Works

- 9 Where temporary traffic management is required companies should either employ a National Highway Sector Scheme approved company or where applicable have skilled registered traffic management operatives qualified to meet the competency requirements of NHSS 12D relevant to contract requirements and risk assessments, noting that there may be particular specific arrangements for organizations registered to another NHSS. 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 This NHSS document is date specific, however, the organization should 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.

This SSD is a live document with the Committee 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. This SSD may be obtained by visiting the Schedule of Suppliers website (<https://www.scheduleofsuppliers.co.uk/>) from where the document can be downloaded.

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

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

12 Scheme Feedback

Any observations or complaints relating to the operation of this document and the scheme should be addressed using the procedures given in Appendices J1, J2 or J3 as appropriate. Appendix J1 is to be used for observations and general queries concerning the document and general feedback. Appendix J2 relates to the assessment process carried out by Certification Bodies. Appendix J3 relates to policing of the scheme.

Note: J1 forms will be responded to at the next meeting of the NHSS committee. 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, Police Authority or HSE as appropriate and indicated on the form.

Reminders for those using this Scheme.

Always ensure that the current version of the document is being used. The current SSD may be obtained by visiting the Schedule of Suppliers website (www.scheduleofsuppliers.co.uk) from where the document can be downloaded. This NHSS document is date specific, however, the organization shall have procedures in place to ensure that the latest version is always available.

Certification Bodies are accredited by UKAS and the schemes are included in their scope of accreditation. Information on relevant Certification Bodies may be obtained from the UKAS website.

Lantra hosts the schedule of supplier's register of organizations this can be located on the Schedule of Suppliers website 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.

Particular Requirements for the Application of ISO 9001:2015

1. SCOPE

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

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

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

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

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

This SSD together with BS EN ISO 9001 and other appropriate specifications describes the quality management system requirements to be established by organizations providing landscape, environment and ecology new works and maintenance for a broad spectrum of clients, including but not limited to parks, gardens, open areas infrastructure.

The document provides particular requirements in respect of British Standard BS EN ISO 9001:2015 for this industry and shall be read and implemented in compliance with that standard. The SSD is applicable to the organization’s activities defined in Appendix K. Primary categories may be applicable to more than one activity and the organization will need to select the relevant primary category applicable to their works.

See Appendix K for Activities, Primary & Secondary Categories.

The list of activities is not comprehensive, where an organization, Certification Body or other party consider that additional secondary categories would be beneficial or are required, they shall notify the Secretary for the Scheme so that their proposal may be discussed at the next meeting of the Committee.

This scheme is not intended to replace other management system requirements or other contractual requirements. (However where the scheme committee consider that requirements included in other relevant management standards e.g. ISO 14000 these will be included at the discretion of the committee)

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

2. NORMATIVE REFERENCE

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

- BS EN ISO 9000:2015 Quality Management Systems – Fundamentals and Vocabulary
- BS EN ISO 9001:2015 Quality Management Systems – Requirements and normative references within it
- ^{11/20} BS EN ISO 9004:2018 Quality Management Quality of an Organization. Guidance to achieve Sustained Success.
- ^{11/20} NHSS 0 – 4 parts as follows:
 - Governance of National Highway Sector Schemes
 - Suite of Scopes
 - Template for National Highway Sector Scheme Documents - With Guidance (ISO 9001:2015 version)
 - Template for National Highway Sector Scheme Documents - Without Guidance (ISO 9001:2015 version)

3. TERMS, DEFINITIONS AND ABBREVIATIONS

3.1 For the purpose of this Sector Scheme Document the terms and definitions given in ISO9000 apply unless modified in NHSS 0 template and the list below (where they are in both documents the definitions given below take precedent):

Operatives & Personnel

LISS/CSCS Labourer (Green Card)	This card is for labourers who are supervised by a competent skilled person see Appendix C.
LISS/CSCS Trainee Operative (Red Card)	This card is for a trainee worker who is registered to a relevant Diploma/NVQ/SVQ/Apprenticeship/ITA appropriate to their card level but has yet to achieve it and who are supervised by a competent skilled person see Appendix C.
^{02/18} LISS/CSCS Skilled Operative (Blue Card)	This card is for a skilled worker who has achieved a relevant Certification, Diploma/NVQ/SVQ/Apprenticeship/ITA at Level 2 and has the level of ability and capability determined by the employer with respect to the works being undertaken. See Appendix C.
LISS/CSCS Supervisor (Gold Card)	This card is for a supervisor who has achieved a relevant Diploma/NVQ/SVQ/Apprenticeship at Level 3 or above with a supervisory context. This person is named in the organization's Quality Plan as having the responsibility, training and experience to supervise the gang. See Appendix C.
LISS/CSCS Contracts Manager* (Black Card)	This card is for a manager who has achieved a relevant Diploma/NVQ/SVQ at Level 4 or above with a managerial context. This person is named in the organization's Quality Plan as having overall managerial responsibility for the contract see Appendix C. Note: If you don't have the above qualification but have a degree or professional membership there are equivalent cards available. See Appendix C.
Skills Card (LISS/CSCS)	A card issued by BALI through the LISS/CSCS partnership scheme, which demonstrates the level of competency, relevant H&S, the date, and the validity of the card.
Technical Officer*	The person named in the organization's Quality Plan responsible for meeting the technical requirements of the Contract Specification and qualified to carry out the specific role within a contract.

* **Note:** Roles may be combined on some contracts.

^{11/20} Amenity	Any tangible or intangible benefits of a property, green space, parks, gardens, golf/sports facilities and/or estate, especially those that increase its attractiveness or value or contributes to its comfort or convenience.
^{11/20} Biosecurity	A set of preventive measures designed to reduce the risk of invasive/alien species, quarantined pests and living modified organisms and the transmission of infectious diseases.

Client:	^{11/20} The ultimate body or agent for the body for which the work is being carried out e.g. Highways England, Police Force or Highway Authority. (Often the owner or managing authority of the asset). (Required due to CDM Regulations – see also “Customer”; this supersedes the definition in ISO 9000)
Certificate of Registration:	A certificate issued by a UKAS accredited Certification Body certifying that the holder operates a Quality Management System complying with the relevant versions of BS EN ISO 9001 and this Sector Scheme. The Certificate will state the category/(ies) of work that the holder is competent to supply. (See Appendix K) Note The Certificate of Registration must identify the Sector Scheme(s) by number as well as by activity, primary and secondary category.
Contract Specification:	The technical requirements of the contract agreement. For example the following may apply: i) DfT Manual of Contract Documents for Highway Works: Volume 1: The Specification for Highway Works (Department for Transport) or as specifically required in the contract documents. ii) Contract Specific Appendices ii) The Contract Drawings
Customer:	The body engaging the organization for the purpose of the work described in this Sector Scheme.
^{02/18} Design	A plan or drawing produced to show the look and function of the finished product. This will also include surveying to examine and record the area and features of a part of land.
Ecology	The study of the relationships between living organisms and their interaction with their environment
Environment	The circumstances, objects or conditions by which one is surrounded or more specifically in terms of this document "the climatic, soil and biological factors that acts upon an organism or an ecological community".
^{02/18} Ground Preparation Works	Work undertaken prior to final finishing works and includes but not limited to subsoiling (for more effective water draining), soil conditioning, stone picking (in prep for turfing etc.) and rolling
Infrastructure Provider	An Organisation that provides the basic facilities, services, & installations needed for the functioning of a community or society, such as transportation, security, communications systems, water & power lines, & public institutions including schools, post offices, & prisons
^{02/18} Land-based Activities	Covers the following Landscape Construction & Maintenance, Environmental Management Activities Ecological Management Activities, Amenity & Countryside Management, Survey of Drainage (rural & urban)

Organization	The business responsible for providing the product and services in accordance with this sector scheme and is registered by a relevant Certification Body to BS EN ISO 9001 and this document.
^{11/20} Pest	A plant, insect or animal detrimental to humans or human concerns including crops, livestock, and forestry.
Pesticide Activities	Pesticide means: (a) a plant protection product as define in Regulation (EC) No 1107/2009; (b) a biocidal product as defined in Directive 98/8/EC of the European Parliament and of the Council of 16 February 1998 concerning the placement on the market of biocidal products.
^{11/20} Pest Control Activities	The management of a species defined as a pest.
Proficient Person	A person who has experienced similar situations in the past and so identifies plans that worked in the past and anticipates consequences that previously occurred. The proficient person responds to patterns without decomposing them into components. The proficient person is recognised by having involved and intuitive understanding followed by detached decision-making.
Provider	This term is the preferred term used in ISO 9001:2015 in place of “supplier”, which was used in ISO 9001:2008. The terms are synonymous. This document uses supplier.
Quality	Assurance of a desired level of service or product. Especially by means of attention to every stage of process of delivery or production. Note: This differs from the ISO9001 document.
Quality Management System	See ISO9000.
Quality Plan	See Appendix A (Applies throughout this document).
Shall	The term ‘shall’ indicates 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) (Certification Body).
^{11/20} Sub-contractor (Supplier)	An organization or individual sub-contracted to provide services(s) or material(s) in accordance with this Sector Scheme (see 8.4.1).
Supply	The making available of the necessary parts and/or services to meet the requirements specified in the contract

011/20 Trees

Trees are huge plants with a single permanent and tougher woody stem, bearing branches and leaves at some distance from the ground. Trees take more time to grow and are long lived.

11/20 Herbaceous Plants

Herbaceous plants are non-woody plants, such as most ferns and grasses, which either form tiny amounts of hard woody tissue, or none at all. Unlike woody plants, such as trees, these plants don't have a stem that will remain above the ground when their leaves die.

11/20 Water Bodies

A body of water or water body is any significant accumulation of water, generally on a planet's surface. The term most often refers to oceans, seas and lakes but it includes smaller pools of water such as ponds, wetlands or more rarely puddles. For the purpose of this scheme water bodies include man-made structures e.g. canals and reservoirs etc.

3.2 ABBREVIATIONS

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

Acronyms used either in this document or for information.

AA	Arboricultural Association
AAAC	Arboricultural Association Approved Contractor
ADEPT	Association of Directors of Environment, Economy, Planning and Transport (ADEPT) formerly County Surveyors' Society
AFAG	Arboriculture and Forestry Advisory Group (HSE)
ALCI	Association of Landscape Contractors of Ireland
APSE	Association for Public Service Excellence
BALI	British Association of Landscape Industries
BASIS	(not an acronym) Is an independent standards setting and auditing organisation for the pesticide, fertiliser and allied industries
BS	British Standard (British Standards Institution)
^{02/18} BEIS	Dept for Business, Energy & Industrial Strategy formerly known as BIS Dept. for Business Innovation and Skills
BSSS	British Society of Soil Science
CB	Certification Bodies
CECA	Civil Engineering Contractors Association
CEMP	Construction Environmental Management Plan
CIEEM	Chartered Institute of Ecology and Environmental Management
C&G	City & Guilds
CoR	Certificate of Registration
CPA	Crop Protection Association
CPCS	Construction Plant Competence Scheme
CRD	Chemicals Regulation Division
CSCS	Construction Skills Certification Scheme
DfT	Department for Transport
DMRB	DfT Design Manual for Roads and Bridges, (Highways England, Transport Scotland, Transport Wales & Transport Northern Ireland)
EMS	Environmental Management System
EN	European Standard (European Committee for Standardization)
GLH	Guided Learning Hours
HCTA	Highways & Construction Training Association
HE	Highways England formerly known as the Highways Agency
HSE	Health and Safety Executive
HTA	Horticultural Trades Association
HTMA	Highways Term Maintenance Association
IOG	Institute of Groundsmanship
ISO	International Standard (International Organisation for Standardization)
LANTRA	Not an acronym, Awarding Body for the Land-based sector and Sector Skills Council
LISS	Land-based Industry Skills Scheme
MCHW	DfT Manual of Contract Documents for Highways Works
NAAC	National Association of Agricultural Contractors
NAB	National Accreditation Body
C&G	City and Guilds incorporating National Proficiency Tests Council
PAS	Publicly Available Specification (British Standards Institution)
QAN	Qualification Accreditation Number
RLTMO	Registered Lead Traffic Management Operative
SGS	Not an acronym provides inspection, verification, testing and certification services
SHW	(MCHW Volume 1) Specification for Highway Works
SSACEL	Sector Scheme Advisory Committee for the Environment and Landscape
SSD	Sector Scheme Document
TPO	Tree Preservation Orders
TTM	Temporary Traffic Management
UKAS	United Kingdom Accreditation Service or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory with a scope which includes this Sector Scheme.
WRAP	Waste and Resources Action Programme

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 specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualifications are recorded under an ISO 9001 clause heading this means that it is not considered necessary to provide a particular requirement for that clause.

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

4 Context of the organization

4.1 Understanding the organization and its context

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

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

- i) The scope of the quality management system shall cover the range of specific services that the organization is competent to supply and for which they are seeking registration.
- ii) Consideration shall be given to outsourced services and how those outsourced services are controlled.
- iii) For the Application of various categories of activities,;

See Appendix K - Activities for Primary & Secondary Categories.

4.4 Quality management system and its processes

4.4.1 No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

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

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

The organization shall notify the Lantra NHSS Schedule of Suppliers if Certification is suspended or withdrawn, (as will the Certification Body)

5 Leadership

5.1 Leadership and commitment

5.1.1 General

The organization's policy document shall include Top Management support for this NHSS.

Note – the term "top management" is defined in ISO 9000:2015 (3.1.1) and variations from the norm may differ for individual organizations.

5.1.2 Customer focus

- i) Processes for determining customer requirements shall consider the interests of the Client and the product and service end users, e.g. the general public/travelling public and shall be mindful of the Client's interaction with the end users. This will include processes to minimise disruption.
- ii) Safe working methods shall be documented and any deviation from these methods should be agreed with the Client.
- 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 this and other applicable NHSS.

5.2.2 Communicating the quality policy

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

5.3 Organization 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).

6 Planning

6.1 Actions to address risks and opportunities

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

6.1.2 Where required in the contract agreement the supplier shall undertake relevant risk assessments in accordance with the client's standards and processes (for example Highways England's Standard GG104 provides a method for undertaking risk assessment on their network). See also Clause 5.1.2 above.

6.2 Quality objectives and planning to achieve them

6.2.1 No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

6.2.2 The planning of the Quality Management System shall include consideration of environmental planning requirements. Where appropriate these will include the Environmental Management Plan, the Construction Environmental Management Plan and the Handover Environmental Management Plan or other Landscape Handover Document.

6.3 Planning of changes

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

7 Support

7.1 Resources

7.1.1 General

Top management should ensure that resources are managed in a sustainable fashion, through the implementation of an ongoing resource efficiency plan. This plan should include targets for minimising waste disposal and maximising recycling on site, practiced to the satisfaction of customers and other interested parties.

Consideration should be given to improving the environmental performance of the organization, through the consideration of the impact of resources on the environment, the impact of waste on the environment, recycling of waste and use of recycled materials.

7.1.2 People

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

There is a legal requirement on employers to ensure their employees remain competent. This may be demonstrated by the individual undertaking appropriate training and assessment.

^{02/18}Organizations (including consultants) that carry out design work shall be registered to GG102, Quality Management Systems for Highway Works, for a scope that includes design work developed in respect of works cover by this document.

All staff must have the necessary qualifications, knowledge and experience to carry out their duties and responsibilities effectively. Competence in scope of activities in this document will require demonstrated ability to apply knowledge and skills. The minimum training, competency and experience requirements for personnel are given in Appendix C.

Safe and successful work requires formal and informal training and experience. In particular, it is essential that the Supervisor is experienced and proficient in all aspects of the operation including temporary traffic management (if appropriate) see Appendix C.

^{11/20} Appendix Q (Litter Picking) and Appendix S (Professional Tree Inspections) gives awareness of some of the risks which may be encountered during litter picking and tree inspections, whilst they are not exhaustive it does give an indication of the hazards, controls, minimum training and suggestions for equipment and disposal etc.

Record of training, qualifications and experience

The organization shall create and maintain a register of training, qualifications and experience for each of its operatives and personnel including in-house and induction training. The records shall include details of the manner in which the individual has obtained practical experience. (See Appendix D for example of a register).

The organization shall ensure that Contract Managers and Site Supervisors have a working knowledge of the relevant documents listed in Appendix B of this document.

^{11/20}The organization shall ensure that site operations are supervised by an appropriately qualified Supervisor or Nominated Person. The site operations/activities shall be carried out by teams lead by an identified Supervisor or Nominated Person. The composition of operational teams shall be determined by both generic and site specific risk assessment. Typical guidelines are given in the table below. Note: Where a person is nominated this is an internal appointment by the organization who deem the person competent to oversee the works.

Organization's Guidelines:

The persons necessary for the effective implementation of the QMS may include the following;

- Manager
- Technical manager/Designer/Ecologist
- Inspector
- Supervisor
- Site manager
- Operative (who is the Skilled Worker)
- Technician e.g. Arborist
- Trainee/Apprentice
- Labourer

The organization may also appoint a site manager to lead works on Land-based site/s. The roles of Operative (appointed as Lead Operative) and/or Supervisor and/or Site Manager may be carried out by the same person (where suitably qualified) and each role shall be documented in the organization's quality plan.

11/20

Gang Size	1	2	3	4	> 4
Status of role in the gang	Nominated Competent Person	Operative or Labourer	Operative or Labourer	Operative or Labourer	Sequence repeated from the start

Where the gang size exceeds one person a nominated competent person shall always be present.

An Operative or Labourer can be substituted for a trainee. Note: only one trainee per gang of 4 Trainees shall be directly supervised at all times by a proficient and qualified person in the discipline being undertaken.

Registration/Skills Cards

Operatives and Supervisors are required to carry their Registration/Skills Card(s) as verification whenever they are working on site and at all times when engaged in work covered by this Sector Scheme.

The issue of a new or renewed Registration/Skills Card, as the case may be, shall be recorded by the organization. A sample register is given in Appendix D. This information should be retained with the record of practical experience.

The validity of all skills cards shall be monitored on an annual basis and skills cards held by new starters and/or subcontract labour shall be verified prior to starting work by the organization.

The organization shall retain copies of skill cards held by personnel employed by sub contracted organisations for CB monitoring purposes.

Note: The person in charge of works shall have relevant experience of their working environment (including a full understanding of the risks involved and carrying out a risk assessments) when works are being carried out in such environments as well as of the particular task being carried out e.g. Ragwort spraying. Where appropriate this will also include working on roads.

Invasive/Injurious/Noxious Species

Recognition and understanding of risks associated with invasive/injurious/noxious species is an important requirement of all staff and the need to report back its location and species type to the organization. The organization shall determine the control measures and the appropriate PPE to be worn. The organization shall report to the relevant Authorities and Client the presence of such species. See Appendix R for further information.

Inspection Roles

The organization(s) shall ensure that the person(s) responsible for signing off the works is competent to do so (see paragraph 8.6).

Duties may include but are not limited to:

Service design and development:

- Validation and verification of the design
- Implementation of the design (including the quality plan)
- Inspection of the finished product prior to handover

Maintenance activities during the life of the product:

- E.g. Tree Inspection

7.1.3 **Infrastructure**

The organization shall determine, provide and maintain sufficient supporting services necessary to deliver the specified works.

The process for determining, providing and maintaining the infrastructure needed to achieve product conformity should include consideration of resource efficiency issues as described in paragraph 7.1.2 above.

7.1.4 **Environment for the operation of processes**

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

Note: Contracts frequently include client requirements for accommodation and other services and products, which need to be provided.

7.1.5 **Monitoring and measuring resources**

7.1.5.1 **General**

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

7.1.5.2 **Measurement of traceability**

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

Note: There is a statutory requirement for the Inspection of specified plant protection product application equipment - The Plant Protection Products (Sustainable Use) Regulations 2012 (No.1657) (Appendix E).

7.1.6 Organizational knowledge

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

Note: 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

To assess competence within the organization the following criteria should be considered and evidenced;

Skills
Knowledge
Attitude
Training
Experience

The framework for achieving competency for site operations shall include the following:

- i. Organizations must meet the scheme requirements and ensure that all their Operatives and team members are registered and working towards relevant qualifications referred to in the LISS/CSCS scheme booklet. A copy of the LISS/CSCS scheme booklet, which details all the requirements, is available on the BALI website: <https://www.bali.org.uk/help-and-advice/documents/lisscscs-scheme-booklet-2018/>
- ii. Training and assessment of competence shall be carried out in accordance with the LISS/CSCS scheme booklet.
- iii. ^{11/20} For litter picking and tree inspection see Appendix Q Guidance on Litter Picking and Appendix S Guidance on Tree Inspection.
- iv. The organization shall create and maintain a record of training and assessment of competence for each employee.
- v. Senior Managers whilst they don't necessarily need to have the qualifications themselves they shall be able to demonstrate that they employ suitability and appropriately qualified personnel. (see 7.1.2) There must be a process in place to demonstrate this.
- vi. The organization shall create and maintain a register of employees as part of the organization's competency management documented information.
- vii. Whilst working at highway construction sites employees shall carry a skills registration card that details their qualifications for competency at all times. This card will include an identification photograph and where appropriate the name of the organization.
- viii. See 7.1.2 for further information.

Note 1. In December 2015 the Construction Leadership Council determined that construction industry competency/identity cards must include a recognised “mark”. It has been decided that this will be the CSCS “mark”, which will be mandated from 2020. Some major construction companies are already mandating this as a requirement for personnel to enter their sites.

^{11/20} **Note 2:** All formal qualifications are regulated by Qfqual (England) and CCEA (Northern Ireland) and are available on the register of Regulated Qualification (RQF). For Wales and Scotland the respective authorities are CQFW (Wales) SCQF (Scotland). See Appendix C for further details.

^{02/18}For design organizations the following shall apply:

The Quality Plan shall identify the role or position of the individual with the assigned responsibility for assessing competency and for assigning competent individuals to project specific design activities.

The assessment shall include a review against the DMRB, NHSS, EU and UK legislation during the determination of staff competence requirements.

Where required by the client/customer the design organization shall provide details of the assessment process and the identification of design personnel.

7.3 Awareness

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

7.4 Communication

The relevant quality plan and standard operating procedures shall be communicated to all relevant employees.

^{02/18}The organization shall consider the need for external communications to interested parties (and Communities where applicable) affected by their activities under the scheme. Interested parties affected by the activities shall be informed and updated as necessary of such activities.

7.5 Documented Information

7.5.1 General

A quality plan (documented planned arrangements) shall be drawn up. 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 Section 8 and Appendix A).

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

7.5.2 Creating and updating

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

7.5.3 Control of documented information

7.5.3.1 The organization shall have processes in place to ensure that the latest versions of relevant Standards and Documents are available (See Appendix B)

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

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

7.5.3.2 Control of documented information

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

Contract specific records, e.g. risk assessments, as listed in the quality plan see Appendix A.

As part of the organization's procedures for document control, the following contract specific documents are typically required to be controlled (the list is not exhaustive):

- a) Correspondence
- b) Delivery notes and certification where required, e.g. materials testing, provenance certificates
- c) Training records/certificates/ Protected Species licences
- d) Contract Documentation and client order
- e) Instructions to Site Staff (including method statements)
- f) Location and identification of underground and overground services and structures and name, address, telephone numbers of persons responsible for them,
- g) Health and Safety requirements and records
- h) Methods to ensure the organization obtains any amendments to the documents listed in Appendix B where appropriate to the scope of registration.
- i) Location and identification of Protected Species and their habitats and of Government Bodies authorised to issue licences, including name, address, and telephone numbers of persons responsible.
- j) Where appropriate, location and identification of trees covered by TPOs and Conservation Areas and of the Local Authority administering protection
- k) Environmental management and Landscape Plan
- l) Contract Drawings

In addition to the organization's own quality records, the following contract specific records shall typically be kept, (the list is not exhaustive):

- (a) Contract Specification and any variations.
- (b) Invoices/receipts from sub-contractors.
- (c) Instructions to site staff.
- (d) Written complaints.
- (e) Experience and training record of all personnel.
- (f) 'As built' records identifying any agreed changes arising during implementation.
- (g) Details of materials used - (e.g. equipment list).
- (h) Details of any accidents (known to the organization) in or adjacent to the landscape, environment or ecology works.
- (i) Licences for works affecting Protected Species or their habitats, and protected trees.
- (j) Records of Pesticide & pest control use
- (k) Where specified, Maintenance Records.
- (l) Operational Site Diary/Daily record

8 Operation

The organization shall refer to GG102 section 8 in respect of requirements for design elements.

8.1 Operational planning and control

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

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

- (ii) The Quality plan may be a largely standard document as indicated in Appendix A of this schedule supplemented by contract specific information.
- (iii) The quality plan should not be considered in isolation. An integrated approach may be taken which links to other relevant plans.

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

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

Management should ensure that the validation of products demonstrates that they meet the needs and expectations of customers and other interested parties with respect to the:

- Resource efficiency impact of the installation, use, maintenance and disposal of the product, or by-products of the production and maintenance; impact on natural reserves of resources used in the production process including locally sourced materials and/or use of materials with a recycled content;
- subsequent waste minimization, recycling and where necessary environmentally acceptable disposal of the product or by products of production

The organization shall, in order to reduce the need for waste disposal, minimise the generation and environmental impacts of wastes arising during the Environmental, Landscaping and Ecological works and maximise opportunities for the re-use and recovery of wastes, the organization shall include within the Construction Environmental Management Plan (CEMP) proposals for the identification, segregation, handling and storage of the different types of wastes identified as arising from the works to maximise opportunities for the re-use and recovery of wastes.

8.2 Requirements for products and services

8.2.1 Customer communication

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

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

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

8.2.2 **Determining the requirements for products and services**

Where required in the contract agreement the provider shall undertake relevant risk assessments in accordance with the client's standards and processes (for example Highways England's Standard GG104 provides a method for undertaking risk assessment on their network). See also 5.1.2.

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

Processes for determining customer requirements shall consider the interests of the Client and the product end users, i.e. the general public/travelling public and shall be mindful of the Client's interaction with the end users. This will include processes to minimise disruption to traffic, neighbours and other third parties.

Determination of requirements related to the product shall include:

- resource efficiency aspect requirements specified by the Customer;
- resource efficiency aspect requirements not stated by the Customer but necessary for specified or intended use, where known; statutory and regulatory requirements related to the resource efficiency aspects of the product, including as appropriate compliance with European Licensing regulations (e.g. Driver CPC – periodic training).

8.2.3 **Review of requirements related to products and services**

8.2.3.1 Where irregularities or inconsistencies within the specification or other issues are encountered these shall be brought to the attention of the Client for resolution. Where appropriate, Health and Safety issues should be notified to the Client including any contraventions of health and safety legislation.

The Technical Officer shall, prior to commencement of the landscape, environment, ecology or maintenance works, review the practicality of the proposed measures. This shall include liaison with third parties, in particular the Highway Authority, Client, Police, adjoining landowners and where appropriate, Government Bodies authorised to issue licences for works affecting protected species and the Local Authorities responsible for Tree Preservation Orders.

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.

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

The organization shall:

- ensure that the products resource efficiency requirements are defined;
- review the resource efficiency requirements related to the product prior to supply of the product to the Customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders);
- ensure the organization has the ability to meet the defined resource efficiency targets and requirements.

8.2.3.2 No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.2.4 **Changes to requirement for products and services**

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.3 Design and development of products and services

11/20 8.3.1 General

Where Land-based works design or development are undertaken the Quality Plan shall identify the personnel involved and their qualifications/experience appropriate for the landscape works or special ecological measures involved including registration to GG102. This shall include those involved with design verification and approval. See 7.2, 8.4.1 and Volume 10 of the DMRB.

8.3.2 Design and development planning

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.3.3 Design and development inputs

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.3.4 Design and development controls

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.3.5 Design and development outputs

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.3.6 Design and development changes

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.4 Control of externally provided products and services

8.4.1 General

The organization shall establish and maintain procedures to ensure that all materials/products shall be selected in accordance with the contract (specification) documents including compliance with other relevant NHSS. All copies of certification to verify this shall, where specified or on request, be passed to the Client. This will include, as required, provenance of supplies from nurseries. (See appendix A of the SHW).

Sub-contractors shall be compliant with this scheme as defined in 3.1 Terms and Definitions - Sub-contractors means an individual, a specialist or organization.

^{11/20}Where a harmonized European Standard is in place the organization shall have a process to ensure conformity of the Declaration of Performance with the Contract requirements.

^{11/20}The organization shall ensure that purchased product meets specified resource efficiency requirements.

^{11/20}Where required compost shall be certified to PAS 100: (current version) Specification for Composted Materials and verified by a recognized third party assessment scheme providing assessment and conformity with PAS 100.

^{11/20}The organization shall establish and maintain procedures to ensure that the customer is informed of the proposed source of supply of all plant material to enable plants to be inspected at the nursery by the Client before delivery to Site. (See SHW Series 3000).

8.4.2 **Type and extent of control**

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.4.3 **Information for external providers**

Purchasing information shall include where appropriate resource efficiency aspects related to the percentage of recycled materials and locally sourced materials to be included.

8.5 Production and service provision

8.5.1 Control of production and service provision

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

- a. an agreed procedure for managing emergency situations including health and safety requirements.
- b. where the organization is the main supplier 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 and communicated to all interested parties.
- c. where the organization is a sub-supplier, the taking of all reasonable steps to ensure this information identified in b) above is available from the main supplier and is suitable to the extent that the organization is satisfied it is safe to carry out the sub-contract works.
- d. works orders, risk assessment and this Sector Scheme quality plans for the NHSS18 works (including design) shall be signed by the relevant designated personnel (for example the Registered Lead Operative or Technical Officer) and retained for at least 6 years (if the warranty period specifies longer then these records must be kept until that time period is reached). They will also be submitted to the Client if requested. (See also 8.6)
- e. safe place of work and the provision of temporary traffic management by an appropriate sector scheme registered organization.

Where the results of activities cannot be fully verified by subsequent inspection and testing or where they may become apparent after a period of time (for example subsoil treatment, pesticide application or invertebrates/vertebrates control) the activities shall be carried out by qualified operators and/or shall require continuous monitoring to ensure that the specified requirements are met. Method statements shall be used as part of the control processes. Processes shall include validation of method statements.

The Supervisor or Technical Officer shall report to the customer on unexpected ground conditions, animal damage, vandalism or unseasonable weather or other incidents which would affect the product performance. (Note: The customer maybe required to report this to the Client.)

The organization shall establish and maintain documented procedures to deal with plant material approved at a subcontractor's nursery. This shall include marking / identification and verification to ensure compliance with the specification. This may take place after lifting and grading of the product has taken place.

The organization shall have access to and a working knowledge of the relevant documents listed in Appendix B of this schedule together with the Contract Specification.

Where required the organisation shall ensure that an environmental survey is undertaken and constraints arising are included in the subsequent contract documents.

Where required the organization's procedures shall include validation processes for the supply of plants and the establishment of plants, see Appendix B item 4.1.1.

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 establish and maintain documented procedures to ensure that where the seed origin of plants or of seeds is required to be from a specific locality written evidence of its provenance shall be provided prior to planting or sowing. (See SHW Series 3000).

8.5.3 Property belonging to customers or external providers

Where required the Quality Management System shall include a procedure to be applied where material is supplied by the Client.

8.5.4 Preservation

The organization shall establish and maintain documented procedures for handling, storage, and packaging of all plant material to ensure that the specified requirements are met.

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

8.5.5 Post-delivery activities

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.5.6 Control of changes

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.6 Release of products and service

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

8.7 Control of nonconforming process outputs, products and services

Non-conforming materials and workmanship shall not be accepted unless written approval has been received from the customer and/or Client as appropriate.

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

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

The organization shall evaluate the performance effectiveness of their management system in respect of this scheme.

This includes the ongoing impact of this sector activities on other works including congestion and traffic flows.

9.1.1 General

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

9.1.2 Customer satisfaction

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

9.1.3 Analysis and evaluation

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

9.2 Internal audit

9.2.1 No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

9.2.2 Internal audits shall be carried out at sufficient frequency and by a suitable technically competent person/s to ensure a robust assessment of the compliance of the product. The quality plan shall state the frequency of internal audits. Internal audits of the quality management system against this SSD shall include at least (two visits) a year to specific works sites to check this sector scheme (Where the organization does not have contracts which provide continuous working throughout a full year, visits shall be conducted on a pro-rata basis, but at least one visit per contract must be made). Internal auditors shall have a working knowledge of activities within this scheme. Internal audits shall be carried out by the nominated quality manager or a designated competent person.

Six monthly office-based audits of administrative procedures.

Where appropriate on-site audits, shall be carried out at least twice a year in the appropriate season as described in the specification, these are to include the following works: application and management of pesticides, ground preparation, planting, grass cutting and tree works.

Note: Where the organization does not have contracts which provide continuous working throughout a full year, visits shall be conducted on a pro-rata basis, but at least one visit per contract must be made. Internal auditors shall have a working knowledge of the organizations activities. Internal audits shall be carried out by the nominated quality manager.

9.3 Management review

9.3.1 General

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

9.3.2 Management review inputs

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

9.3.3 Management review outputs

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

10 Improvement

10.1 General

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

10.2 Nonconformity and corrective action

No specific particular requirement; the requirements are as stated in ISO 9001:2015 without further qualification.

10.3 Continual improvement

The corrective actions and risk assessment processes shall include analysis of incidents and occurrences. The reporting of accidents is a legal requirement under RIDDOR. Near misses shall be recorded. Where required in the contract near misses shall be reported to the Client (eg Highways England AIRSWEB see CHE memo 415/18 or latest version for information).

Appendix A: Requirements for Quality Plans

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

1 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. Contact details for these staff.
 - 1.2.1 details of those responsible for design where applicable (see section 8 and GG102)
 - 1.2.2 the senior manager responsible for the contracted work
 - 1.2.3 the organization's on-site management representative, and
 - 1.2.4 the person(s) responsible for signing off the works are to be occupationally competent and responsible to be able to sign off the works.
- 1.3 Identification of the procedural content of the organization's quality management system documentation relative to the product and service being provided. A copy of this documented information shall be available and provided to the Customer and/or Client as required or on request.
- 1.4 The control of personnel selection including special requirements for skilled personnel e.g. training of site staff.
- 1.5 The Customer's nominated Quality Manager, project manager and/or other representatives through whom communication is to be made throughout the contract.
- 1.6 Any environmental conditions impacting upon the specified works.
- 1.7 Location of site for the contract and means of access.
- 1.8 Specification and/or Contract Documents.
- 1.9 Extent of the works and the commencement and completion dates of the contract.
- 1.10 Details of the work (as appropriate).
- 1.11 Details of existing materials (as applicable).
- 1.12 Disposition of documented information.
- 1.13 ^{11/20}Frequency of internal audits see 9.2.2

2.0 Contract specific information

- 2.1 Details of the contract specific equipment to be used and any certification required to be issued to the Customer/Client.
- 2.2 Name and contact details of Customer/Client contact(s).
- 2.3 Details of the communications required between the organization's staff and the Customer/Client or any other party including Liaison with the Police, the Highway Authority, adjoining landowners and organisations or individuals advising on works affecting Protected Species or their habitats.
- 2.4 Work programme and details of deliverables including method statements.

- 2.5 Details of how the organization shall address health and safety issues, including risk assessment, on a site specific basis, for all activities, including road traffic hazards, environmental hazards, etc. in the works area and those with the potential to impact outside the works area.
- 2.6 Any sub-contract details including details of the sub-contractor's registration to this Sector Scheme and any other relevant Sector Scheme.
- 2.7 Receipt, examination and submission to Client of certificates of registration and test results and origins of materials used.*
- 2.8 Details of any requirements with respect to protected species obtained from an environmental survey.
- 2.9 Selection, storage, handling and application of pesticide.
- 2.10 Site welfare facilities for staff and reference to relevant Health and Safety Plans and/or Risk Assessments.
- 2.11 Details and control of Quality records.*
- 2.12 Control of non-conforming product.*
- 2.13 Scheme specific resource efficiency plan and requirements, including those of the Customer/Client, statutory and regulatory, and for purchasing of materials for the contract.
- 2.14 Measures required for the minimisation of waste, inclusion of recycled material and the methods for environmentally acceptable disposal of materials as necessary.
- 2.15 Environmental Management Plan, Construction Environmental Management Plan, Operation and Maintenance Plan, Handover Environmental Plan as appropriate.
- 2.16 Biosecurity Plan - A document for Biosecurity (diseases carried by humans, animals and plants including the prevention and spread of invasive species) shall be included which shall be available on request by the Client.
- 2.17 ^{11/20}Method Statement for the protection of trees (including Professional Tree Inspection), shrubs, other plants (including protected species) and other features (including archaeology).
- 2.18 Method Statement for sustainable reuse of woody arisings such as round timber and wood chip material.

*Copies of the organization's general procedures covering these items shall be made available for examination by the Client's representative; copies are to be provided when requested.

Note 1: Reference should also be made to Sample Appendix 1/24 in the Notes for Guidance on the Specification for Highway Works where this is incorporated into the main Contract and Appendix H of the Specification for Highway Works.

Note 2: 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.

Note 3: 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.

Note 4: See ISO 10005 (Quality management systems – Guidelines for quality plans) for further information.

APPENDIX B: ^{11/20}REFERENCE AND ASSOCIATED DOCUMENTS (BIBLIOGRAPHY)

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

Organizations shall ensure they are working to current reference or associated documents appropriate to work in their sector.

The list of standards and documents below are date specific, however, the organization shall have 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.

1. REFERENCE DOCUMENTS

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

Series 000	Introduction
Series 100	Preliminaries – Clause 104
Series 200	Site Clearance
Series 600	Earthworks
Series 3000	Landscape and Ecology
Appendix A	Quality management Schemes

- 1.2 Manual of Contract Documents for Highway Works – Volume 2 Notes for Guidance on the Specification for Highway Works (NGSHW), and amendments.

Series NG000	Introduction
Series NG100	Preliminaries – Clause NG104
Series NG600	Earthworks
Series NG3000	Landscape and Ecology

- 1.3 Design Manual for Roads and Bridges

- 1.3.1 ^{11/20}GG102 Quality Management Systems for Highway Works
- 1.3.2 GG 104 - Standard for safety risk assessment on the strategic road (Design Manual for Roads and Bridges – Volume 0, Section 2, section 1, Part 1 – <http://www.standardsforhighways.co.uk/ha/standards/dmr/vol0/section2.htm>)
- 1.3.3 Volume 10 Environmental Design Manual for Roads and Bridges (DMRB)
- 1.3.4 Design standards and advice notes contained in DMRB Volume 4.1 - Geotechnics and Drainage
- 1.3.5 HA 71 – The Effects of Highway Construction on Flood Plains
- 1.3.6 HA 108/04 - Chapter 5 The Landscape Management Handbook
- 1.3.7 HD 23 – Pavement Design and Maintenance – General Information
- 1.3.8 HD 25 – Pavement Design and Maintenance – Foundations
- 1.3.9 DMRB 11.3.11 – Environmental Assessment Techniques – Geology and Soils

Note: 1.3.3 to 1.3.9 have been updated www.standardsforhighways.co.uk/ha/standards/dmr

- 1.4 BS EN ISO 14001 Environmental Management Systems – Requirements with Guidance for Use

- 1.5 BS 3882 Specification for topsoil

- 1.6 BS 3936 Nursery stock
 - Part 1 Specification for trees and shrubs
 - Part 2 Specification for roses
 - Part 3 Specification for fruit plants
 - Part 4 Specification for forest trees
 - Part 5 Specification for poplars and willows
 - Part 7 Specification for bedding plants
 - Part 9 Specification for bulbs, corms, and tubers
 - Part 10 Specification for ground cover plants
 - (There is no Part 6 or Part 8 at present)
- 1.7 BS 3969 Recommendations for Turf for general purposes
- 1.8 BS 3998 Recommendations for Tree work
- 1.9 BS 4043 Recommendations for Transplanting root-balled trees
- 1.10 BS 4072 Wood preservation by means of copper/chromium/arsenic compositions
 - Part 1 Specification for preservatives
 - Part 2 Method for timber treatment
- 1.11 BS 4428 Code of practice for general landscape operations (excluding hard surfaces)
- 1.12 BS 5837 Trees in Relation to Construction – Recommendations
- 1.13 BS 7370 Grounds maintenance
 - Part 4 Recommendations for Maintenance of soft landscape (other than amenity turf)
- 1.14 National Sector Schemes (available from UKAS, www.ukas.com)
 - Scheme 2A – The Design and/or Supply, Installation and Repair of Fences
 - Scheme 4 – Preservative Treatment of Timber
 - Schemes 12A/12B, 12C and 12D – Temporary Traffic Management
- 1.15 BSI- Publicly Available Specification
 - PAS 100 Specification for Composted Materials
- 1.16 Sustainable Use Directive – Pesticides – The Plant Protection Products (Sustainable Use) Regulations 2012 (SI1657)
- 1.17a EU Water Framework Directive 2000/60/EC
- 1.17b The Groundwater Directive 2006/118/EC
- 1.18 Pesticides Directive – establishing a framework for Community action to achieve the sustainable use of pesticides (Directive 2009/128/EC)

2 Associated Documents – Bibliography

- 2.1 Weeds Act
- 2.2 Wildlife and Countryside Act
- 2.3 Wildlife (Northern Ireland) Order
- 2.4 Protection of Badgers Act
- 2.5 Work at Height Regulations
- 2.6 Control of Vibration at Work Regulations
- 2.6 New Plant Protection Products (Sustainable Use) Regulations
- 2.7 The Health & Safety at Work etc Act (HASWA)
- 2.8 The Control of Pollution Act
- 2.9 The Environment Act
- 2.10 The Lifting Operations and Lifting Equipment Regulations and Approved Code of Practice (LOLER)
- 2.11 The Health & Safety (First Aid) Regulations
- 2.12 The Personnel Protective Equipment at Work Regulations
- 2.13 The Workplace (Health, Safety and Welfare) Regulations and Approved Code of Practice
- 2.14 The Reporting of Injuries, Diseases and Dangerous Occurrence Regulations (RIDDOR)
- 2.15 The Provision and Use of Work Equipment Regulations and Approved Code of Practice (PUWER)
- 2.16 The Management of Health & Safety at Work Regulation (MHSWR)
- 2.17 The Control of Substances Hazardous to Health Regulations and Approved Code of Practice (COSHH)
- 2.18 The Construction (Design and Management) Regulations (CDM)
- 2.19 The Control of Noise at Work Regulations
- 2.20 The Electricity at Work Regulations
- 2.21 The Manual Handling Operations Regulations
- 2.22 Forestry Act
- 2.23 Hedgerow Regulations
- 2.24 Invasive, Alien Species Regulations
- 2.25 Non Native Invasive Species Regulations
- 2.26 Infrastructure Act (Species Control Orders)
- 2.27 Crime and Policing Act Community Protection Orders
- 2.28 Biosecurity – see Appendix R for publications and links
- 2.29 The Control of Vibration at Work Regulations

3 Industry Standards / Codes of Practice

3.1 Arboricultural Association

- Guide to Good Climbing Practice,

3.2 Arboriculture Research Notes

Available from Arboricultural Advisory and Information Service at Alice Holt Lodge, Wrecclesham, Farnham, Surrey, GU10 4LH

- Note 48 'A definition of the best pruning positions' by D Lonsdale
- Note 40 'Tree staking' by D Patch
- Note 79 'Scab and Black Canker of Willow' by D R Rose
- Note 46 'Anthracnose of London Plane' by R G Strouts
- Note 111 'Bleeding canker of Caucasian Lime (*Tilia x euchlora*)' by J N Gibbs
- Note 118 'Fireblight of ornamental trees and shrubs' by R G Strouts
- Note 122 'The horse chestnut scale: a pest of town trees' by D Wainhouse
- Note 124 'The Asian strain of Gypsy Moth, *Lymantria dispar*: a significant threat to trees' by T G Winter and H F Evans
- Note 58 'Phytophthora root disease' by R G Strouts
- Note 106 'Japanese Knotweed in Amenity Areas' by C Hawke and D R Williamson.

3.3 The British Trust for Ornithology

BTO, The Nunnery, Thetford, Norfolk, IP24 2PU, www.bto.org

- BTO Nestbox Guide by Chris de Feu, published by BTO (2004)

3.4 Crop Protection Association

2 Swan Court, Cygnet Park, Hampton, Peterborough PE7 8GX (www.cropprotection.org.uk)

- Amenity – Best Practice: Using Pesticides in the Community by the Crop Protection Association

3.5 DTI now Business, Energy and Industrial Strategy (BEIS)

- Site Waste Management Plan

3.6 Joint Liaison Committee on Plant Suppliers:

- Code of Practice for Plant Handling 1985

3.7 WRAP/Defra/BEIS

Waste and Resource Action Programme (WRAP), Second Floor, Blenheim Court, 19 George Street, Banbury, Oxon, OX16 5BH.

- Guidelines for the Specification of Composted Green Materials used as a Growing Medium Component
- Construction Code of Practice for Sustainable Use of Soils on Construction Sites. September 2009
- Good practice guide for the use of BSI PAS 100 compost in landscape and regeneration
- Environment Agency position statement – Environmental Regulation of Wood
- Field Guide to Invasive Plants and Animals in Britain ISBN 978-1-4081-2318-8 published by FERA Science Ltd

3.8 Other Publications

- Code of Practice for the Use of Plant Protection Products obtained from the Pesticides Safety Directorate (Chemicals Regulation Division (CRD)).
- Landscape Handover Document
- Wildlife Fencing Design Guide C646 (CIRIA)

4 Contract Specifications and Documentation

4.1 Horticultural Trades Association

Horticulture House, 19 High Street, Theale, RG7 5AH, www.the-hta.org.uk

- National Plant Specification

4.2 The Landscape Institute

Charles Darwin House, 12 Roger Street, London, WC1N 2JU
Technical Bulletin: Water Restrictions and Watering Specification

- Compost Specification for the Landscape Industry

5 Health and Safety

5.1 Health and Safety Executive

www.hse.gov.uk

- Arboriculture Safety Guides published by the Arboriculture & Forestry Advisory Group
- (AFAG)
- HSG47 Avoiding Danger from Underground Services
- GS6 Avoiding Danger from Overhead Power Lines
- Rider-operated lift trucks L117
- Hand Arm Vibration, Health & Safety Executive publication L140
- Whole Body Vibration, Health & Safety Executive publication L141
- The Work at Height Regulations A Brief Guide INDG401

5.2 Energy Networks Association Limited,

6th Floor, Dean Bradley House, 52 Horseferry Road, London, SW1P 2AF

- [Safe Tree Working in Proximity to Overhead Electric Lines.](#) (Engineering Recommendation (ER) G55/4)

5.3 National Joint Utilities Group (NJUG)

- Guidelines for the planning, installation and maintenance of utility services in Proximity to trees

5.4 Forestry Industry Safety Accord

- Forestry Industry Safety Guides (available from FISA) www.ukfisa.com

6. Specific Client Contract Specifications/Documents

6.1 Interim Advice Notes

- <http://www.standardsforhighways.co.uk/ians/index.htm>

6.2 Code of Practice for the Control of Japanese Knotweed

- http://www.environment-agency.gov.uk/static/documents/Leisure/Knotweed_CoP.pdf

6.3 Code of Practice on how to prevent the spread of ragwort

6.4 NBS- Landscape RIBA

6.5 JCLI – Landscape Institute

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

Note 2: Highways England may issue Interim Advice Notes (IANs) as a prelude to inclusion in the MCHW (Vol 1 and 2), the DMRB and/or Chapter 8 of the Traffic Signs Manual. 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 (<https://www.gov.uk/guidance/standards-for-highways-online-resources>).

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

Appendix C: Training and Assessment of Competence

1. Training and competency qualifications

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

See clause 7.2.2 and the requirements set out in the LISS/CSCS Scheme Booklet <https://www.bali.org.uk/help-and-advice/documents/lisscscs-scheme-booklet-2018/> on the BALI LISS/CSCS website.

2. ^{11/20} Regulated Qualifications Framework (RQF)

The framework should help people understand all the qualifications that they regulate for general and vocational qualifications in England (Ofqual), and vocational in Northern Ireland (CCEA), and how they relate to each other. Its intention is to improve consistency around how awarding organisations describe the size and challenge, or demand, of the qualifications they offer. <https://www.gov.uk/find-a-regulated-qualification>

3. ^{11/20} Credit and Qualifications Framework (CQFW)

The framework should help people understand all the qualifications that they regulate for general and vocational qualifications in Wales <https://gov.wales/credit-and-qualifications-framework-cqfw>

4. ^{11/20} Scottish Credit and Qualifications Framework (SCQF)

The framework should help people understand all the qualifications that they regulate for general and vocational qualifications in Scotland <https://scqf.org.uk/>

5. Health and safety

^{02/18}Organizations are reminded of the legal requirements to provide health and safety training for all personnel as appropriate in accordance with the Health and Safety at Work Act 1974 and subsequent legislation. Organizations are required to maintain records of equipment maintenance and usage by individuals.

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

If they are working adjacent to live highways it is a requirement that personnel pass the specialist test questions for Highway Works included in the CSCS or the ECS Highway Electrical version of the Health & Safety touch screen test.

6. Temporary traffic management

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

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

For works on mobile lane closures NHSS12C applies.

For works on other roads NHSS 12D applies and organizations need to ensure that they have appropriately skilled personnel to set out the necessary temporary traffic management measures.

Guidance is given in Appendix M of NHSS 12D. However for the English strategic road network such measures need to be installed by a 12D registered organization.

Further information

NHSS Committees need to take note of other sector scheme documents when developing or reviewing their documents as this may have implications for “their” scheme in respect of qualifications required of personnel.

7. 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 C1: ^{11/20} LISS/CSCS SMARTCARDS

See the requirements set out in the LISS/CSCS Scheme Booklet <https://www.bali.org.uk/help-and-advice/documents/lisscscs-scheme-booklet-2018/> on the BALI LISS/CSCS website.

APPENDIX D: EXAMPLE REGISTER OF PERSONNEL

ATTAINMENTS

NAME OF COMPANY:

Full Name of Employee	Registration Renewal Date	Types of Designated Activities for which Personnel are Certified

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

Calibration of pesticides equipment shall be carried out in accordance with:

The Plant Protection Products (Sustainable Use) Regulations 2012 (No.1657)

Plant and Equipment subject to vibration:

Regular maintenance in accordance with the manufacturer's recommendation shall be carried out and recorded for all operated equipment and plant which is subject to vibration. The organization shall control and document all details of all relevant equipment and plant including usage and operative details.

11/20 APPENDIX F: CERTIFICATION BODIES ACCREDITED FOR THIS SECTOR SCHEME

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

(When implemented,)* Information on certification bodies accredited against this scheme can be found on the UKAS website www.ukas.com. To identify the certification bodies on the website:

*This should only be included for brand new schemes, otherwise "When implemented," should be deleted.

- Information on certification bodies accredited against this scheme can be found currently on the UKAS website www.ukas.com. The search facility is not guaranteed to return accurate results and so the following process should be followed in full:
- place the cursor onto 'Find' box in the top right-hand corner
- In the Search box under "Search Accredited Organizations" enter "Highway Sector Scheme No 18" (including the inverted commas) (you can optionally also enter your post code)
- left click 'search'
- left click on 'Certification Bodies' - this then lists the certification bodies who may be accredited
- Click on the particular Certification Body you are interested in and review their Schedule of Accreditation to see whether their scope includes NHSS18 (this should be towards the end of the Schedule of Accreditation).

Note 1: This process will not identify certification bodies that do not have "sector scheme No X" in their scope, but which may have only "NHSS X" or "sector scheme X". To complete the full list of accredited CBs it will be necessary to repeat the process (at least twice) by typing in "nhss X" or "sector scheme X" as appropriate at bullet point 3. This should then list the certification bodies who are accredited to the scheme and their details can be found by clicking on the appropriate links.

Note 2: Advice on the current accreditation status of certification bodies to assess against this document should be sought from UKAS (Tel: 01784 429 000).

Note 3: Certification Bodies interested in being accredited by UKAS for this Sector Scheme should contact UKAS.

Note 4: 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 particular requirements of the NHSS carried out by and in conjunction with a UKAS accredited certification body for this scheme.

Note 5: Advice on the current accreditation status of certification bodies to assess against this document should be sought from UKAS (Tel 01784 429000 or Email info@ukas.com).

APPENDIX G: THE ROLE OF CERTIFICATION BODIES AND AUDITOR QUALIFICATIONS

1 Role of certification bodies

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

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 ISO 9001:2015 quality management systems for particular requirements in accordance with this NHSS.
- 2.2 Due to the broad scope of this Sector Scheme, certification bodies may find difficulty in meeting all the criteria required of them to become fully accredited to this scheme. The committee has accordingly reviewed this situation and has taken steps to remedy the situation by effectively managing the scope into activities as follows:
 - A) Design, Planning, Management and/or Application for Arboricultural Activities
 - B) Design, Planning, Management and/or Application for Pesticide Activities
 - C) Design, Planning, Management and/or Application for *Land-based Activities

Which will be respectively referred to as Sector Scheme 18A, 18B and 18C. (This follows the same principle as that established for the registration of organizations into activities/ primary categories (which are listed in Appendix K), that have been identified for organizations against which they can be registered).

Which will be respectively referred to as Sector Scheme 18A, 18B etc. (This follows the same principle as that established for the registration of organizations into activities and primary categories (which are listed in Appendix K and given in clause 3.1 below), that have been identified for organizations against which they can be registered).

3 Assessor and assessment team competence

- 3.1 (i) The Certification Body must be able to demonstrate to UKAS that it possesses and can maintain the necessary assessor experience and technical competence in the relevant primary categories of Natural Environment and Landscape Works and Maintenance covered in the scope of this Scheme for which it is accredited. Secondary assessment areas include, but are not limited to those listed in Appendix K and terms and definitions.
- (ii) Knowledge, understanding and application of this SSD (See Appendix G1).

- (iii) Knowledge of the manufacture and supply in the NHSS18 industry, including the methods and techniques sufficient to understand the processes employed and the controls necessary to ensure delivery of conforming product and services. Typically this would include knowledge of the product and processes e.g. pesticides and invasive species. (Conveyance of this knowledge to auditing teams will be determined by the certification body and will be audited by UKAS).
 - (iv) Maintenance of demonstrable technical highway engineering background, capable of reading and understanding specifications and drawings, including knowledge of the Specification for Highway Works and design standards requirements for NHSS18.
 - (v) Ability to demonstrate that they have ongoing suitable health and safety training which shall include appreciation of the risks involved in the manufacture, production, supply and installation in the specific aspects of the scheme as appropriate.
 - (vi) Knowledge of constituent components and their properties.
- 3.2 The certification body must also ensure that assessors have relevant knowledge of health & safety requirements related to working on live highways where appropriate, knowledge of temporary traffic management, working in confined spaces and working at height for assessment of guidance provided on this aspect.
- 3.3 Guidance to Certification Bodies on assessor competence related to this Sector Scheme is given in the certification body guidance document National Highway Sector Scheme Accreditation, Registration and Assessment Guidance for Certification Bodies NHSS 0 Part 4.
- 3.4 The certification body is responsible for ensuring that the assessment teams possess demonstrable expertise in the assessment areas detailed above as they relate to the scope of client activities under assessment.
- 3.5 Minimum assessor qualifications and competence for assessment of this NHSS, which may reside in a single individual, or in an assessment team are as follows:
- (i) International Register of Certificated Auditors (IRCA) Registered ISO 9001:2015 Lead Auditor qualification or certification body equivalent and demonstrable expertise in leading assessment teams.
 - (ii) ISO 9001:2015 assessment experience.
 - (iii) Technical assessment competence in the categories of NHSS18.
 - (iv) Knowledge, understanding and application of this SSD including protected species.
 - (v) Knowledge of the manufacture, production and demonstrable technical highway engineering background, capable of reading and understanding specifications and drawings, including knowledge of the Specification of Highway Works and design standards requirements for NHSS18 activities.
 - (vi) Ability to demonstrate that they have ongoing suitable health and safety training which includes appreciation of the risks involved in the sector scheme activities of eg overgrown verges, pesticides and invasive species in order to make observations
 - (vii) Preferably knowledge of constituent components and their properties.

4 Conduct of Assessments

- 4.1 Certification Bodies shall ensure that an adequate proportion (at least a third) of the initial and continuing assessment duration is devoted to assessing operational activities at locations where NHSS18 covered by the scope of this Sector Scheme are being undertaken from.
- 4.2 Certification Bodies shall make all reasonable endeavours to ensure that during a three year certification cycle there is evidence of assessment of all execution activities by the organization's scope of registration. Certification bodies shall undertake surveillance visits at intervals no greater than one year.

5 Format and Content of Registration Certificates

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

6 National Highway Sector Schemes Schedule of Suppliers

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

7 Reporting on Sector Scheme Performance

- 7.1 Each Lead certification body shall provide to the Leader of the SSACA a summary report which includes as a minimum.

Observations and comments on the implementation and assessment findings related to the Sector Scheme including any omissions or deficiencies in its scope.

Recommendations for improving/clarifying the SSD.

Feedback on deficiencies against contract documentation.

A list of organizations whose scope of registration includes the Sector Scheme for comparison against the Schedule of Suppliers.

Note 1: The report shall be available at least a week before each national highway Sector Scheme Liaison Committee meeting (normally held twice a year), so that it may be considered during the Liaison meeting. This is to be issued to the Chairman of the national Highway Sector Scheme Liaison Committee and the Chairman of this Sector Scheme Committee.

Note 2: the report may be a combined report prepared by the nominated certification body (lead CB) to provide assurance that confidentiality is maintained.

- 7.2 Certification Bodies shall ensure they are all represented by at least one nominated individual (who will represent all Certification Bodies) at Sector Scheme Advisory Committee. This does not preclude other Certification Bodies from attending, as appropriate.
- 7.3 Certification Bodies shall be represented at the Sector Scheme Liaison Committee.

APPENDIX G1: GUIDANCE TO ASSESSORS' AND OTHER AUDITORS' COMPETENCIES REQUIREMENTS FOR NATIONAL HIGHWAY SECTOR SCHEME NHSS18

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 has been developed by the sector scheme committee to identify all relevant knowledge of their industry that is pertinent to carrying out an audit.

11/202A General

Assessors and auditors shall be familiar with the requirements of this NHSS and the contents of this SSD as well as any relevant documents referenced. For example, assessors and auditors should have knowledge of relevant international, European and British standards for the scope of work covered by this NHSS; in particular those relating to product conformity, type testing and their requirements; familiarity with SHW, notes for guidance for the SHW, (including when these are updated), the Design Manual for Roads and Bridges and Interim Advice Notes issued by the Highways England.

2B Summary of where the scheme provides particular requirements for sections 4 to 10 of ISO 9001:2015

The summary provides a list of those clauses where particular requirements have 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	Y	Check annually that the organization has determined interested parties, their requirements and is monitoring and reviewing the data. Seek evidence.
4.3 Determining the scope of the quality management system	Y	Check that the organization has reviewed the scope of the relative elements of the latest applicable issue of the NHSS that the organisation considers apt.
4.4 Quality management system and its processes.	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.

Section/Clause	Particular requirement Yes/No	Comment/Requirement
(4.4.1 & 4.4.2)		
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, licensing requirements for driving (HGV), animal including wildlife handling etc. Ensure customer feedback documents are in place on completion of the contract Seek evidence that 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	N	Ensure that policy documented information is available as necessary and is being communicated and implemented and understood. 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. Ensure that integrity is maintained. Seek evidence
6. Planning		
6.1 Actions to address risks and opportunities. (6.1.1 & 6.1.2)	Y	Check that documented information is in place to address risk and opportunities and is operational.
6.2 Quality objectives and planning to achieve them (6.2.1 & 6.2.2)	Y	Check documented information is in place and meets requirements. Check that quality planning is in place and evaluated. See Appendix A
6.3 Planning of changes	N	
7. Support		
7.1 Resources		

Section/Clause	Particular requirement Yes/No	Comment/Requirement
7.1.1 General	Y	Ensure contract/tender review is in place. Review provisions of resources to confirm they are suitable and include providing the defined personnel for contracts
7.1.2 People	Y	See Appendices A, C and D
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	Note added	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	N	
7.1.5.2 Measurement Traceability	Note added	See Appendix E – check validity of certificates and authorisation.
7.1.6 Organizational knowledge	Note added	Seek evidence.
7.2 Competence	Y	Seek evidence. Review copies of training certificates, qualifications and identity cards and forward looking training plans. Ensure that these are in accordance with the requirements of the sector scheme documents Check sample of identity cards. See Appendices C and D
7.3 Awareness	N	Seek evidence
7.4 Communication	Y	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	N	Ensure that all required contract specific documents are in place. Seek evidence.
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. Seek evidence. Check appropriate processes are in place for the retention and disposition of documented information.
8. Operation		
8.1 Operational planning and control	Y	Check quality plan is in place and complies with 6.1 & 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,

Section/Clause	Particular requirement Yes/No	Comment/Requirement
		final disposal, equipment inspection, licensing requirements for driving (HGV), animal including wildlife handling, H&S legislation 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	Y	Check that contract/tender review is in place.
8.3.2 Design and development planning	N	
8.3.3 Design and development inputs	N	
8.3.4 design and development controls	N	
8.3.5 Design and development outputs	N	
8.3.6 Design and development changes	N	
8.4 Control of externally provided processes, products and services		
^{11/20} 8.4.1 General	Y	Check that documented information is in place for externally provided product and services to meet specified requirements and expectations. Assess and verify that processes are in place to ensure due diligence and compliance with the Sector Scheme rules and governance.
8.4.2 Type and extent of control	N	Check that documented information is in place. Seek evidence of effective controls.
8.4.3 Information for external providers	Y	Check 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	Check that documented information is in place.

Section/Clause	Particular requirement Yes/No	Comment/Requirement
8.5.4 Preservation	Y	Check process. Seek evidence as appropriate.
8.5.5 Post-delivery activities	N	
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. Check the processes for determining traceability of authorised persons releasing products and/or services. Seek evidence.
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	Y	
9.1.1 General	N	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	Check 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	Check that the output and actions are considered by top management at regular intervals.
10. Improvement		
10.1 General	N	Check effectiveness of improvement.
10.2 Nonconformity and corrective action (10.2.1 & 10.2.2)	N	Check that documented information is in place and operational.
10.3 Continual improvement	Y	Check that AIRWEB data has been completed and delivered, as appropriate for HE contracts.

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

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

- C1 Safe Working Practices
 - C2 Training, qualifications and assessment of competency
 - C3 Maintain equipment
 - C4 Public protection
 - C5 Environment
 - C6 Testing/inspection/workmanship
 - C7 Health and Safety
 - C8 Equal Opportunities
 - C9 Knowledge of Primary Categories
-
- C1 Safe Working Practices
 - Correct Personal Protective Equipment Worn
 - Equipment approved and suitable for use
 - Personnel to be fully aware of their H&S obligations
 - Must be able to read and understand their job sheet, risk assessment etc.; understand English.
 - Method Statements/work procedures.
 - Risk Assessment.
 - Induction card/skills card.
 - Vehicles/loads are inspected and drivers are qualified
 - Site visit including assessment of installation (if possible) and techniques verified.
 - Awareness of relevant H&S requirements as applicable to this sector scheme.
 - Aware of current best practice including temporary traffic management measures (including site arrangements).
 - Awareness of risk and hazards of and from wildlife and vegetation.
 - 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/Diploma)
 - 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 on a daily basis
 - C4 Public Protection
 - Personnel are aware of the need to protect public during installation operations
 - Relevant personnel have been trained to carry out a visual site risk assessment to ensure that the public will not be put at risk during installation/maintenance operations
 - Where appropriate relevant personnel are aware of the HATO role
 - Personnel have identification

- The organization(company) has a complaints procedure in place

(Note: Public in this instance includes personnel employed by the customer/client)

C5 Environment

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

C6 Inspection/ Testing/Workmanship

Auditors should be aware of the importance of inspection and testing of the product and have knowledge of the relevant tests and the information provided by the tests.

C7 Health and Safety

Auditors should be aware of the Health and Safety at Work etc Act 1974 and associated Health and Safety Legislation, as it applies to this sector scheme.

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.

C9 Knowledge of Primary Categories

Auditors should be aware of the requirements in respect of the subcategories of this scheme, in particular they should have an overview of:

- Weed control sites and works that may be visited and/or looked at during an assessment. The Amenity Assured Standard for integrated approach to weed control is recognised under this scheme; organizations having been assessed to this scheme should not require an in-depth assessment. As the scheme provides a technical assessment of the organization's capabilities. However the auditor must have an awareness of the requirements of the "Sustainable use of Pesticides Directive" and in particular national training and qualification requirements in respect of pesticides.
- Invertebrates/vertebrates control sites and works that may be visited and/or looked at during an assessment.
- Ground preparation sites and works that may be visited and/or looked at during an assessment.
- Grass and wildflower seeding and turfing sites and works that may be visited and/or looked at during an assessment.
- Planting sites and works that may be visited and/or looked at during an assessment.
- Grass, bulb and wildflower maintenance sites and works that may be visited and/or looked at during an assessment.
- Watering works that may be visited and/or looked at during an assessment.
- Establishment maintenance for planting at sites and works that may be visited and/or looked at during an assessment.
- Arboriculture works that may be visited and/or looked at during an assessment.
- Established tree and shrub maintenance sites and works that may be visited and/or looked at during an assessment.
- Water-body management sites and works that may be visited and/or looked at during an assessment.
- Special ecological measure sites and works that may be visited and/or looked at during an assessment.
- Litter picking sites and works that may be visited and/or looked at during an assessment.

- Details of specific aspects of the scheme that have been recognised as required particular attention by assessors as a result of industry and assessor feedback.
- Relevant knowledge in respect of invasive and protected species and the legislation relating to this.
- Understanding of the processes for Archaeology and Landscape History.

APPENDIX H: ORGANIZATION ACCEPTANCE AND GUIDELINES FOR NEW ENTRANTS

1.0 Organization Acceptance

- 1.1 For work carried out on roads managed by Highways England, Transport Wales, Transport Scotland and Dept. for Infrastructure - Roads 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 by other highway authorities and infrastructure providers acceptance of the organization will depend on the requirements of the contract.

2.0 Guidelines for New Entrants - Requirements

- 2.1 Organizations must have the required experienced and qualified NHSS18 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 The organization shall record their registration to this sector scheme on the Schedule of Suppliers website <https://www.scheduleofsuppliers.co.uk> upon receipt of the certificate issued by their certification body to confirm their registration and thereafter check its suitability annually.

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.

Trade Associations

BALI - British Association of Landscape Industries
Landscape House
Stoneleigh Park
Kenilworth
Warwickshire, CV8 2LG
www.bali.org.uk

NAAC – National Association of Agricultural Contractors
Samuelson House
Paxton Road
Orton Centre
Peterborough, PE2 5LT
www.naac.co.uk

FCA – Forestry Contractors Association
PO Box 1
Lairg, IV27 9AA

Professional Bodies

AA - Arboricultural Association
The Malthouse
Stroud Green
Standish
Stonehouse
Gloucestershire
GL10 3DL
www.trees.org.uk

ICF – Institute of Chartered Foresters
59 George Street
Edinburgh
EH2 2JG

CIEEM – Chartered Institute of Ecologists and Environmental Managers
43 Southgate Street
Winchester
Hampshire
SO23 9EH
www.cieem.net

CIOH – Chartered Institute of Horticulture
Horticulture House
19 High Street
Theale
Reading
West Berkshire
RG7 5AH

LI – Landscape Institute
107 Gray's Inn Rd,
London
WC1X 8TZ

CIWEM - The Chartered Institution of Water and Environmental Management
106-109 Saffron Hill
London
EC1N 8QS

APPENDIX J1: FEEDBACK

APPENDIX J1: FEEDBACK ON THIS DOCUMENT

Use of Form Appendix J1:

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 Chairman
Sector Scheme Advisory Committee for NHSS18
BALI
Landscape House
Stoneleigh Park
Kenilworth
Warwickshire
CV8 2LG

Issue Identified:

Suggested Action:

Name:
organization:
Address:

Contact details:

Date:

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

APPENDIX J2: FEEDBACK TO CERTIFICATION BODIES &/OR NOTIFIED BODIES

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

Issue Identified:

Organization's Details:

Name:

Address:

Feedback

Name:

Organization:

Address:

Date:

Signed:

Appendix J3: Feedback to Client Bodies on Policing of National Highway Sector Scheme Registration

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

- a) Contract identified

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

 - ii) Organization Identified as being awarded the contract or

 - iii) Both i) and ii) above

- c) Organization raising feedback / issue
Name:

Organization:

Contact details (Address, email address, telephone etc.)

- d) Date: _____ Signed: _____

Highways England Roads/Contracts – Route for Feedback

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

Other Highway Authorities and Clients

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

Health and Safety Executive

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

APPENDIX K: THE INTERPRETATION OF CERTIFICATES ISSUED BY CERTIFICATION/INSPECTION BODIES

Whilst this is covered within NHSS 0 Suite of Scopes it was felt that the activities and relevant primary categories should be identified in this Appendix as given in the table below

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

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

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

- The scope of registration including specific registration to ISO 9001:2015 and this NHSS including the scheme title eg National Highways Sector Scheme NHSS18.
- The identification of each and every location for which the CoR is applicable.
- The services/product offered by the organization at each location identified on the CoR for NHSS18 for the described activity and any applicable categories with associated typical sub-categories where relevant.
- 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*), one year for inspection)
- A unique reference number/code
- The signature of a relevant CB official with his name and title

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

02/18 Table K1

Activity	Primary category	Secondary categories	
For all Land-based Sectors	18A Design, Planning, Management and/or Application for Arboricultural Activities	design & planning	
		application of:	a) arboricultural work, professional tree inspection
			b) mechanical tree and vegetation removal
			c) maintenance of established trees and shrubs
	18B Design, Planning, Management and/or Application for Pesticide & Pest Control Activities	design & planning	
		application of	a) control measures for invasive and protected species
			b) site management for pesticides & pest control
			c) control measures for invertebrates/vertebrates
	18C Design, Planning, Management and/or Application for *Land-based Activities	design & planning	
		a) special ecological measures	
		b) archaeology and/or landscape history	
		management and/or maintenance of	
		a) *trees & herbaceous plants	
		b) *ground preparation works	
		c) litter picking activities	
		d) *water bodies	
e) archaeology			
f) artificial surfaces			
g) green roofing			

* Means these have been defined see terms and definitions

APPENDIX L: GUIDANCE FOR CLIENTS

1. List of registered organizations

Lantra maintains a list of registered organizations with contact details. Under this Sector Scheme organizations are required to confirm their registration with Lantra as described in Clause 4.4.2 and Appendix H of this document.

2 General

2.1 It is recommended that Clients acknowledge the requirements of this Sector Scheme as a contract requirement.

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

2.3 The Sector Scheme for the provision of natural environmental, landscaping and ecological services 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 such works.

2.4 The implementation of the Sector Scheme and development of training and competency requirements is intended to provide:

A qualified workforce competent at providing services in the environmental, landscaping and ecological industries in a safe way.

Requirements to evaluate risks and develop processes associated with the natural environment, landscaping and ecology industry and the production of an associated comprehensive quality plan for each contract.

BASIS Amenity Assured Scheme (see item 3 below)

2.5 It is necessary for the Client to ensure that all those involved in providing the service are appropriately trained and skilled, whether or not they are directly employed. The training and assessment of competency schemes described in this Sector Scheme are designed to cater for the range of skills within the overall process of the natural environment, landscaping and ecological industries.

2.6 Clients and Customers that require confirmation of compliance with the Contract Specification in respect of the supply of services, products or materials should confirm that the quality management system certificate issuer is accredited by UKAS or equivalent and that specific reference is made to relevant Sector Schemes on certificates.

2.7 For the Sector Scheme to achieve its objectives it is essential that Clients, either directly or via the agents and individuals they employ, ensure that the requirements of this document are complied with. This includes ensuring that sub-contractors employed directly or indirectly, are registered to the Sector Scheme. Supervisory staff should be instructed to carry out spot checks of identification cards.

2.8 The client is reminded of their responsibility under this Sector Scheme to ensure all suppliers, contractors and their employees are competent.

2.9 The client needs to ensure a detailed site specific risk assessment is completed, monitored and reviewed.

2.10 Client Checklist:

Pre Contract Award	
1.	Is the organisation listed on the Schedule of Suppliers website?
2.	Is there an ISO 9001 certificate present?
3.	Does the ISO 9001 certificate cover NHSS18?
4.	Is the Certification Body that issued the certificate accredited by UKAS for ISO9001?
5.	Is the Certification Body that issued the certificate accredited by UKAS for assessments to NHSS18?
6.	If the answer to 4 or 5 is No – is the accrediting body equivalent to UKAS?
7.	Does the scope of works of the ISO 9001 certificate including NHSS18 cover the actual works intended to be carried out under the contract?
Post Contract Award	
8.	Confirm validity of skills / registration cards (skills and in date) of personnel.
9.	Assess ongoing performance of the organization (including sub-contractors) in relation to the scope of the works.
10.	Is there an audit or surveillance visit report from the Certification Body?
11.	If the answer to 10 is No – then is it due?
12.	If the answer to 10 is Yes – are there any action points outstanding which should have been completed within six months?
13.	Is the scope of the works within the competency scope of the employees?
14.	Is the organisation intending to sub-contract any of the works?

If the answer to 10 is Yes – repeat Question 1 – 14 for that organization, if necessary replacing NHSS 18 by the relevant NHSS (i.e. including NHSS 18 and also other NHSS's e.g. for other services such as Temporary Traffic Management).

2.11 Lantra have established a schedule of registered organizations that have been registered to National Highways Sector Schemes free access to the schedule is obtained by logging on to the Schedule of Suppliers website <https://www.scheduleofsuppliers.co.uk> (See Appendix O)

3 BASIS Amenity Assured Scheme

The Amenity Assured Scheme has been developed by key UK organisations (BASIS, NAAC, City & Guilds and CPA) which have the responsibility to address the concerns of government, local authorities and many other amenity organisations with regard to amenity weed control. The scheme is operated by BASIS Ltd.

The aim of the Standard is to:

- Set standards for amenity best practice
- Audit contractor performance
- Certificate staff and businesses
- Award on merit the associated qualifications
- Establish codes of good practice

The Amenity Assured Scheme is also acknowledged and recognised by the Chemicals Regulation Division, the Environment Agency and the Amenity Forum. Also by the Local Government Association where pesticide application is deemed the most appropriate course of action, for local authority situations.

The scheme includes regular monitoring of the standard of service provided by the certificated contractor through self-audit, on-site audit and client feedback.

4 Road Death Investigations

Attention is drawn to the NPCC Road Death Investigation Manual, which indicates that in the event 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 Sector Scheme information that is likely to be sought includes the following:

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

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

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

5 Corporate Manslaughter and Corporate Homicide Act 2008

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

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

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

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

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

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

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

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

Contact us

For specific questions about the act and guidance:

- Ministry of Justice

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

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

6 Crossing the carriageway

HSE guidance note CIS 53 is available and provides guidance on crossing the carriageway including temporary traffic management personnel.

From the 1st January 2015 Highway's England instructed their suppliers that their personnel shall not cross carriageways.

It is recommended that other Highway Authority Clients consider the risk to personnel crossing the highway on a site specific basis.

7 Temporary Traffic Management

For work on or adjacent to high speed dual carriageways/motorways temporary traffic management measures shall be put out by a 12A/B registered traffic management company/organization.

For work on urban and rural roads, it is recommended that Clients acknowledge the requirements of Sector Scheme 12D in conjunction with this Sector Scheme.

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

- i) It is necessary for the Client to ensure that all those involved in temporary traffic management operations are appropriately trained and skilled, whether or not they are directly employed. The modular training scheme described in Sector Scheme 12D is designed to cater for the various alternative situations, ranging from the employment of a lone worker cutting hedges to a traffic management contractor for a major highway contract.
- ii) 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 12D Annex Form 1 to Appendix A. Instances where a non-registered organisation is employed it will be appropriate for the Client, or his agent for the Works design, to carry out a preliminary risk assessment.
- iii) Registered Traffic Management Operative (RTMO) must be given clear guidance in relation to the manner in which they carry out agreed operations. When RTMOs are employed directly by the Client it may be necessary for the Client to provide approved signs but will certainly include detailed procedures for carrying out the work at all sites. These procedures are equivalent to the Quality Plan requirements as specified in Sector Scheme 12D Appendix A. Alternatively, the organization may use a Sector Scheme 12D registered Traffic Management Contractor.
- iv) Specific attention is drawn Sector Scheme 12D Appendix M which states that it is not intended that organizations registered to Sector Scheme 18, where TTM is required, should also be registered to Sector Scheme 12D.
- v) Lantra have established and host a schedule of registered organizations that have been registered to Sector Scheme free access to the schedule is obtained by logging on to the Schedule of Suppliers website <https://www.scheduleofsuppliers.co.uk>

APPENDIX M: GUIDANCE FOR ORGANIZATIONS IN RESPECT OF “APPROVED CONTRACTOR SCHEMES”

- 1 This guidance is primarily of relevance to those organizations that are registered to “approved contractors’ schemes”. The guidance is designed to enable them to decide how an approved contractor scheme links with the requirements of this scheme. The guidance is also of relevance to Certification Bodies and enable them to take into account the value of “approved contractors schemes” when assessing an organization against the requirements of this scheme.
- 2 Approved contractor schemes are not and have not been approved by the SSACEL for compliance with this Sector Scheme, they are approved in the sense that another credible body has a scheme against whose standards the companies have been measured and found to be compliant with those standards. However because of their nature the schemes are recognised as being complementary to the aims and objectives of this Sector Scheme. In some areas such as finance, they provide additional evidence of a sustainable business operation, which the Sector Scheme does not provide. The schemes currently known to complement this Sector Scheme are:
 - a) Arboricultural Associations Approved Contractor Scheme (AAACS);
 - b) BASIS Amenity Assured Scheme

3 ^{11/20} **Arboricultural Associations Approved Contractor (AAAC) Schemes (Amenity & Utility)**

The work undertaken by Contractors approved under this scheme includes advice on tree maintenance requirements, planting, pruning, cable bracing, pest and disease control and felling in difficult locations.

The Arboricultural Association expects Approved Contractors to maintain compliance with industry guidance and training.. Because of the irrevocable nature of all operations concerning tree care these standards are carefully maintained by site inspection(s) on an annual basis for Utility (highways) Scheme and biennial site visits for the Amenity Scheme with an annual desk top audit between site visits.

A list of approved AAACs is available on the Association’s web site (www.trees.org.uk). The geographical area(s) covered by each AAAC is given at the bottom of each Contractor’s entry. The AAACs listed have been approved by trained scheme assessors with sector specific knowledge and experience as complying with and practicing to, the standard required by the Association. The AAACs have been examined for safe working practices and technical competence consistent with British Standard 3998: Recommendations for Tree Work.

The AAAC scheme’s standards are divided into a number of areas, which deal with both office and on site operations and include customer care and office systems, health and safety, training, insurance, compliance with legal requirements and other regulations relevant to tree work and evaluation of completed work. The scheme covers a high proportion of the requirements of ISO 9001 specified under resource management and product realization clauses 6 and 7 respectively, but is not as broad as the international standard in other areas of assessment.

AAAC approval relates to a specified depot address and therefore covers some arboricultural-related activities, processes and procedures that would not necessarily be picked up by the list of qualifications of individuals listed in 6.6.2 and Appendix C.

4 **BASIS Amenity Assured Scheme**

The Amenity Assured Scheme has been developed by key UK organisations (BASIS, NAAC, City & Guilds and CPA) which have the responsibility to address the concerns of government, local authorities and many other amenity organisations with regard to amenity weed control. The scheme is operated by BASIS Ltd.

The aim of the Standard is to:

- Set standards for amenity best practice
- Audit contractor performance
- Certificate staff and businesses
- Award on merit the associated qualifications
- Establish codes of good practice

The Amenity Assured Scheme is also acknowledged and recognised by the Chemicals Regulation Division, the Environment Agency and the Amenity Forum. Also by the Local Government Association where pesticide application is deemed the most appropriate course of action, for local authority situations.

The scheme includes regular monitoring of the standard of service provided by the certificated contractor through self-audit, on-site and client feedback.

- 5 Certification Body assessors to Sector Scheme 18 should be aware of the value of the approved contractor schemes and their standards and take this into account when assessing to BS EN ISO 9001 and this scheme.

APPENDIX N: GUIDANCE FOR ORGANIZATIONS REGISTERED TO ANOTHER NHSS

Not Used

Appendix O - HOW TO REGISTER ON THE SCHEDULE OF SUPPLIERS

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

1. Go to the Lantra Awards Schedule of Suppliers website:
<https://www.scheduleofsuppliers.co.uk>
2. Select "Register as a Supplier" (top right hand side of page)
3. Enter the details required, including selecting the Sector Schemes that your organization operates, the Highways Agency 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 ISO 9001:2015 certificate(s) extended to include your NHSS registration and any other specific documentation to be uploaded as specified by this SSD.
5. Submit your registration.

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

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

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

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

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

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

APPENDIX P: THE PESTICIDES DIRECTIVE

EU legislation on the sustainable use of pesticides came into force in November 2009. The Pesticides Framework Directive 2009/128/EC, aims to reduce the risks and impacts on human health and the environment related to the use of pesticides. The Directive also aims to promote the use of alternative pest management methods. The Qualifications that meet this directive are now available please see the LISS/CSCS scheme booklet <https://www.bali.org.uk/help-and-advice/documents/lisscscs-scheme-booklet-2018/>

Background

The EU's 6th Environment Action Programme (Decision n° 1600/2002/EC) underlined the need to develop a Thematic Strategy on the sustainable use of pesticides. The Commission felt that this Thematic Strategy needed to be integrated with existing policies such as the Water Framework Directive 2000/60/EC and Directive 91/414/EEC concerning the placing of plant protection products on the market. The Commission also felt that to achieve this, a new legislative framework was needed. The Commission therefore put forward a proposal for a new Framework Directive on Pesticides in 2006.

The Framework Directive

The aim of the Directive is to ensure that Member States draw up plans to reduce the potential damage caused by pesticides. The Directive focuses on plant protection products. It instructs Member States to:

- Adopt National Action Plans (NAPs) aimed at reducing the risk from pesticides on human health and the environment.
- Set up compulsory systems of training and education for distributors and professional users of pesticides.
- Set up a framework for systematic equipment inspections.
- Protect water supplies.
- Examine alternative pest management methods.
- Examine harmonised risk indicators.

National Action Plans

The Directive requires Member States to set up National Action Plans to reduce the effects of pesticide use on health and the environment and to promote the use of alternative methods to reduce pressure from pests. The Directive states that the National Action Plans should contain quantitative objectives, targets, measures and timetables, and provide indicators to monitor the use of plant protection products containing active substances of particular concern. The action plans must be presented to the Commission by December 2012, and will be revised every five years.

Training and Education

The Directive also instructs Member States to set up training and certification schemes for all professional users of pesticides. These schemes should provide sufficient knowledge on good practices in the responsible use and management of pesticides, the risks associated with them and means of minimising the risks. Certifications would be delivered in particular to distributors. Member States must also ensure that sales distributors provide users with information about risks and safety instructions to manage those risks. The Directive states that they should also adopt necessary measures to inform the general public on health and environmental hazards relating to pesticide use and draw up awareness raising programmes on those dangers and possibilities of switching to non-chemical alternatives.

Equipment Inspections

The Directive also requires Member States to ensure that appropriate inspections of equipment are carried out. Inspections should guarantee that existing and new equipment are in a condition that prevents leakage and involuntary spread due to handling. As a significant part of involuntary effects from pesticides is linked to handling, the equipment should have a proper performance, be filled and emptied safely without losses and allow thorough cleaning. Specific requirements for particular parts of equipment regarding inspections are laid out in the Annexes to the Directive. Member States shall also guarantee that handling, storage of pesticides and the treatment of packaging and remnants by professionals but also non-professional users don't pose a threat to human health or the environment.

Water Protection

The Directive reinforces specific measures to protect the aquatic environment and drinking water laid out in the Water Framework Directive with specific requirements regarding pesticides. Measures adopted by Member States should promote the use of non hazardous pesticides, efficient application techniques and mitigation measures such as buffer zones between fields and surface waters, and safeguard zones for areas close to abstraction zones for drinking water. Pesticide use should also be prohibited or minimised in certain specific areas and accompanied with risk management measures. These areas include areas used by a large effective of general public (playgrounds, healthcare facilities, parks etc.), Natural 2000 nature conservation areas or areas defined as vulnerable (at risk of contaminating surface and groundwater) in the Water framework Directive.

Pest Management

The Directive requires Member States to promote the use of alternative pest management which give priority to non-chemical methods and practices with lowest risks to health and the environment in fighting against pests. These alternatives include organic farming and integrated pest management, which entails natural pest control mechanisms, following an approach based on the balance in agro-ecosystems and keeping the pesticide intervention levels as low as possible, occurring only when economically and ecologically justified.

Harmonised Risk Indicators

The Framework Directive provides that harmonised risk indicators shall be established at a later stage. These indicators are designed to be used by Member States to identify and analyse trends in the use of some substances that need particular attention. Member States may however use national indicators in addition to the harmonised ones.

UK legislation

The Plant Protection Products (Sustainable Use) Regulations 2012 (1657) translated the pesticides directive into UK law.

APPENDIX Q – AWARENESS OF LITTER PICKING ON HIGHWAYS

Introduction

Appendix Q gives awareness of some of the risks which may be encountered during litter picking, whilst it is not exhaustive it does give an indication of the hazards, controls, minimum training and suggestions for equipment and disposal etc.

This section has been produced to give an indication of some of the risks involved with litter picking to employers whose staff and operatives are engaged in litter picking. Employers are reminded of their responsibility to ensure that operatives have an adequate level of health, safety and environmental awareness to carry out the role.

Litter picking on the hard shoulder and road side verges on Roads and Highways is a hazardous activity. The selection of the actual method of work should be made by a competent person/organization and should reflect the risks and location specific circumstances of the work.

Training

It is the employers' responsibility to ensure anyone working as a litter picker is adequately trained, competent in all related areas of his job role and hold a LISS/CSCS Blue Skills Card.

Suitable training has been developed in association with Lantra Sector Skills Council and it is the requirement of this scheme that operatives complete the following to be eligible for a LISS/CSCS Blue Skills Card:

- E-Learning Lantra LISS/CSCS Litter Picking and Environmental Maintenance Course
- ROLO Health, Safety and Environmental Awareness Course
- CITB Operative Health, Safety and Environmental Test (Touch Screen Test)

In addition is recommended that employers ascertain the risks and enhance these courses by other relevant formal training, such as:

- Manual Handling training (recommended)
- First Aid training (to provide adequate cover)
- Temporary Traffic Management Awareness Basic Course (recommended)
- Other appropriate practical skills training e.g. sharps, identifying plants etc. recognised by your organization or Risk Assessment.

Note 1: The organization will need to appoint a Supervisor who is qualified to an appropriate Supervisory level required by the contract in addition to the above. This may be a level 3/4 and/or SSSTS. The Supervisor shall have a sufficient knowledge to identify injurious, invasive and protected flora.

Note 2: For those organizations working on Highways England sites they should be aware that a "Passport Scheme" is in development and is currently at "Proof of Concept" stage. Targeted to end November 2019.

See Appendix C for details on how to apply for your LISS/CSCS Skills Card.

Understanding the Hazards

Exclusions:

Employees need to understand the type of litter/debris that they may need to clear. Employees must also be instructed on what they must not approach, for example:

- Accident debris required for investigation or forensics.
- Firearms and ordnance
- Radioactive materials
- Asbestos containing materials
- Unidentified materials
- Size, weight etc. (normal manual handling considerations)
- Out of reach (understand the work area boundaries – see below)
- Materials identified by dynamic risk assessment as being hazardous

Possible Hazards

Litter that will need to be picked has other considerations that must also be addressed, and the workforce trained in the required control measures, for example:

- Sharps
- Bio hazards/Biosecurity (See Appendix R)
- Hazardous plants
- Broken or open containers that may spill unidentified contents
- Protected flora and fauna
- Uneven ground and uncovered cavities

If in doubt the operatives need to be reminded to ask a supervisor for guidance.

Controls

Work area boundaries:

A highway presents hazards which should be clearly identified via generic and dynamic site risk assessments.

Employers are reminded that the workforce must be provided, as far as is reasonably practicable, with a safe place of work, the boundaries of which must be clear. Operative must be told of the site boundaries, for example:

- Fence
- TTM
- Hedgerow
- Roads and Highways
- Structures

Operatives must not be allowed to encroach on to the live carriageway or near electrical apparatus without a full safe system of work being developed. Other circumstances may require this but this should be identified via a risk assessment before work commences in the normal way.

Equipment

The employer/organization needs to consider what type of equipment is to be provided and determine how instruction in the use of that equipment is to be given prior to its use. This may include:

- PPE as required to work on a highway
- Gloves and other PPE suitable for the litter picker to pick litter
- Litter collection bags and collection bag framework
- Litter Picking Graspers
- Yellow animal carcass collection bags
- Rigid containers for sharp or jagged litter such as broken glass etc.
- Sharps box and associated tongs/graspers and PPE if litter pickers have been trained to handle sharps, such as syringes

Disposal of Litter

Disposal of litter is regulated and operatives and other staff will need to be appraised how this is carried out by the organization. As a minimum, relevant instruction should be provided in respect of the following:

- Consideration for environmental law of waste management
- Sharps boxes disposal procedures
- Bio hazard bags disposal procedure

Records of disposal should be kept in accordance with regulations.

Health of Operative

The health of personnel is paramount and as part of an organization's responsibility appropriate risk assessment and protection measures should be implemented. In particular consideration should be given to the need for inoculation against specific risk identified diseases such as:

- Hepatitis (contact from blood and body fluids or faecal-oral transmission)
- Tetanus (exposure to the spores of the bacterium *Clostridium Tetani* which are universally present in the soil)

Diseases can be naturally transferred between animals and humans (Zoonosis) some examples are:

- Lyme Disease (bites from ticks - deer and mice are a major source)
- Weil's Disease (notably urine from rodents)
- Avian (Bird) Influenza (e.g. H5N1 & H9N2)
- Rabies (contact from infected animals)
- Leptospirosis - there are two main forms of this disease (mild or severe; Weil's disease is a severe form of Leptospirosis)

Supervisors and their litter pickers should be made aware of these potential hazards and the necessary precautions that should be taken.

Note - Information about these diseases can be found on the National Health Services web-sites (e.g. www.nhs.uk and www.nhsdirect.wales.nhs.uk) [the World Health Organization web-site (www.who.int) also provides a useful source of information]. Guidance on precautions to be taken and best practice should conform to national practices, based on advice from the national health services.

APPENDIX R - BIOSECURITY

Biosecurity provides the precautions and objectives needed to prevent the introductions and spread of harmful organisms. Harmful organisms may include pests, pathogens or invasive species. Biosecurity measures are the practical steps designed to minimise the risk of introducing or spreading pests, diseases and invasive species.

In addition to legal obligations placed on the owner of a property, suppliers (contractors) have a legal responsibility to take a proactive approach to biosecurity, complying with any enforced biosecurity principles onsite and for reporting and recording their actions.

Legislation on invasive species EU alien invasive species regulations 2015 became law on the 1st January from an EU regulation which gives member states powers to identify and control species which are considered invasive or harmful to the environment of the country.

A list of regional important species will be developed within 18 months of the coming into force of the regulation which EU and the commission will control the measures.

Wild life and countryside act of 1982 has a list of species under schedule 9 of species which are not allowed to escape into the environment under the regulations. This list with the new regulations is revised from time to time so check you are using the latest version.

Under the infrastructure act of 2014 DEFRA implemented species order which are for nationally important invasive species, where DEFRA and Environment Agency can serve a species order onto land owners to control these species. Failure to do so will evoke entry onto land owners land to carry out the eradication process and land owners will not be able to prevent it.

Community protection orders were added to crime and policing act November 2014, this will give powers to local authorities to serve orders to house holders and land owners where an invasive species has been found to eradicate the species from their land. Failure to do this then House Holders can face fines of up to £2,000 and for Land Owners up to £20,000. This will include properties neighbouring Highways England land where invasive species are found and must be controlled.

Current litigation due to the effects of the invasive species found on properties and neighbouring properties is leading to mortgage companies either reducing house values or refusing to lend on these properties, this is particularly true for Japanese Knot Weed.

^{11/20} **Note:** Trees and plants coming into the country are now required to have a plant passport so UK ports shall check to ensure phytosanitary inspection and certification. UK Ports must also check country of origin to ensure they are not coming from banned countries.

See next page for links and publications which may help you.

Advice on biosecurity issues is available from many sources, the following links and publications give an indication of the type of advice that is publicly available, however this list is not exhaustive and it is recommended that professional advice/guidance should be sought.

Links:

http://ec.europa.eu/environment/nature/invasivealien/index_en.htm

<https://www.gov.uk/japanese-knotweed-giant-hogweed-and-other-invasive-plants>

<http://www.forestry.gov.uk/biosecurity>

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/307355/pb14168-plant-health-strategy.pdf

<http://www.forestry.gov.uk/forestry/inf-d-8zjmq4>

<http://www.standardsforhighways.co.uk/ha/standards/ians/pdfs/ian172.pdf>

Publications:

Field Guide to Invasive Plants and Animals in Britain ISBN 978-1-4081-2318-8 published by FERA Science Ltd

Data Sheets on the Non Native Invasive Species Secretariat Website

<http://www.nonnativespecies.org/home/index.cfm>

11/20 **Appendix S: Guidance on Tree Inspection**

Introduction

This appendix imparts awareness of some of the risks which may be encountered during tree inspection, whilst it is not exhaustive it provides an indication of the hazards, controls, minimum training and suggestions for inspection, equipment and recommendations based on risk assessment.

This guidance, which has been based on publicly available documents, has been produced to give a guide to some of the risks involved with tree inspection to owners who have a responsibility to undertake tree inspection. Employers are reminded of their responsibility to ensure that workers have an adequate level of health, safety and environmental awareness training to carry out the role.

Whether tree inspection is conducted on roads, rail, amenities and private estates; it is a hazardous occupation. The selection of the actual method of work should be made by a competent person/organization and should reflect the risks and location specific circumstances of the work.

Owners should have a tree safety management policy, for example the objectives of tree inspections could be as follows:

- To maintain a safe environment for highway users
- To support landowners/occupiers to maintain their trees for highway safety
- To prevent the obstruction of carriageways, cycle ways and footways
- To permit forward visibility to signs
- To facilitate maintenance works
- To determine the frequency and type of tree inspections

Similar policies would be required of other owners especially where there is a risk to the general public.

Training

It is the employers' responsibility to ensure anyone working as a tree inspector is adequately trained, competent in all related areas of his job role and hold a LISS/CSCS Blue Skills Card. Suitable training has been developed in association with Lantra Sector Skills Council and it is the requirement of this scheme that workers to be eligible for a LISS/CSCS Blue Skills Card. See the LISS/CSCS Scheme Booklet (Appendix C).

Currently the Lantra Professional Tree Inspectors Course is the only recognised qualification. Training to achieve this qualification may include:

- Intermediate Tree Inspection course
- Basic Tree Survey and Inspection course
- Lantra Awareness Tree Inspection course for Highway Engineers
- Or equivalent

Personal Protective Equipment (PPE)

When surveying trees close to roads, high visibility clothing must be worn. This must comply with the current Personal Protective Equipment (PPE) Regulations.

Other PPE may be appropriate as dictated by your site-specific risk assessment.

Equipment

The employer/organization needs to consider what type of equipment is to be provided and determine how instruction in the use of that equipment is to be given prior to its use. This may include:

- Wooden or nylon mallet
- Binoculars
- Probe
- Knife
- Secateurs
- Sample bags
- Compass
- Pencil
- Clipboard/weather writer
- Maps/plans
- Girth/diameter tape
- 30 meter measuring tape
- Hand lens
- Clinometers/hypsometer
- Camera
- Identification books
- Callipers
- Boarers
- Bark gauges
- Decay detection drill

Identifying and categorising defective trees (including hazards & controls)

Defective trees are identified by:

- Expert scheduled inspections
- Expert unplanned checks
- Scheduled check during safety inspection
- Unplanned check
- Reports from the public
- Reports from employees

Insurance

It is strongly advised that Professional Indemnity (PI) insurance is taken out by arboricultural consultants and consulting arborists for an amount to a level of cover sufficient to meet the worst case scenario. The minimum level of insurance could be as low as £1,000,000 (Arboricultural Association minimum) however the standard levels advised may be higher.

Objectives for good practice

- Recognise the role of the tree inspector in risk management and identify the legal framework in the context of statute and common law that affect tree inspection and the duties and liabilities of the owner, manager and inspector.
- Summarise how a tree system functions, what constitutes a safe tree and understand that energy is required to keep the tree healthy.
- Adopt a systematic and consistent methodology for carrying out visual tree inspection at an advanced level.

- Collect data in accordance with the inspection instructions using a suitable format
- Observe mechanical and biological defects seen in trees and confirm by the use of textbooks where necessary.
- Identify a range of commonly seen pests, diseases and disorders especially fungi that affect tree safety, identifying them by the use of textbooks where necessary.
- Understand and be able to state the arboricultural significance of finding fungi in the field.
- State the appropriate control or remedial measures required to eliminate or reduce risks identified in the inspection process to an acceptable level. Determine when an aerial inspection is required, also if pro-active management recommendations can be made which may eliminate future defects from forming.
- Prioritise the necessary tree or management works with time scales based on a broad category of risk assessment.
- Identify when it is appropriate to recommend the use of decay detecting or measuring equipment.
- Understand that a balance between the remedial measure opted for and the range of benefits/values that a tree may have requires special attention, for example amenity, wildlife, historical, veteran, rarity and public access.

Safe Practice

- Do not attempt to carry out any work which you have not received adequate training, are not competent, appropriately dressed or suitably equipped.
- Access to private property must be agreed beforehand unless powers of entry are a lawful right.
- When parking a vehicle, it must be safely positioned and, where necessary, display appropriate and adequate warning lights and/or position appropriate warning signs.
- If using a vehicle for the purposes of carrying out tree inspection it must display appropriate and adequate warning lights. It is strongly recommended that the inspection of trees carried out in this manner is done as a two-person operation, one to drive while the passenger carries out the visual inspection.
- It is strongly recommended that inspectors hold, as a minimum, a current approved 'Emergency at Work' First Aid Certificate.
- Always work within the requirements of the current Management of Health and Safety at Work Regulations in relation to risk assessment, and consider the specific risks of all the different sites that you visit and carry out a risk assessment. Always follow the procedures specified in your organization's 'lone working' recommendations.
- Always carry a functional mobile phone or radio to enable contact with colleagues in case of emergency, as this type of work is usually carried out alone. Lone working recommendations must be observed.
- When dealing with members of the public always remain polite and understanding and follow company procedures. If the situation deteriorates, walk away and call for assistance if needed. Avoid confrontational situations.
- To avoid sharps or faeces at the base of trees, use suitable equipment e.g. gloves, trowel, litter picking graspers (See Appendix Q), to remove debris dispose, in accordance with appropriate guidance.

Appendix Z: Document Control (Previous Issues)

Previous SSD (non-current) Issue Statement

Issue statement 18 – ISO9001 - 2008

Issue UKAS 1 November 2006
 Issue UKAS 2 November 2007
 Issue UKAS 3 August 2008
 Issue UKAS 4 September 2010
 Issue UKAS 5 May 2011
 Issue UKAS 6 July 2011
 Issue UKAS 7 October 2011
 Issue UKAS 8 November 2011
 Issue UKAS 9 February 2013
 Issue UKAS10 May 2013
 Issue UKAS11 January 2014
 Issue UKAS12 March 2014
 Issue UKAS13 March 2015
 Issue UKAS14 May 2015
 Issue UKAS15 July 2016
 Issue 16 October 2016

Issue statement 18 – ISO9001 - 2015

Issue No. and Date	Amendments
Issue 2 ISO9001:2015 Feb 2018	Changes between Issue 1 & Issue 2 Composition of Sector Scheme Advisory Committee Implementation – first paragraph Introduction – No 3, 4, 8 Terms, Definitions and Abbreviations Abbreviations 4.3 - Determining the scope of the quality management system – Major Change 7.1.2 People 7.2 Competence 7.4 Communication Appendix C – 3 Health and Safety Appendix K
Issue 1: October 2016	