National Highways Sector Schemes for Quality Management in Highway Works

Scheme 13

Sector Scheme Document

for

The Supply and Application of Surface Treatments to Road Surfaces

Published by the Sector Scheme Advisory Committee for Surface Treatments (SSACST)

Endorsed for publication by the Chairman of the SSAC

Name ………H. L. Robinson………………………………………………………………………

Date ………26th September 2016……………………………………………………………………
## Document Control

### Issue Statement

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### Revision List – Amendments Made in this Issue

It is the committee’s policy that the issue of any revision to this document shall be an issue of the full document rather than individual pages, the following data gives information where changes have been made.

Users of this document are advised to check with UKAS Publications whether the document is current via the UKAS website [www.ukas.com](http://www.ukas.com).

Significant revisions are listed below. Where any changes are made the text has been annotated with the latest date of the revision. e.g. (09/16)

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Composition of Sector Scheme Advisory Committee

a) (09/16) Full Members
   - ADEPT  Association of Directors of Environment, Economy, Planning and Transport (formerly CSS)
   - HE - Highways England
   - HTMA - Highways Term Maintenance Association
   - IoCW - Institute of Clerk of Works
   - MPA - Mineral Products Association
   - RSTA - The Road Surface Treatments Association Ltd
   - SCOTS – Society of Chief Officers of Transportation in Scotland
   - SGS United Kingdom Ltd (lead Certification Body)
   - Transport NI - Transport Northern Ireland
   - UKAS – United Kingdom Accreditation Services

b) (09/16) Corresponding Members
   - British Board of Agrement (BBA)
   - BSI Management Systems
   - DNV Certification B.V.
   - Exova B M TRADA Ltd
   - Local Government Technical Advisors Group
   - Lloyds Register Quality Assurance Ltd
   - National Quality Assurance Ltd
   - National Standards Authority of Ireland
   - PTS Ltd
   - Transport Scotland
   - Transport Wales

Exclusion of Liability

The Advisory Committee
I 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:

II do not provide any representation or warranty as to any aspect of any such system, product or service, and

III 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.
Selection of Certification Body/Notified Body

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 where appropriate in the assessment of the certification body as described in Appendix G.

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 assurance certificate issuer and that specific reference is made to this Sector Scheme.

With the progressive introduction of the harmonised European Specifications BSEN 12271 (Surface Dressing) and BS EN 12273 (Slurry-Micro Surfacing) from January 2011 Notified Bodies will replace Certifying Bodies in respect of factory production control activities required in accordance with BSEN 12271 and BS EN 12273.

Where CE Marking is a requirement, this can only be applied following successful evaluation of the factory production control 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 Directive (CPD) is the Department for Communities and Local Government, (DCLG).

Public Bodies are required under the Public Contracts Regulations 2006 implementing Directive 2004/18/EC to specify relevant European Standards as they become available; harmonised European Standards include requirements for factory production control (fpc) leading to CE Marking for the product(s) in relevant European Standards. Advice from DCLG in respect of placing a (CPD) product on the market is that such a product does not require CE Marking. However, where public bodies do not specify CE Marking they need to satisfy themselves that products (claiming to meet the requirements of a (CPD) European Standard) satisfy the requirements for FPC and this can be demonstrated by the product having a CE Mark or possibly through other means such as a recognised voluntary quality mark. Organizations accredited to this scheme can expect to have a compliant FPC.

Refer to PD6689 for further advice in respect of laying materials following TAIT approval (CE Marking) for quality assessment.
Implementation of Issue UKAS 5\(^{09/16}\)

This issue of the SSD can be implemented immediately for assessments in accordance with BS EN ISO 9001.
Introduction

This sector scheme document (SSD) relates to the quality management system requirements for the provision and application of Road Surface Treatments.

In using this sector scheme, users should use best practice of specifying any other relevant highway sector scheme as appropriate to the nature of the work being undertaken.

It is acknowledged that a number of accredited certification bodies have obtained the technical competence to be able to provide quality assurance certification for this construction activity and it was realised that there was a necessity for these bodies to agree to the same interpretation of ISO 9000 Series of Standards for this Scheme.

The Road Surface Dressing Sector Scheme Advisory Committee was set up in 1997 to establish a UK Sector Scheme, which would be used by UKAS as part of its assessment for certification bodies wishing to be accredited in the surface dressing field.

The Slurry Sealing and Microsurfacing Sector Advisory Committee was set up in August 2000 to establish a UK Sector Scheme which would be used by UKAS as part of its assessment for certification bodies wishing to be accredited in the Slurry/Microsurfacing field.

With the creation of the Road Surface Treatments Association in January 2008 the Slurry Sealing and Microsurfacing Committee merged with the Surface Dressing Committee to create the Surface Treatments Committee. This committee acts as the advisory committee to UKAS for road surface treatments.

The document is a live document with the advisory committee meeting at least once per year to develop it as appropriate. Those using the document should always ensure that they have the current version of the document by contacting any of the certification bodies listed in Appendix F or UKAS at the address below:

Any observations or complaints relating to this document should be addressed to the relevant certification body (See Appendix F) or to:

The Chairman
Sector Scheme Advisory Committee for Surface Treatments
© UKAS
21-47 High Street
Feltham
Middlesex
TW19 4UN

(09/16)
1. **Scope**

1.1 This document describes the quality management system requirements to be established by the supplier/installer of Surface Treatments and interprets the requirements of British Standard BS EN ISO 9001 and should be read in conjunction with that standard. The Scheme is applicable to all organizations carrying out the provision and application of Surface Treatment’s to footways, cycleways, carriageways and other paved areas.

This sector scheme applies to the supply and application of the following Surface Treatments:

- **Surface Dressing**
  - machine applied

- **Slurry Surfacing incorporating Microsurfacing**
  - hand applied
  - machine applied

- **Spray Injection Patching (including Velocity Patching, Jet Patching and similar treatments)**

- **Geosynthetics & Steel Meshes**

- **Re-Texturing / Surface Re-profiling**

- **Deep In-Situ Recycling**

References as listed in Appendix B have been utilised in the preparation of this document.

2. **Normative Reference**

The following normative documents contain provisions which constitute provisions of BS EN ISO 9001:

3. Terms and Definitions

For the purpose of this Sector Scheme document the following abbreviations and definitions shall apply:

**Abbreviations**

ADEPT\(^{(09/16)}\) Association of Directors of Environment, Economics, Planning and transport (formerly CSS)

CSCS Construction Skills Certification Scheme

HS&E\(^{(09/16)}\) Health Safety & Environment – the current test that must be taken by all those who require a CSCS card. There are different routes for each grade of employee.

NVQ National Vocational Qualifications (NVQs) are work based awards in England, Wales and Northern Ireland that are achieved through assessment and training. In Scotland they are known as Scottish Vocational Qualification (SVQ). To achieve an NVQ, candidates must prove that they have the ability (competence) to carry out their job to the required standard. NVQs are based on National Occupational Standards that describe the ‘competencies’ expected in any given job role.

RSTA The Road Surface Treatments Association Ltd formed in January 2008 on the merger of the Road Surface Dressing Association with the Slurry Surfacing Contractors Association and the High Friction Surfacing Association. It also has two other Sectors representing ‘Specialist Treatments’ and ‘Geosynthetics & Steel Meshes’.

RSDA The Road Surface Dressing Association, now a sector of the RSTA

SSCA The Slurry Surfacing Contractors Association, now a sector of the RSTA

TAIT Type approval installation trial. TAITs are the means by which a producer demonstrates the ability to design and install a group or family of surface treatments meeting the required performance characteristics for a given road type as described in BSEN 12271 (Surface Dressing), BSEN 12273 (Slurry Surfacing) and PD 6689. TAITs can also be used as the basis for CE marking if required by regulation.

UKAS\(^{(09/16)}\) United Kingdom National Accreditation Body or any recognised European National Accreditation Body or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory.
Definitions

Certificate of Registration: A Certificate issued by UKAS accredited Certification Body certifying that the holder operates a Quality Management System complying with ISO 9001:2008 and this document. (See Appendix K)

Client: The body for which the work is being carried out.


Customer: The body engaging the organization for the purpose of the work described in this Document.(The main contractor where the organization is a subcontractor).

Designer The body responsible for converting customer requirements into design outputs in the form of drawings, specifications, plans, instructions etc.

Quality Plan The document setting out the specific quality practices, resources and sequence of activities relevant to the project (see Appendix A)

Organization In this document, the organization or contractor supplying the Surface Treatment

*Organization's Manager The person named in the quality plan as having managerial responsibility for the Surface Treatments operations

*Technical Manager The person named in the Contractor’s quality plan responsible for the technical interpretation and implementation of the requirements of the Contract Specification.

"shall" “used to indicate a requirement strictly to be followed in order to conform to the standard and from which no deviation is permitted. (See ISO Directives Part 3:1997; Annex E)” (reference “guidance on terminology used in ISO 9001:2008 and ISO 9004:2000”.)

* Surface Treatments Agent/Supervisor An appropriately qualified person named in the quality plan as having the responsibility and experience to establish and control a surface treatments operation to meet the requirements of the contract document. The Surface Treatments agent/supervisor shall be site based. The use of the titles Agent/Supervisor varies between organizations involved in Surface Treatments and is a generic description.

In each case the title is used to describe the person in overall charge of all operations undertaken on site and this person must be identified in the quality plan.

On larger contracts, a Surface Treatments organization may employ experienced supervisor/s who is/are responsible for a number of sites. In this case each gang will have a leading-hand/charge-hand/ganger/foreman in charge of the operations on individual sites.
*Leading-Hand/Ganger/Chargehand/Foreman* (09/16) A senior trained and competent operative in surface treatments that as well as undertaking part of the gangs operations have supervisory responsibilities as delegated by the Surface Treatments Supervisor/Agent. The use of the titles varies between organizations involved in surface treatments and is a generic description.

*For smaller schemes some roles may be combined.*

**Training**
The acquirement of skills and knowledge by an individual attained through a structured programme/course. Upon completion of the course the individuals competencies can then, if appropriate, be assessed by a competent person for attainment of NVQ/SVQ Diploma.

**RSTA Silver Certificate**
A requirement in Appendix C for Engineers, Managers, Supervisors and Technicians to demonstrate they have regular up-skill training every 5 years to maintain knowledge.

**Skills Card**
A card issued by a recognised authority which demonstrates the level of competency, the date achieved by the holder and the validity of the card.

In some instances it is also used as a registration card and as an identity card.

**SSAC**
Sector Scheme Advisory Committee.
4. Quality Management System Requirements

Introduction

This document shall be read in conjunction with the ISO 9001:2008 requirements augmented by the following supplementary (UK agreed Interpretation) requirements. Paragraph numbers in this section reference appropriate paragraphs of BSEN ISO 9001: 2008. Where ‘no specific interpretation’ is recorded under a heading or where no reference to a heading is listed this means that it is not considered necessary to provide an interpretation for that clause in the context of Surface Treatments.

4.1 General Requirements

The organization shall operate a quality management system to BSEN ISO 9001 and this schedule. The organization shall notify and provide evidence of conformity to this scheme to the schedule of suppliers via Lantra Awards (Lantra House, Stonleigh Park Coventry, CV8 2LG) and the Secretary of the Sector Scheme of their registration to this scheme immediately following confirmation from the Certification Body and thereafter annually. In addition the organization shall provide details of the Branches or Depots covered by this scheme.

4.2 Documentation Requirements

4.2.1 General

Quality Plans shall be prepared for all sites. 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 approval by the client prior to commencement of work. The quality plan may be a largely standard document as indicated in Appendix A supplemented by the contract specific information.

The organization's general procedures shall be made available for examination by the Client's representative, and copies provided, if requested.

4.2.2 Control of Records

In addition to the organization’s own quality records, contract specific records shall include where appropriate:

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

All records shall be kept by the organization for a minimum period of 6 years or until the end of the maintenance, defects or guarantee period whichever is greater. Record disposition after this period shall be defined in the quality plan.
5. **Management Responsibility: Shall include elements of the following:-**

5.1 Management Commitment
   The Company policy document shall include support for this scheme.

5.2 Customer Focus
   No specific interpretation.

5.3 Quality Policy
   No specific interpretation.

5.4 Planning
   No specific interpretation.

5.5 Responsibility, Authority and Communication
   No specific interpretation.

5.6 Management Review
   The organization shall review the management system to ensure its continuing suitability and effectiveness at least once a year. Records of the review shall be kept.

6 **Resource Management**

6.1 Provision of Resources
   All necessary facilities, equipment and personnel shall be available to fulfill the requirements of the contract.

6.2 Human Resources

6.2.1 No specific interpretation.

6.2.2 Competence, Awareness and Training
   All personnel involved in Surface Treatments operations shall have adequate training and competency qualifications. This training will be documented in training records, which must be maintained. The minimum training and assessed competency requirements for personnel are given in Appendix C (09/16).

   Companies must arrange for appropriate training (see Appendix C) to have been carried out within 12 months of becoming registered to the scheme.

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

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

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

   (09/16) The organization shall ensure that Surface Treatment operations are supervised by a Surface Treatment Supervisor/Agent. On large contracts the organization may also use Leading-Hand/Ganger/Charge-Hand/Foreman to supplement the supervision of the site.
Trainees and non-technically competent operatives shall at all times be supervised by the appropriate Surface Treatments Supervisor/Agent or their delegate (as above) depending upon the make-up of the organizations installation team.

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

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

6.3 Infrastructure

No specific interpretation.

6.4 Work Environment

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

7 Planning and Product Realisation

7.1 Planning of product realisation

The quality plan shall, as a minimum, address the topics listed in Appendix A. The organization shall determine and document how the requirements for quality will be met.

7.2 Customer Related Processes

7.2.1 Determination of Requirements Related to the Product

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

7.2.2 Review of the Requirements Related to the Product

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

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

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

7.3 Design and Development

Details are given in appendix A1 – Requirements for quality plans.

7.4 Purchasing

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

7.5.1 Control of Production and Service Provision

(i) The organization shall have method statements for the installation of the Surface Treatment. The organization's management shall have a working knowledge of and access to the documents listed in Appendix B that are relevant to the work described in the contract.

(ii) Before site work commences, the organization shall ensure that the following is documented and issued to the Surface Treatments Supervisor/Agent or staff. A copy shall be retained for record purposes.

   a) Any special instruction to the organization relating to the programme of work
   b) The equipment required for the work and the method of work to meet the requirements of the contract
   c) Any additional instructions, including application requirements.

(iii) Processes to be controlled include:

   a) Ensuring that the Surface Treatment applied meets the required design
   b) Ensuring that the materials are clearly identifiable
   c) Ensuring the presence of competent personnel during the application of Surface Treatments
   d) A system for dealing with the Variation Orders issued by the Client
   e) Record of weather and surface condition prior to application of the Surface Treatments
   f) Compliance with the requirements of agreed temporary traffic management and signing where the road is open to public use
   g) Within 24 hours notify the customer of any problems which may affect the programme of work
   h) Compliance with Health and Safety requirements
   i) Ensuring relevant technical information, e.g. test certificates, daily records, are forwarded to the Customer/Client, including the As Built Manual
   j) Activities required for after laying monitoring
   k) Contract Maintenance, Defects or Guarantee Period activities.

(iv) Inspection and testing shall be undertaken to demonstrate adherence to the contract specification. The methods and frequency of testing shall be defined in the quality plan. During the Contract Review, checks should be undertaken to establish whether any additional client specified testing and inspection regime is to be adopted.

7.5.3 Identification and Traceability

No specific interpretation.

7.5.4 Customer Property

No specific interpretation.

7.5.5 Preservation of Product

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

Systems shall be in place to ensure goods returned to stock are placed at the correct location in the material storage area.

Systems shall be in place to ensure stock materials are protected from deterioration and or damage.

7.6 Control of Monitoring and Measuring Devices

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

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

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

8 Measurement, Analysis and Improvement Shall include:

8.1 General

No specific interpretation.

8.2 Monitoring and Measurement

8.2.1 Customer Satisfaction

No specific interpretation.

8.2.2 Internal Audit

A programme shall be initiated to ensure internal audits are undertaken which cover within each twelve month period all aspects of the quality management system as applied at both site and depot operations.

8.2.3 Monitoring and Measurement of Product

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

8.3 Control of Non-conforming Product

Any materials and/or work not conforming to the specification shall either be reworked to conform to the specification or formally notified to the client in writing for acceptance. Non-conforming materials and/or work shall not be accepted unless approval from the Client has been given.

8.4 Analysis of Data

No specific interpretation.

8.5 Improvement

No specific interpretation.
Appendix A: Requirements for Quality Plans

1. General Requirements

1.1 Definition of the product or service to be provided.

1.2 The structure of the organization including those responsible for design where appropriate, describing the line of command and stating the names of the organization’s Manager responsible for the contracted work, the Technical Manager, Surface Treatments Supervisor/Agent and the Designer, as appropriate, together with their qualifications including training and assessed competency. An organization’s representative who can be contacted at all times when works are being undertaken must be identified. Where it is proposed to sub-contract the works, this should be stated and details provided. Sub-contractors shall be registered to the requirement of this scheme.

1.3 Identification of the relevant parts of the organization’s quality management system relevant to the product or service being provided.

1.4 Liaison with the Police, The Highway or Roads Authority or other competent authority.

2. Contract Specific Statements:

2.1 Materials storage details and location, and delivery plan.

2.2 Method statements for installation of Surface Treatments: where appropriate detailed drawing(s) to be supplied.

2.3 Inspection and testing regime to be adopted covering frequency, methods of test, responsibility for testing and acceptance criteria. Where particular tests are to be done by a UKAS accredited Laboratory, this should be stated.

2.4 Identify documentation to be supplied to Customer/Client and responsibility for its production and issue.

2.5 Control of non-conforming product.

2.6 Organizations design if applicable and binder data sheet.

3. Contract Specific Information:

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

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

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

3.4 Specification and/or Contract Drawings.

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

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

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

3.8 Any other relevant information relating to speed restrictions, safety requirements, temporary traffic management, time of working and any other environmental requirements.
3.9 Testing requirements, including frequency, and responsibility for testing including supply of test equipment. Where particular tests are to be done by a UKAS accredited Laboratory, this should be stated.

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

NOTE: Where certain aspects of this information cannot be obtained or, is not provided, this fact shall be noted in the quality plan against the appropriate section.

4. Design Responsibility

The organization’s proposed design (where applicable) shall be included in the quality plan. The organization shall also provide a TAIT Certificate (where applicable). Further guidance on responsibility for the provision of data and testing is given in Appendix B reference documents. TAIT’s are a requirement of BS EN 12271 and BS EN 12273 which came into effect in UK in January 2011.

5. Health & Safety Responsibilities

The Construction (Design & Management) Regulations 2007 will apply to all surface treatment contracts. These regulations define the responsibilities of all parties to the contract and the associated Approved Code of Practice guidance on the application of the regulations.

Suppliers are reminded of the legal requirements to provide health and safety training for all personnel in accordance with the Health & Safety at Work etc Act 1974.
Appendix A1: Guidance on Best Practice for the Quality Plan

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

### Management Responsibility:
Demonstration of commitment to Sector Scheme.

### Resource Management:
Training / qualifications / experience requirements for compliance with Sector Scheme.

### Product Realisation:

<table>
<thead>
<tr>
<th>Prior to Works Commencing</th>
<th>Binder</th>
<th>Aggregates</th>
<th>Resource</th>
</tr>
</thead>
<tbody>
<tr>
<td>Storage conditions addressing:</td>
<td>Heat degradation</td>
<td>Separation/binder stability</td>
<td>Number and type of:</td>
</tr>
<tr>
<td></td>
<td>Viscosity change</td>
<td>Facilities for additives</td>
<td>Sprayers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Rollers</td>
</tr>
<tr>
<td>Test certificates for properties</td>
<td></td>
<td></td>
<td>Gritters</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Sweepers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Dusting equipment</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Competent operatives</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Site Parameters</th>
<th>Health &amp; Safety</th>
<th>Traffic Management</th>
<th>Climate: monitoring/recording</th>
<th>Design Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safety Plan and risk assessments</td>
<td>Procedures for establishing and implementing site specific requirements.</td>
<td>Humidity; Temperatures; Weather forecast</td>
<td>Design responsibility</td>
<td></td>
</tr>
<tr>
<td>Traffic Management</td>
<td>Competency of people responsible.</td>
<td>Procedures</td>
<td>The Manual of Contract Documents for Highway Works in clauses 919 and 922 sets out two fundamentally different approaches to the specification of surface dressing for Recipe and Performance specifications respectively. Other forms of contract and specifications used by Local Highway Authorities may also provide these two alternatives.</td>
<td></td>
</tr>
</tbody>
</table>

**Recipe – Clause 919**

With this approach the Designer is clearly not the organization but maybe either the Client or the Customer. For this reason the identity of the Designer must be stated in the quality plan. The designer should be GD 02 compliant.

**Performance – Clause 922**

With this approach the Designer is the organization but the Client or Customer is likely to be responsible for providing data on which the Designer will base his design. This data and the source must be clearly identified in the quality plan.

The organization’s proposed design and Binder Data Sheet(s) shall be included in the quality plan. The organization shall also provide a TAIT Certificate.

Further guidance on the responsibility for the provision of data and testing is given in the RSTA Code of Practice.
| Site Parameters (continued) | Wheel track fatting; Variable hardness  
Design verification and validation procedures  
Road Surface Acceptance  
Dampness; Cleanliness; Patches/Cracking  
Access restrictions |
|---------------------------|---------------------------------------------------------------|
| Installation | Detailed programme of work  
Working method for site testing, including frequency of testing and demonstration of compliance with Specification, e.g. rate of spread and accuracy of spread for aggregate & binder. |
| **Binder** | Delivery documentation. |
| | Monitoring of:-  
• Temperature  
• Rate of spread of binder |
| **Aggregates** | Delivery documentation plus visual inspection for size, cleanliness, colour, coating, on delivery and of any on its stockpiles. |
| | Monitoring of:  
• Rate of spread of chippings |
| **Equipment** | Location of Joints  
• Suspect areas  
• Variation along / across site  
• Local changes in system  
• Tolerances on rate of spread and transverse distribution of binder chippings |
| **Aftercare** | Procedures for :-  
• Sweeping  
• Dusting  
• Opening to unrestricted traffic |
The following are subjects which are recommended to be covered in a quality plan for Slurry Surfacing incorporating Microsurfacing.

### Management Responsibility:
Demonstration of commitment to Sector Scheme.

### Resource Management:
Training / qualifications / experience requirements for compliance with Sector Scheme.

### Product Realization

<table>
<thead>
<tr>
<th>Prior to Works Commencing</th>
<th>Binder</th>
<th>Aggregates</th>
<th>Resource</th>
</tr>
</thead>
<tbody>
<tr>
<td>Storage conditions addressing:</td>
<td>Storage facilities addressing:</td>
<td></td>
<td>Number and type of:</td>
</tr>
<tr>
<td>- Separation/binder stability</td>
<td>- Cleanliness</td>
<td></td>
<td>• Applicators</td>
</tr>
<tr>
<td>- Facilities for additives</td>
<td>- Security</td>
<td></td>
<td>• Sweepers</td>
</tr>
<tr>
<td></td>
<td>- Location</td>
<td></td>
<td>• Materials supply vehicles</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Competent operatives</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Rollers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Binder sprayers</td>
</tr>
<tr>
<td>Test certificates for properties</td>
<td>Test certificates for properties</td>
<td>Test certificates for calibration</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Additives</th>
<th>Addressing types, storage and requirements:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- Lime</td>
</tr>
<tr>
<td></td>
<td>- OPC (cement)</td>
</tr>
<tr>
<td></td>
<td>- Fibres</td>
</tr>
<tr>
<td></td>
<td>- Retarders</td>
</tr>
<tr>
<td></td>
<td>- Pigment (colour)</td>
</tr>
<tr>
<td></td>
<td>Test certificates for properties</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Site Parameters</th>
<th>Health &amp; Safety</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Safety Plan and risk assessments</td>
</tr>
<tr>
<td></td>
<td>Temporary Traffic Management</td>
</tr>
<tr>
<td></td>
<td>Procedures for establishing and implementing site specific requirements.</td>
</tr>
<tr>
<td></td>
<td>Competency of people responsible.</td>
</tr>
<tr>
<td></td>
<td>Climate: monitoring/recording</td>
</tr>
<tr>
<td></td>
<td>Humidity; Temperatures; Weather forecast</td>
</tr>
<tr>
<td></td>
<td>Procedures</td>
</tr>
</tbody>
</table>

### Design Issues

#### Design responsibility

The Manual of Contract Documents for Highway Works in clause 918 sets out that the organization is responsible for the design with the Client or Customer providing site and traffic data. Other forms of contract and specifications used by Local Highway Authorities may provide alternative arrangements. With this approach the Designer is the organization but the Client or Customer is likely to be responsible for providing data on which the Designer will base his design.

The organization’s proposed design and Binder Data Sheet(s) shall be included in the quality plan. The organization shall also provide a TAIT Certificate.

#### Design verification and validation procedures
| Site Parameters (continued) | Road Surface Acceptance  
Site condition survey; Cleanliness; Patches/cracking  
Access restrictions |
|-----------------------------|------------------------------------------------|
| Installation                | Detailed programme of work  
Working method for site testing, including frequency of testing and demonstration of compliance with Specification. |
|                               | **Binder**  
Delivery documentation  
Monitoring of:-  
• Temperature |
|                               | **Aggregates**  
Delivery documentation  
Visual inspection for size, cleanliness, on delivery and of any on its stockpiles |
|                               | **Equipment**  
Location of Joints  
• Suspect areas  
• Variation along/across site  
• Local changes in system |
| **Additives**                | Delivery documentation |
| **Aftercare**                | Procedures for :-  
• Removal of surplus material and masking  
• Resetting ironwork, if necessary  
• Removal of subsequently loosened material  
• Opening to unrestricted traffic |
| **As Built Manual**         | The information to be provided in the As Built Manual |
The following are subjects which are recommended to be covered in a quality plan for Geosynthetics and Steel Meshes.

### Management Responsibility:
Demonstration of commitment to Sector Scheme

### Resource Management:
Training / Qualifications / Experience requirements for compliance to Sector Scheme

### Product Realisation:

<table>
<thead>
<tr>
<th>Prior to works commencing</th>
<th>Binder</th>
<th>Aggregates</th>
<th>Resource</th>
<th>Geosynthetics &amp; Steel Meshes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Storage conditions addressing:</strong></td>
<td><strong>Storage facilities addressing:</strong></td>
<td><strong>Number and type of:</strong></td>
<td><strong>Addressing specification and Type of:</strong></td>
<td></td>
</tr>
<tr>
<td>- Heat degradation</td>
<td>- Cleanliness</td>
<td>- Mechanical applicators</td>
<td>- Geosynthetic or Steel Mesh</td>
<td></td>
</tr>
<tr>
<td>- Separation / binder stability</td>
<td>- Security</td>
<td>- Sprayers</td>
<td>- Roll size</td>
<td></td>
</tr>
<tr>
<td>- Viscosity change</td>
<td>- Location</td>
<td>- Gritters</td>
<td>- Security</td>
<td></td>
</tr>
<tr>
<td>- Facilities for additives</td>
<td></td>
<td>- Drying equipment</td>
<td>- Location</td>
<td></td>
</tr>
</tbody>
</table>

Test certificates for properties e.g. BS1707 Bench test

<table>
<thead>
<tr>
<th>Site Parameters</th>
<th>Health and Safety</th>
<th>Aggregate</th>
<th>Resource</th>
<th>Geosynthetics &amp; Steel Meshes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Health and Safety</strong></td>
<td><strong>Safety Plan and risk assessments.</strong></td>
<td><strong>Number and type of:</strong></td>
<td><strong>Addressing specification and Type of:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Traffic Management</strong></td>
<td><strong>Procedures for establishing this is the responsibility of Principal Contractor</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Climate:</strong> monitoring / recording</td>
<td><strong>Humidity; Temperatures; Weather forecast</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Procedures</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Design Issues</strong></td>
<td><strong>Design responsibility</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>The design is with Client / Designer / Principal Contractor not the installation organization. The installation organization shall include Geosynthetic or Steel Mesh Specification and Binder Data Sheets in the quality plan.</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Design verification and validation procedures.</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Further guidance on the responsibility for the provision of data and testing is given in the RSTA Code of Practice.</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Receiving Surface Condition</strong></td>
<td><strong>Peaks and troughs of planed surface</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Dampness, cleanliness</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Crack Mapping</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Access restrictions</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Installation | Detailed programme of work  
| Working method for site testing, including frequency of testing and demonstration of compliance with specification, e.g. rate of spread and accuracy of spread for binder. Pull off test to base layer. |
|---|---|
| **Binder** | **Aggregates** | **Equipment** | **Geosynthetic & Steel Meshes** |
| Delivery documentation | Delivery documentation plus visual inspection for size and cleanliness. | Location of overlaps  
| • Suspect areas  
| • Local changes in surface condition.  
| • Tolerances on rate of spread and distribution of binder | Delivery documentation. |
| Monitoring of:-  
| • Temperature  
| • Rate of spread binder | Monitoring of:-  
| • Rate of spread of chippings | Monitoring of:-  
| • Material specification  
| • Pull off test | --- |
| **Aftercare** | Procedures for:-  
| • Removal of surplus material and masking  
| • Site Traffic  
| • Cutting and removal of material around iron work/street furniture  
| • Overlaps and joints | --- | --- | --- |
The following are subjects which are recommended to be covered in a quality plan for Spray Injection Patching.

### Management Responsibility:
Demonstration of commitment to Sector Scheme

### Resource Management:
Training / Qualifications / Experience requirements for compliance to Sector Scheme

### Product Realisation:

<table>
<thead>
<tr>
<th>Prior to works commencing</th>
<th>Binder</th>
<th>Aggregates</th>
<th>Resource</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Storage conditions addressing:</strong></td>
<td><strong>Storage facilities addressing:</strong></td>
<td><strong>Number and type of:</strong></td>
<td><strong>- Heat degradation</strong></td>
</tr>
<tr>
<td>- Separation/binder stability</td>
<td>- Security</td>
<td><strong>- Rollers/Vibrating plates</strong></td>
<td></td>
</tr>
<tr>
<td>- Viscosity change</td>
<td>- Location</td>
<td><strong>- Sweepers</strong></td>
<td></td>
</tr>
<tr>
<td>- Facilities for additives</td>
<td>- PSV</td>
<td><strong>- Competent operatives</strong></td>
<td></td>
</tr>
<tr>
<td>Test certificates for properties</td>
<td>Test certificates for properties</td>
<td>Test certificates for calibration</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Site Parameters</th>
<th>Health and Safety</th>
<th>Safety Plan and Risk Assessments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Traffic Management</td>
<td>Procedures for establishing &amp; implementing site specific requirements</td>
<td>Competency of people responsible</td>
</tr>
<tr>
<td>Climate: monitoring / recording</td>
<td>Ground temperatures; Weather forecast</td>
<td>Procedures</td>
</tr>
<tr>
<td>Design Issues</td>
<td>Design responsibility</td>
<td>Company’s design, operational control and testing will be included in the quality plan, cross referenced to the relevant Company Management system procedures and records.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Further guidance on the responsibility for the provision of data and testing is given in the RSTA Code of Practice.</td>
</tr>
<tr>
<td></td>
<td>Design verification and validation procedures</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Road Surface Acceptance</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Access restrictions</td>
<td></td>
</tr>
</tbody>
</table>

### Installation
Detailed programme of work
Working method for site testing, including mix cohesion (snowball) test

<table>
<thead>
<tr>
<th>Binder</th>
<th>Aggregates</th>
<th>Equipment</th>
</tr>
</thead>
<tbody>
<tr>
<td>No requirement</td>
<td>No requirement</td>
<td>Company machine</td>
</tr>
</tbody>
</table>

### Aftercare
Procedures for:-
- Sweeping (if required)
- Site residual safety
- Opening to unrestricted traffic
Appendix B: Reference Documents

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

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

Reference Documents relevant to this Sector Scheme at the date of issue.

1. Manual of Contract Documents for Highway Works:
   - Volume 1 Specification for Highway Works (The Stationery Office).
   - Series 000 Introduction
   - Series 100 Preliminaries
   - Series 900 Road Pavements - Bituminous Bound Materials
   - Series 1200 Traffic Signs
   - Any additional clauses identified in the contract.
   
   www.standardsforhighways.co.uk/ha/standards/mchw/index.htm

   - Series NG000 Introduction
   - Series NG100 Preliminaries
   - Series NG900 Road Pavements - Bituminous Bound Materials
   - Series NG1200 Traffic Signs

3. European/National Standards and Guidance Documents
   - BS EN ISO 9005:2000
   - BS EN 13808 Bitumen and bituminous binders – Framework for specifying cationic emulsions.
   - BS EN 13043:2002 Aggregates for bituminous mixtures and surface treatments for roads, airfields and other tracked areas.
   - PD6682 – 2:2003 Guidance on the use of BSEN 13043
   - BS EN 13036 – 1 Road and airfield surface characteristics – Part 1 measurement of pavement surface macro-texture.
   - BS EN 12273 – Slurry Surfacing Requirements
   - BS EN 12274 Parts 1-8 Test Methods
   - BS EN 12271 – Surface Dressing Requirements
   - BS EN 12272 Parts 1-3 Test Methods
   - BS 1707 Binder Distributors for Surface Dressings
   - PD 6689:2009 UK Guidance on Surface Treatments

Bibliography

1. (09/16) GD 02 (latest issue) - Quality Management Systems for Highway Design (Design Manual for Roads and Bridges – Volume 0, Section 2, section 1, Part 1 ).
   http://www.standardsforhighways.co.uk/ha/standards/dmrb/vol0/section2.htm

2. (09/16) GD 04 (latest issue) - Standard for safety risk assessment on the strategic road network (Design Manual for Roads and Bridges – Volume 0, Section 2, section 1, Part 1 ).
   http://www.standardsforhighways.co.uk/ha/standards/dmrb/vol0/section2.htm

3. Construction (Design & Management) Regulations with approved Code of Practice

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

Design Manual for Roads and Bridges can be obtained from www.standardsforhighways.co.uk

9. NHSS 9A for the Design, Assembly and/or Provision of Permanent and Temporary Road Traffic Signs.
10. NHSS15 for the Supply of Paving Bitumen’s
11. (a) Guidance for Safer Temporary Traffic Management www.highways.gov.uk
    (b) Temporary Traffic Management on High Speed Roads – Good Working Practice www.highways.gov.uk
12. Current contract specifications
13. Other specifications and requirements as appropriate, and agreed between the organization, Customer and Client.
14. Other Sector Schemes where relevant and in particular NHSS 12A/B, C & D
15. RSTA Code of Practice for Surface Dressing www.rsta-uk.org/publications.htm
16. RSTA Code of Practice for Slurry Surfacing www.rsta-uk.org/publications.htm
18. RSTA Code of Practice for Geosynthetics & Steel Meshes www.rsta-uk.org/publications.htm
19. (09/16) RSTA Code of Practice for In-situ Recycling www.rsta-uk.org/publications.htm
22. RSDA/CSS Code of Practice for Signing at Surface Dressing Sites (latest version) www.rsta-uk.org/publications.htm

NOTE: BSI has published national guidance document PD 6689:2009 giving guidance on the use of BS EN 12271 and BS EN 12273 in the UK.

23. RSTA ADEPT Service Life of Surface Treatments www.rsta-uk.org/publications.htm
24. Guidance on Notified Body’s Tasks of Technical Documentation Assessment on a Representative Basis; Best Practice Guide 2009
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.

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

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

### 1. Surface Treatments Qualifications and Skill Cards

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:

#### APP C. Table 1.

<table>
<thead>
<tr>
<th>GRADE OF EMPLOYEE</th>
<th>CSCS CARD</th>
<th>Qualification &amp; Card Requirements (All CSCS Cards require passing of appropriate CITB HS&amp;E Test)</th>
</tr>
</thead>
<tbody>
<tr>
<td>LABOURER</td>
<td>Green</td>
<td>CITB HS&amp;E Operative test pass required. NVQ Level One or SCQF Level 4 Award in Health and Safety in a Construction Environment or Site Safety Plus Health and Safety Awareness Course certificate or IOSH Working Safely course (achieved within three years prior to making application) Valid for 5 years.</td>
</tr>
<tr>
<td><strong>See Note 2</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PROVISIONAL</td>
<td>Red</td>
<td>CITB HS&amp;E Operative test pass required. Before expiry Provisional card holders must achieve or be registered for a recognised construction related qualification and apply for the appropriate CSCS card for their job. Valid for 6 months - NOT RENEWABLE.</td>
</tr>
<tr>
<td>(Working as a labourer but have not previously applied for a CSCS card or working through probationary periods whilst employers assess their suitability for employment)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TRAINEE (ALL OCCUPATIONS)</td>
<td>Red</td>
<td>Appropriate CITB HS&amp;E test pass (within last two years) required. Registered for relevant NVQ or SVQ but have not yet achieved. Valid for 5 years – NOT RENEWABLE.</td>
</tr>
<tr>
<td>(New to Industry)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TRAINEE Craft &amp; Operative (New to Industry)</td>
<td>Red</td>
<td>CITB HS&amp;E Highways Operative test pass (within last two years) required or have attended a 1-day Health and Safety Awareness Course. Registered for relevant NVQ or SVQ but have not yet achieved. Valid for 3 years – NOT RENEWABLE. <strong>THIS CARD WILL CEASE TO BE VALID FROM 01.08.2019</strong></td>
</tr>
<tr>
<td>TRAINEE SUPERVISOR / MANAGER (This card is available if you can provide evidence of current registration with a further/higher education college or university for a nationally recognised construction related qualification)</td>
<td>Red</td>
<td>CITB HS&amp;E Highways at Supervisor or Manager test pass required. Registered for relevant NVQ or SVQ but have not yet achieved. Valid for 3 years – <strong>RENEWABLE UPON APPLICATION (Renewals will be replaced with new TRAINEE category card).</strong> <strong>THIS CARD WILL CEASE TO BE VALID FROM 01.08.2019</strong></td>
</tr>
<tr>
<td>GRADE OF EMPLOYEE</td>
<td>CSCS CARD</td>
<td>Qualification &amp; Card Requirements (All CSCS Cards require passing of appropriate CITB HS&amp;E Test)</td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>-----------</td>
<td>---------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>EXPERIENCED WORKER</td>
<td>Red</td>
<td>CITB HS&amp;E Highways Operative test pass required (within last two years).</td>
</tr>
<tr>
<td>(Not holding NVQ and Minimum of</td>
<td></td>
<td>Registered for relevant Surface Treatment Level 2 NVQ or relevant SVQ.</td>
</tr>
<tr>
<td>1 years’ experience within last 3</td>
<td></td>
<td>Valid for 1 year - NOT RENEWABLE.</td>
</tr>
<tr>
<td>years certified by employer)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EXPERIENCED TECHNICAL SUPERVISOR /</td>
<td>Red</td>
<td>CITB HS&amp;E Supervisor or Manager test pass required (within last two years).</td>
</tr>
<tr>
<td>MANAGER</td>
<td></td>
<td>Registered for relevant Construction related NVQ level 3, 4 or 6 (or relevant Construction</td>
</tr>
<tr>
<td>(On the job experience, normally at</td>
<td></td>
<td>related SVQ).</td>
</tr>
<tr>
<td>least one year in the last three, who</td>
<td></td>
<td>Valid for 3 years - NOT RENEWABLE.</td>
</tr>
<tr>
<td>have not achieved a construction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>related NVQ / SVQ level 3, 4 or 5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(or construction related Level 6 or 7)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>and are not a member of an approved</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional Body.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SKILLED WORKER</td>
<td>Blue</td>
<td>CITB HS&amp;E Highways Operative Test pass required (within last two years).</td>
</tr>
<tr>
<td>(See table 2 for required occupations)</td>
<td></td>
<td>Achieved Level 2 NVQ or L2 NVQ/SVQ for relevant Surface Treatment or previously issued industry</td>
</tr>
<tr>
<td></td>
<td></td>
<td>accreditation route.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Valid for 5 years.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>RSTA Endorsed – See Note 1</td>
</tr>
<tr>
<td>GANGER / CHARGE-HAND / LEADING HAND /</td>
<td>Gold</td>
<td>CITB HS&amp;E Supervisor test pass required (within last two years).</td>
</tr>
<tr>
<td>FOREMAN</td>
<td></td>
<td>Level 3 NVQ in Occupational Work Supervision; or Level 3 NVQ Construction Site Supervisor;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>or relevant SVQ; or previously issued industry accreditation route. See notes 5 &amp; 6.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Valid for 5 years.</td>
</tr>
<tr>
<td>SUPERVISOR / AGENT</td>
<td>Gold</td>
<td>CITB HS&amp;E Supervisor test pass required (within last two years).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Level 4 NVQ Diploma for Construction Site Supervisor; or Level 3 NVQ Construction Site</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Supervisor; or relevant SVQ; or previously issued industry accreditation route. See notes 4,</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5 &amp; 6.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Valid for 5 years.</td>
</tr>
<tr>
<td>CONTRACTS MANAGER</td>
<td>Black</td>
<td>CITB HS&amp;E Managers &amp; Professionals test pass required (within last two years).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Level 5, 6 or 7 NVQ or relevant SVQ for relevant Construction Management or previously issued</td>
</tr>
<tr>
<td></td>
<td></td>
<td>industry accreditation route. See notes 3 &amp; 4</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Valid for 5 years.</td>
</tr>
<tr>
<td>Surface Treatment</td>
<td>Occupation (Endorsement)</td>
<td>CSCS Card Information</td>
</tr>
<tr>
<td>---------------------</td>
<td>----------------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Surface Dressing</td>
<td>Spray Bar Operator&lt;br&gt;Tanker Operator&lt;br&gt;Roller Operator&lt;br&gt;Chipper Operator&lt;br&gt;Tanker &amp; Chipper Combined&lt;br&gt;Loader Operator&lt;br&gt;Linked Tipper&lt;br&gt;Sweeper Operator <strong>See note 8</strong></td>
<td>CSCS cards for these occupations should show the endorsement of the NVQ/SVQ qualification on its reverse as shown in example below.</td>
</tr>
<tr>
<td>Slurry Surfacing (Machine)</td>
<td>Applicator Operator&lt;br&gt;Tanker Operator&lt;br&gt;Tipper Grab Operator&lt;br&gt;Roller Operator&lt;br&gt;Sweeper Operator <strong>See note 8</strong></td>
<td>CSCS cards for L2 NVQ or relevant SVQ require the RSTA logo on its reverse as shown in example below. <strong>See note 1</strong></td>
</tr>
<tr>
<td>Spray Injection Patching</td>
<td>Operator</td>
<td></td>
</tr>
<tr>
<td>Geosynthetic Membrane/mesh</td>
<td>Installer</td>
<td></td>
</tr>
<tr>
<td>Surface Retexturing</td>
<td>Mechanical Retexturing Operator&lt;br&gt;Mechanical Repair Operator&lt;br&gt;Flailing Operator&lt;br&gt;High Pressure Jetting Operator&lt;br&gt;Grinding Operator&lt;br&gt;Sweeper Operator <strong>See note 8</strong>&lt;br&gt;Fine Milling Operator</td>
<td></td>
</tr>
<tr>
<td>In-situ Deep Recycling</td>
<td>Operator</td>
<td></td>
</tr>
</tbody>
</table>
Note 1.
Blue CSCS Skilled Worker cards endorsed with the RSTA logo, available only through application to the RSTA, are required for holders of cards with the appropriate NVQ or SVQ as listed in APP C Table 2. In order to maintain quality and standards these applications are approved where the Learner has achieved their qualification through the RSTA Assessment Centre or an RSTA Approved Partner, and these card details are held on the RSTA Training Database.

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

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

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

Note 2.
Holders of current CSCS Blue Skilled Worker, Red Experienced Worker or Red Trainee (Craft & Operative) cards in road-building occupations may be utilised in surface treatment operations as labourers and do not require the Green Labourer card when carrying out these duties.

Note 3.
Changes to the NVQ Diploma qualification structure has seen the re-grading of previous NVQ Level 4 Managers qualifications to NVQ Level 6 Diploma. Managers holding an existing relevant Construction NVQ Level 4, or SVQ equivalent, are not required to upgrade to the new NVQ as their current qualification is accepted.

Note 4.
In order to demonstrate acceptable evidence of appropriate training for CPD in the relevant field of surface treatment all Managers, Agents and Supervisors are required to obtain an RSTA Silver Certificate obtained from the relevant RSTA Technicians Training Course (where available) which must be renewed on a maximum 5 year cycle. These courses have an end test that the Learner is required to pass to attain this certificate. A register of successful Learners is held by the RSTA. Relevant training courses are listed on the RSTA website under www.rsta-uk.org/calendar

Note 5.
Changes to the NVQ/SVQ Diploma qualification structure have seen a split in the categories of Supervision qualifications:

- Ganger / Charge-hand / Foreman / Leading Hand require the NVQ Level 3 Occupational Work Supervision qualification or SVQ equivalent. Previously achieved NVQ L3 Construction Site Supervision is acceptable at this level
- Supervisor / Agent require the NVQ Level 4 Construction Site Supervision qualification or previously achieved NVQ L3 in Construction Site Supervision or relevant SVQ
• Where a Supervisor / Agent holds a previously acquired Occupational Work Supervision qualification it is recommended that they upskill and achieve the higher qualification.

Note 6.
Where a CSCS Gold Card holder carries out work on site in any of the roles in APP C Table 2 for their surface treatment they must also hold the appropriate CSCS skill card i.e. Blue Skilled Worker (RSTA endorsed) or Red Experienced Worker.

Note 7.
NVQ Assessment Centres, in accordance with the SSC Consolidated Assessment Strategy, are responsible for ensuring that the assessment teams possess demonstrable expertise in the areas of the relevant surface treatment activities under assessment. It is highly recommended that NVQ Assessors attend relevant RSTA Technicians Training Course to remain up to date regarding industry regulatory and technical developments. Relevant training courses are listed on the RSTA website under www.rsta-uk.org/calendar

Note 8.
Road sweeper operators: For surface dressing, micro surfacing and surface retexturing there is an endorsed NVQ route for road sweeper operations within the specific operation, and where surface treatment companies employ their own operatives to carry out this operation this route should be followed with the appropriate CSCS card and L2 NVQ or SVQ attained. However when sub-contract road sweepers are employed on a site the surface treatment company should ensure that the operator can demonstrate sufficient competence to operate the equipment, and has as a minimum a relevant CSCS/CPCS card. An NVQ for general road sweeper operations is currently under development.

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

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

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

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

Examples of relevant training courses:
• Approved in house induction training
• In house Safety Awareness Training
• RSTA Training Courses for Engineers, Managers, Supervisors and Technicians for
  o Surface Dressing
  o Slurry Micro-Surfacing
  o Spray Injection Patching
  o Geosynthetics & Steel Meshes
  o Retexturing (under development)
  o Deep In-situ recycling (under development)
• RSTA Induction Training Courses for Operatives
• RSTA/CITB Specialist Up-Skilling Programmes
• CITB National Specialists Management Training Scheme for NVQ Level 6

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

(09/16) Note 12: As an alternative to the Level 3 NVQ/SVQ Site Supervisors, Technical Managers and organization managers can secure registration at the appropriate level with the Engineering Council.

(09/16) Note 13: Where applicants hold other cards or qualification (from a state other than England), it will be necessary to establish the competency equivalence of such qualifications and advice should be sought from the appropriate Sector Skills Council or issuing/awarding body of recognised qualifications or the administrator of the embedded skills scheme as to the equivalence of the qualification to meet the described competency and knowledge described in the sector scheme document.
2. Temporary Traffic Management

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

1. All temporary traffic management schemes will be designed on the basis of a site-specific risk assessment.
2. The provisions for traffic management shall be fully documented and form part of the method statement to be supplied in accordance with Appendix A - 2.3.
3. Traffic management on motorway and dual carriageways carrying unrestricted traffic shall be designed and installed by a TTM contractor registered to sector schemes 12A and 12B.
4. On works not covered by the above the traffic provisions shall be designed and documented by a Technical Officer qualified in accordance with section 6.2.2 of NHSS 12D.
5. The person responsible for TTM on site shall be site based. S/he shall be suitably experienced and qualified in TTM in accordance with the requirements of NHSS 12D for the type of TTM that is being installed on a specific contract. This person shall be named in the Organization’s quality plan. (The person shall as a minimum be qualified in the type of TTM being employed on the site and ideally should be qualified as an RTLMO).
6. Operatives responsible for setting out signs or operating stop & go boards shall be qualified to Lantra Awards modules T1 /2.
7. Where convoying is used the operatives involved shall be qualified to Lantra Awards module T4.

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

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

- **(09/16)** Registered Lead Traffic Management Operative (RLTMO)
  An operative who will have successfully completed Modules 1, 2 & 6 as a minimum, and been issued with a Skills Registration Card by Lantra Awards. To supervise works for convoy working, multiphase traffic signals and dual carriageways the RLTMO shall have successfully completed the appropriate modules and been issued with the relevant skills registration card. Where relevant this person(s) shall be named in the organizations contract quality plan as having the responsibility, training and experience to control temporary traffic management measures to meet the requirements of the Contract Specification.

- **(09/16)** Technical Officer
  The person named in the organization’s quality plan responsible for the planning, installation, modification and removal of temporary traffic management and implementation of the requirements of the contract specification.
  NB He/ She shall be competent as defined by 6.2.2 of 12D.

3. Health & Safety

**(09/16)** Organizations are reminded of the legal requirements to provide health and safety training for all personnel in accordance with the Health and Safety at Work Etc Act 1974.

The training and assessment of operatives required by this Scheme is aimed primarily at technical competence for surface treatments. It is intended to provide awareness to carry out work in a safe manner; however, it remains the responsibility of the organization to determine and implement safe systems of work.
4. (09/16) Fraudulent certificates/cards

In the case of suspect certificates/cards the following advice is given:

Suggested action by organization

- On being presented with a suspect certificate/card (check logo, print quality, colour, layout, spelling, likeness of photograph)
- Take possession of certificate/card.
- Call a member of the body that issued the certificate/card. A member of the team will help you to confirm your suspicions or otherwise.
- If the certificate/card appears to be fraudulent:
  - Retain the certificate/card if possible
  - Make photocopies of front and back
  - Record certificate/cardholder’s name and address
  - Ask certificate/cardholder where the certificate/card was obtained from
  - Call the local police and report the matter
  - Refuse access to site (subject to company rules).
- Forward copies of all evidence to the body who issued the certificate/card marked “SUSPECTED FRAUDULENT CERTIFICATE/CARD” with any crime number given by local police.

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

This should help to maintain the integrity of the Highway Sector Schemes.
Appendix D: Sample Record of Training and Competencies Attained

Operative’s Name: ..........................................................

RSTA/CSCS Registration No: .............................................

<table>
<thead>
<tr>
<th>TRAINING (Date passed, Name of trainer/provider and type as appropriate)</th>
<th>COMPETENCIES ACHIEVED (With Dates and Assessor’s Name)</th>
<th>Type of RSTA/CSCS Card held and date obtained</th>
<th>TTM Qualifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company Induction H&amp;S Training</td>
<td>CSCE Touch Screen Test</td>
<td>RSTA Training</td>
<td>Refresher Training and Other</td>
</tr>
<tr>
<td>TTM Qualifications</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

No longer required
Appendix E: Guidance for the Control of Monitoring and Measuring Equipment

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

Example of a typical requirement for NHSS:

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

Notes

1. The table does not represent an exhaustive list of monitoring and measuring devices and therefore equipment not included but employed by the organization should be calibrated to an acceptable standard and be documented.

2. Visual daily checks of items 1 and 2 shall be carried out on site to confirm that the equipment is working correctly and is not damaged. Records of the daily checks shall be kept.

3. If in-house calibration equipment is used for the calibration of items 1 and 2 it shall not be used for any other purpose and shall itself be calibrated traceable to national standards at intervals not exceeding two years.

4. If in-house calibration equipment is used for the calibration of item 3 it shall not be used for any other purpose and it shall itself be calibrated traceable to national standards at intervals not exceeding five years.

5. Records of all equipment in use, their calibration status and calibration or verification checks undertaken shall be implemented and maintained.
Appendix F: List of Certification Bodies

(09/16) This appendix should be addressed by the requirements of NHSS 0.

(09/16) Information on certification bodies accredited against this scheme can be found on the UKAS website www.ukas.com

(09/16) The search facility is not guaranteed to return accurate results and so the following process should be followed in full:

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

(09/16) 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.

(09/16) Note 2: Advice on the current accreditation status of certification bodies to assess against this document should be sought from UKAS (Tel 01784 429001 or Email info@ukas.com).
Appendix G: The Role of the Certification Bodies and Assessor Competence

1. Role of Certification Bodies

1.1. The independent assessment of conformity of organizations to the requirements of BS EN ISO 9001:2008 and the additional requirements required by this SSD relies upon the assessment expertise, competence and capability of accredited certification bodies.

1.2. The Certification Body role is to ensure, through assessment, that organizations have management systems in place which address the enhanced BS EN ISO 9001:2008 requirements detailed in this SSD.

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 BS EN ISO/IEC17021:2006 by the United Kingdom Accreditation Service (UKAS) or an equivalent International Accreditation Forum (IAF) member for assessment and registration of BS EN ISO 9001:2008 quality management systems interpreted in accordance with this NHSS.

3. Assessor and Assessment Team Competence.

3.1. The Certification Body must be able to demonstrate to UKAS that it possesses and can maintain the necessary assessor experience and technical understanding of surface treatments covered in the scope of this Sector Scheme.

3.2. The Certification Body must also ensure that assessors have sufficient knowledge of health & safety requirements related to working on live highways where appropriate, including 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.

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. It is recommended that CB auditors attend relevant RSTA training courses to remain up to date regarding industry technical developments. Relevant training courses are listed on the RSTA website under www.rsta-uk.org/calendar

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 ISO9001:2008 Lead Auditor qualification or Certification Body equivalent and demonstrable expertise in leading assessment teams.

ii) Technical competence of an auditor shall be demonstrated by satisfying the requirements of Appendix G1. This shall be recorded, as a minimum, by completion by the Certification Body of the check list in Appendix G1.
4. **Conduct of Assessments.**

4.1. Certification Bodies shall ensure that an adequate proportion of the initial and continuing assessment duration is devoted to assessing operational activities at all locations covered by the scope of this Sector Scheme are being undertaken.

4.2. Certification Bodies shall make every endeavour to ensure that during a three year certification cycle there is evidence of assessment of all activities covered by the organization's scope of registration. Certification bodies shall undertake surveillance visits at intervals of not greater than one year to ensure that each gang Supervisor/Agent and his team receive one surveillance visit over a 3 year period.

5. **Format and Content of Registration Certificates.**

5.1. Certificates of registration issued by Certification Bodies, which include within the scope of registration reference to compliance with this Sector Scheme, shall be in a format and contain the content detailed in Appendix K of this SSD.

5.2. The National Highway Sector Scheme Logo shall be included in any Certificate of Registration which has this Sector Scheme detailed in the Scope of Registration. The logo shall only be used and applied in the manner detailed in any conditions of use which may be published from time to time.

6. **National Highway Sector Schemes Schedule of Suppliers.**

6.1. Certification Bodies shall monitor the National Highway Sector Schemes Schedule of Suppliers posted at [www.scheduleofsuppliers.com](http://www.scheduleofsuppliers.com) to ensure equivalence between their clients registered to this Sector Scheme and the listed organizations.

6.2. Certification Bodies shall provide to National Highway Sector Schemes Schedule of Suppliers administrator at Lantra Awards 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 Lantra Awards have been notified by the organization of their NHSS registration. (See 4.1(i))

7. **Reporting on Sector Scheme Performance.**

7.1. Each Certification Body accredited for this Sector Scheme shall provide to the Chairman of the SSACST a summary report which includes as a minimum:

   a. observations and comments on the implementation and assessment findings related to the Sector Scheme including any omissions or deficiencies in its scope
   b. recommendations for improving/clarifying the SSD
   c. feedback on deficiencies against contract documentation
   d. a list of organizations whose scope of registration includes this Sector Scheme for comparison against the Schedule of Suppliers

7.2. The report shall be provided at or in the month before each National Highway Sector Scheme Liaison Committee meeting, so that it may be considered during the Group Sessions of the Liaison meeting.
Appendix G1: Guidance to Assessors and other Auditors Competencies
Requirements for National Highway Sector Schemes 13: The Supply and Application of Surface Treatments to Road Surfaces

General Information

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

Requirements

In addition to an assessor/auditor having a general appreciation of the requirements and processes required by BS EN ISO 9001:2008, a CB assessor or other auditor should be aware of the following when completing an audit:

A General background to the scheme,

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

This is normally contained in the introduction to the scheme, in this instance NHSS 13 was initially developed by HA, RSDA, SSCA and other industry stakeholders.

ii) To whom the scheme applies/field of application

See Scope (section 1) in this NHSS document and Appendix L

iii) Contact details of those that can offer scheme specific assistance

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

iv) An overview of the highway infrastructure that the scheme applies to.

See reference documents in Appendix B and visit the RSTA website www.rsta-uk.org

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

See Scope in this document and Appendix L

vi) Specific types of works that the scheme applies to

See Scope (section 1) in this document and also Appendix L; in this instance applies to surface dressing and micro-surfacing

vii) Definitions and terminology particular to the scheme

See section 3 of this document

viii) Routes to competency of management, supervisors and operatives etc delivering the scheme services

Information/guidance is contained in Appendix C of the documents, however the organization’s training administrator should have this information available (assessors
should also be aware of training and competency assessment requirements available from e.g. Constructionskills and RSTA who should be able to assist).

ix) Overview of important reference documentation applicable to the scheme

Section 2 and Appendix B of the documents provides some information.

Knowledge of relevant European and British Standards (and NB guidance documents) including best practice documents for surface treatments. In particular those relating to product conformity, type testing and their requirements (provided in guidance papers produced by BSI and prepared by the relevant specialist groups of the EU NBG). Familiarity with SHW especially Series 900, and notes for guidance (NGSHW), including when these are updated.

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

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

B Summary of how the scheme interprets section 4 to 8 of BS EN ISO 9001 with commentary.

<table>
<thead>
<tr>
<th>4. Quality Management System</th>
<th>Interpretation Y/N</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>N</td>
<td>Check annually by the CB Auditors and other Auditors. Check Schedule of Suppliers website to ensure registration is current.</td>
</tr>
<tr>
<td>4.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.1</td>
<td>Y</td>
<td>Check quality plan is in place and complies with 7.1. If necessary obtain a copy of the plan as evidence.</td>
</tr>
<tr>
<td>4.2.2</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>4.2.3</td>
<td>N</td>
<td>Ensure that all required contract specific documents are in place. Seek evidence</td>
</tr>
<tr>
<td>4.2.4</td>
<td>Y</td>
<td>Ensure that all required contract specific documents are in place. Seek evidence</td>
</tr>
<tr>
<td>5. Management Responsibility</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1</td>
<td>Y</td>
<td>Check policy document</td>
</tr>
<tr>
<td>5.2</td>
<td>N</td>
<td>Ensure customer feedback documents are in place on completion of the contract.</td>
</tr>
<tr>
<td>5.3</td>
<td>N</td>
<td>Ensure objectives are covered in quality plan and/or policies</td>
</tr>
<tr>
<td>5.4</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>5.4.1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.4.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5 SURFACE DRESSING</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>5.5 SLURRY-MICRO SURFACING</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>5.5.1</td>
<td></td>
<td>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.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>5.5.2</td>
<td>N</td>
<td>Ensure that the organization management have appointed a member with the appropriate responsibility and authorities. Seek evidence.</td>
</tr>
<tr>
<td>5.5.3</td>
<td>N</td>
<td>Check internal communication processes have been established.</td>
</tr>
<tr>
<td>5.6.1</td>
<td></td>
<td>Review copy of annual (or six monthly) management review. Ensure this contains reference to the relevant sector scheme.</td>
</tr>
<tr>
<td>5.6.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.6.3</td>
<td></td>
<td>Seek evidence that the output and actions are considered by top management at regular intervals</td>
</tr>
<tr>
<td>6. Resource Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.1 SURFACE DRESSING</td>
<td>N</td>
<td>Ensure contract/tender review is in place</td>
</tr>
<tr>
<td>6.1 SLURRY-MICRO SURFACING</td>
<td>Y</td>
<td>Ensure contract/tender review is in place</td>
</tr>
<tr>
<td>6.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.2.1</td>
<td>N</td>
<td>Review copies of training certificates and forward looking training plans. Ensure that these are in accordance with the requirements of the sector scheme documents.</td>
</tr>
<tr>
<td>6.2.2</td>
<td>Y</td>
<td>See Appendices C, and D</td>
</tr>
<tr>
<td>6.3</td>
<td>N</td>
<td>Review facilities and process equipment to confirm they are suitable for the scope of registration.</td>
</tr>
<tr>
<td>6.4</td>
<td>N</td>
<td>In process audit. Checks to include environmental condition records, plant maintenance sheets, access equipment certification and induction records.</td>
</tr>
<tr>
<td>7. Planning and Product Realisation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.1</td>
<td>Y</td>
<td>See Appendix A</td>
</tr>
<tr>
<td>7.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.2.1</td>
<td>Y</td>
<td>Ensure that the organization has determined all necessary specified statutory and regulatory requirements for contract compliance. This may include supplementary services such as recycling, final disposal, equipment inspection, licensing requirements for driving (HGV), animal including wildlife handling etc.</td>
</tr>
<tr>
<td>7.2.2</td>
<td>Y</td>
<td>Ensure contract tender review is in place with an appropriate timescale and assessment of availability of resources.</td>
</tr>
<tr>
<td>7.2.3</td>
<td>N</td>
<td>Check effectiveness of communication arrangements.</td>
</tr>
<tr>
<td>7.3 SURFACE DRESSING</td>
<td>Y</td>
<td>See Annex A of NHSS 13 Ensure contract/tender review is in place.</td>
</tr>
<tr>
<td>---------------------</td>
<td>---</td>
<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td>7.3 SLURRY-MICRO SURFACING</td>
<td>N</td>
<td>See Annex A of NHSS 13</td>
</tr>
<tr>
<td>7.3.1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.3.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.3.3</td>
<td></td>
<td></td>
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<tr>
<td>7.3.4</td>
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<td>7.3.5</td>
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<td></td>
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<tr>
<td>7.3.6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.3.7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.4</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>7.4.1</td>
<td></td>
<td>Ensure or seek evidence that records are in place.</td>
</tr>
<tr>
<td>7.4.2</td>
<td></td>
<td>Seek evidence that purchasing requests are adequate.</td>
</tr>
<tr>
<td>7.4.3</td>
<td></td>
<td>Seek evidence that documents are in place.</td>
</tr>
<tr>
<td>7.5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.5.1</td>
<td>Y</td>
<td>Check as part of in process audit</td>
</tr>
<tr>
<td>7.5.2</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>7.5.3 SURFACE DRESSING</td>
<td>N</td>
<td>Cover during procedure review and seek evidence that records are in place.</td>
</tr>
<tr>
<td>7.5.3 SLURRY-MICRO SURFACING</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>7.5.4 SURFACE DRESSING</td>
<td>Y</td>
<td>Seek evidence that records are in place.</td>
</tr>
<tr>
<td>7.5.4 SLURRY-MICRO SURFACING</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>7.5.5</td>
<td>Y</td>
<td>Cover during procedure review.</td>
</tr>
<tr>
<td>7.6</td>
<td>Y</td>
<td>See Appendix E</td>
</tr>
<tr>
<td>8. Measurement, Analysis and Improvement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.1</td>
<td>N</td>
<td>Review copy of annual management review. Ensure this contains continuous improvements to the relevant sector scheme.</td>
</tr>
<tr>
<td>8.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.2.1</td>
<td>N</td>
<td>Seek evidence, that organization is meeting customer requirements.</td>
</tr>
<tr>
<td>8.2.2</td>
<td>Y</td>
<td>Check internal audits are being carried out.</td>
</tr>
<tr>
<td>8.2.3</td>
<td>N</td>
<td>Check processes are achieving planned results</td>
</tr>
<tr>
<td>8.2.4 SURFACE DRESSING</td>
<td>Y</td>
<td>Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Seek evidence.</td>
</tr>
<tr>
<td>8.2.4 SLURRY-MICRO SURFACING</td>
<td>N</td>
<td>Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Seek evidence.</td>
</tr>
<tr>
<td>8.3</td>
<td>Y</td>
<td>Ensure processes are in place and has been implemented in line with contract specification.</td>
</tr>
<tr>
<td>8.4</td>
<td>N</td>
<td>Check analysis of data has provided information to demonstrate effectiveness of QMS and evaluation of continued improvement.</td>
</tr>
<tr>
<td>8.5</td>
<td></td>
<td>Check effectiveness of continual improvement.</td>
</tr>
<tr>
<td>8.5.1</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>8.5.2</td>
<td>N</td>
<td>Seek evidence that documented procedures are in place and operational.</td>
</tr>
<tr>
<td>8.5.3</td>
<td>N</td>
<td>Seek evidence that documented procedures are in place and operational.</td>
</tr>
</tbody>
</table>

C **Overview of Surface Treatments**

1. safe working practices
2. personnel training and qualifications
3. maintain equipment
4. public protection
5. environment
6. testing/inspection/workmanship
7. Health and Safety
8. other

C1 **Safe Working Practices**

Auditors should be sufficiently competent to make general observations on the effectiveness of the organization's safety provisions. This may include

Correct Personal Protective Equipment Worn

Equipment approved and suitable for use

Technicians/operatives to be fully aware of their H&S obligations

- must be able to read and understand their job sheet, risk assessment etc; and have appropriate communication skills
- 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 legislation as applicable to surface treatments

Aware of current best practice including temporary traffic management measures (including site arrangements).

C2 **Training and Qualifications**

Auditors should be aware that the people in the organization will need to

- Have achieved appropriate training and competency modules/NVQ
- Be aware of and understand the system processes and documentation in which they are involved
- 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 NHSS 13.
- Been inducted on relevant site specific H&S issues (daily if necessary)

Hold relevant skills card and authorizations

C3 Maintain Equipment

Auditors should be aware of the importance of keeping plant and equipment properly maintained.

- Operative/supervisor is aware of appropriate legislation requirements
- Maintenance checklists are available and have been completed on a regular (daily, weekly etc) basis.

C4 Public Protection

Auditors should be sufficiently competent to make general observations on the effectiveness of the organization’s provisions for the protection of the public. This may include

- Operative/supervisor is aware of need to protect public during installation operations
- Operative/supervisor has 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 operative/supervisor is aware of HATO role
- Operatives/supervisors have identification
- The organization(company) has a complaints procedure in place

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

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 Testing/Inspection/Workmanship

Auditors should be aware of the importance of inspection of the final installation and where appropriate checking the installation to maintain its integrity.

C7 Health and Safety

Auditors should be aware of the current Health and Safety Legislation and related legislation, such as CDM regulations, as it applies to the supply and application of Surface Treatments to road surfaces.

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.
### Checklist for Appendix G & G1 for NHSS13

<table>
<thead>
<tr>
<th>Ref</th>
<th>Requirements/Awareness</th>
<th>Requirement Met? Y/N</th>
</tr>
</thead>
<tbody>
<tr>
<td>G</td>
<td><strong>GENERAL</strong></td>
<td></td>
</tr>
<tr>
<td>G1</td>
<td>The reasons for development of the National Highway Sector Schemes (NHSS) and this scheme in particular, understanding of where absence of compliant systems have caused concern/problems (NHSS 13A &amp; B were initially developed by HA, RSDA, SSCA and other industry stakeholders.)</td>
<td></td>
</tr>
<tr>
<td>G2</td>
<td>An overview of the highway infrastructure and the range of contracts that the scheme can apply too. (See reference documents in Appendix B and visit the RSTA website <a href="http://www.rsta-uk.org">www.rsta-uk.org</a>)</td>
<td></td>
</tr>
<tr>
<td>G3</td>
<td>Understanding of whom the scheme applies too/field of application (See Scope (section 1) in relevant NHSS document and Appendix L of NHSS 13</td>
<td></td>
</tr>
<tr>
<td>G4</td>
<td>Contact details of those that can offer scheme specific assistance (Secretary or Chairman of the Advisory Committee to the Sector Scheme see Introduction and Appendix J1 to the scheme. Information should also be contained in the organization’s quality manual/NHSS documents)</td>
<td></td>
</tr>
<tr>
<td>G5</td>
<td>Understanding of the specific types of works that the scheme applies to (See Scope in section 1 and also Appendix L - 13 applies to surface dressing and to slurry seal/micro-surfacing)</td>
<td></td>
</tr>
<tr>
<td>G6</td>
<td>Familiarity with the definitions and terminology that are particular to the scheme (See section 3 of the NHSS.) Also overview of important reference documentation applicable to the scheme - Section 2 and Appendix B of the documents provides background information.</td>
<td></td>
</tr>
<tr>
<td>S</td>
<td><strong>STANDARDS/LEGISLATION</strong></td>
<td></td>
</tr>
<tr>
<td>S1</td>
<td>Knowledge of relevant European and British Standards including the national guidance document for surface treatments PD 6689 : 2009 published by British Standards Institute. .</td>
<td></td>
</tr>
<tr>
<td>S2</td>
<td>Knowledge of BS &amp; BS EN’s relating to product conformity, type testing and their requirements. Familiarity with SHW especially Series 900, and notes for guidance (NGSHW) – See Appendix B.</td>
<td></td>
</tr>
<tr>
<td>S3</td>
<td>Awareness of general and relevant H&amp;S legislation (e.g. HASAWA) as applicable to surface dressing and micro-surfacing.</td>
<td></td>
</tr>
<tr>
<td>C</td>
<td><strong>COMPETENCY/TRAINING</strong></td>
<td></td>
</tr>
<tr>
<td>C1</td>
<td>Awareness of routes to competency of management, supervisors and operatives etc delivering the scheme services (Information/guidance is contained in Appendix C of the documents, however the organization’s training administrator should have this information available. Assessors should also be aware of training and competency assessment requirements - e.g. as per ConstructionSkills and RSTA.)</td>
<td></td>
</tr>
<tr>
<td>C2</td>
<td>Auditors should be aware that the people in the organization will need to:-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Have achieved the appropriate training and competency modules/NVQ’s</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Be aware of and understand the system processes and documentation in which they are involved</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Been inducted on specific equipment (by employer) or if appropriate (i.e. under training) are supervised by a qualified person</td>
<td></td>
</tr>
<tr>
<td>T</td>
<td><strong>TEMPORARY TRAFFIC MANAGEMENT</strong></td>
<td></td>
</tr>
<tr>
<td>T1</td>
<td>Awareness of the relationship with other NHSSs and their applicability to this scheme e.g. NHSS 12A/B/D relating to temporary traffic management. Also knowledge of the processes and their applicability involved in the design, establishment, maintenance and removal of temporary traffic management</td>
<td></td>
</tr>
<tr>
<td>H</td>
<td>HEALTH &amp; SAFETY</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>H1</td>
<td>The Certification Body must ensure that assessors have sufficient knowledge of health &amp; safety requirements related to working on live highways where appropriate, including knowledge of temporary traffic management, working in confined spaces and working at height for assessment of guidance provided on this aspect.</td>
<td></td>
</tr>
<tr>
<td>H2</td>
<td>Auditors should be sufficiently competent to make general observations on the effectiveness of the organization’s safety provisions and deployment of Safe Working Practices including:- Use of correct Personal Protective Equipment, approval and suitability of equipment, adequacy of Method Statements.</td>
<td></td>
</tr>
</tbody>
</table>
| H3 | Be able to appraise the awareness of Technicians/operatives in terms of their H&S obligations with regard to the following:-  
- Must be able to read and understand their job sheet, risk assessment etc; and have appropriate communication skills  
- Method Statements/work procedures  
- Risk Assessment  
- Induction card/skills card |
| H4 | Awareness of the importance of induction on relevant site specific H&S issues (daily if necessary) |
| H5 | The need for operatives etc. to hold the relevant skills card and authorisations (e.g. CSCS card endorsed by RSTA.) |
| H6 | Sufficient competence to make general observations on the effectiveness of the organization’s provisions for the protection of the public. (NB The public in this case includes persons employed by the customer.) This may include:  
- Operative/supervisor is aware of need to protect public during installation operations.  
- Operative/supervisor has 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 operative/supervisor is aware of HATO role.  
- Operatives/supervisors have identification.  
- The organization (company) has a complaints procedure in place. |
| H7 | Aware of current best practice including temporary traffic management measures (including site arrangements). |
| H8 | Auditors should be sufficiently competent to make general observations on the effectiveness of the organization’s provisions for the protection of the public. This may include:-  
- Operative/supervisor is aware of need to protect public during installation operations  
- Operative/supervisor has 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 operative/supervisor is aware of the HATO role  
- Operatives/supervisors have identification on display  
- The organization(company) has a complaints procedure in place |

<table>
<thead>
<tr>
<th>I</th>
<th>INSPECTIONS/ SITE</th>
</tr>
</thead>
<tbody>
<tr>
<td>I1</td>
<td>Aware of importance of inspection of Vehicles/loads and that drivers are adequately trained and suitably competent etc.</td>
</tr>
<tr>
<td>I2</td>
<td>Able to undertake an effective site visit including assessment of installation (if possible) and surface dressing/micro-surfacing techniques verified.</td>
</tr>
<tr>
<td></td>
<td>Auditors should be aware of the importance of keeping plant and equipment properly maintained:</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>I3</td>
<td>- Operative/supervisor is aware of appropriate legislation requirements</td>
</tr>
<tr>
<td></td>
<td>- Maintenance checklists are available and have been completed on a regular (daily, weekly etc) basis</td>
</tr>
</tbody>
</table>

| I4 | Auditors should be aware of the importance of inspection of the final installation and where appropriate checking the installation to maintain its integrity. |

| E  | ENVIRONMENT                                                                                       |

| E1 | 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. |
Appendix H: Organization Acceptance and Guidelines for New Entrants

1. Organization Acceptance

1.1 For work carried out on roads managed by the Highways England, the Welsh Assembly Government, the Scottish Executive and DRD (Northern Ireland) or their agents, only those organizations holding a valid Certificate of Registration for work within the scope of this SSD will be accepted as complying with Clause 104 and Appendix A of the Specification for Highway Works.

1.2 For work carried out on roads managed by other highway authorities acceptance of the organization will depend on the requirements of the Contract.

2. Guidelines for New Entrants

These Guidelines have been drawn up to provide Surface Treatments companies with a method to gain entry to the scheme.

Surface Treatments can only be fully assessed, by approved certification bodies, by an evaluation when works are in progress.

To enable new entrants to the scheme to prove compliance, both documentary evidence and site procedures must be the subject of assessment. The following guidelines are provided:

i) Organizations must have sufficient appropriately experienced and qualified key operatives, supervisors and staff who meet the requirements of this scheme

ii) Organizations must have applied for registration with a certification body accredited by UKAS to assess against the scheme

iii) Documented procedures must be in place (to the satisfaction of the certification body) to demonstrate that the company can comply with the requirements of the scheme. A temporary certificate, based on these procedures, may be granted and will be valid for a maximum period of 12 months

iv) Site audits must be carried out at the earliest practical opportunity to provide full compliance with the scheme

v) Full accreditation will then be granted verifying the scheme criteria have been met
Appendix J1: Feedback on this Document

Use of Form Appendix J1:

Any observations, feedback or complaints 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 Road Surface Treatments
c/o The Road Surface Treatments Association Technology Centre,
Wolverhampton Science Park,
Glaisher Drive,
Wolverhampton,
West Midlands WV10 9RU

Tel: 01902 824325
Email enquiries@rsta-uk.org

Issue Identified:

Suggested Action:

Name:
Organization:
Address:

Contact details:

Date:

Note: In many instances, J1 forms can be responded to without the need for them to be considered by an NHSS committee, those requiring a more detailed response will be dealt with at the next meeting of the committee as part of the review of the document. If the J1 form contains information that is critical, then exceptional action can be taken prior to the meeting by the chairperson for instance by arranging an extraordinary meeting of the NHSS advisory committee. The secretary will normally advise the originator of receipt of the J1 document and when the next meeting is expected to be held.
Appendix J2: Feedback to Certification Bodies

Use of Form Appendix J2:

(i) Feedback or complaints relating to certification matters in respect of alleged deficiencies in the service 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, using the form below.

(09/16) (Where a CE marked product is deficient the organization will need to a) advise the client and b) formally advise the local trading standards officer who should take appropriate action).

(ii) Issue Identified:

Organization’s Details:

Name:

Address:

(09/16) Feedback

Name:

Organization:

Address:

Date: ____________________________________ Signed:________________________
Appendix J3: Feedback To Client Bodies On Policing Of National Highway Sector Scheme Registration

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

a) Contract identified

b) i) Details of omission in contract or

   ii) Organization Identified as being awarded the contract or

   iii) both i) and ii) above

c) Organization raising feedback / issue

   Name:

   Organization:

   Contact details (Address, email address, telephone etc)

d) Date: Signed:

Highways England Roads/Contracts – Route for Feedback

(09/16) Feedback should be sent by email to Standards_Feedback&Enquiries@highways.gsi.gov.uk

Other Highway Authorities

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 on reporting a complaint about the application of the health and safety recommendations related to a specific incident is available at http://www.hse.gov.uk/contact/workplace-complaints.htm
Appendix K 1: The Interpretation of Certificates Issued by Certification Bodies

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

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

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

- The scope of registration including specific registration to BS EN ISO 9001:2008 and this NHSS including the scheme title e.g. National Highway Sector Scheme 13 – Sector Scheme for the Supply and Application of Surface Treatments to Road Surfaces
- The identification of each and every location to which the CoR is applicable
- The services/product offered by the organization at each location identified on the CoR for NHSS 13 for the Supply and Application of Surface Treatments and any applicable categories with associated typical sub-categories where applicable
- Logos for the NHSS, UKAS (or equivalent) and the CB
- The name and address(es) of the organization
- The validity of the certificate (ISO 9001 – 3 years)*
- A unique reference number/code
- The signature of a relevant CB official with his name and title

Categories of supply and application include:

- Supply
- Application
- Supply and Application

Sub-categories include:

- Supply and Application of Surface Dressing
- Supply and Application of Slurry Surfacing to footways
- Supply and Application of Micro-surfacing to Carriageways
- (09/16) Supply and Application of Spray Injection Patching
- (09/16) Supply and Application of Geosynthetics and Steel Meshes
- (09/16) Supply and Application of Retexturing Techniques
- (09/16) Supply and Application of Deep In-situ Recycling

*(Note: These lists are not exhaustive and the description of the categories and sub-categories may vary from time to time. Sector scheme committee secretaries are respectively reminded that they should inform the Certification Body via the NHSS Liaison Committee of changes in categories or sub-categories prior to the biannual meetings of the NHSLC, so that NHSS 0 part 4 can maintain currency).
An example of a certificate and appendix considered suitable for Surface Treatments is given in Appendix K2.

The italic text in square brackets indicates where specific text would need to be included.

Note for Certification Bodies.

1. "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."

2. Secondary/sub-categories shall be listed on the certificate or attached Appendix as appropriate, providing the applicable secondary/sub-categories for each primary category. Where an organization is assessed for all secondary/sub-categories listed in this document, it will only be necessary to include “full” on the certificate against the relevant depot or office.

3. Certification Bodies are reminded that they have a responsibility to notify the SSACEL of other secondary/sub-categories, should these be identified during an assessment, for consideration by the committee for inclusion of a further secondary/sub-category within the scheme.
### Appendix K 2: Example of Certificate and Appendix

Example Model Certificate of Registration.

<table>
<thead>
<tr>
<th>Certification Body Name / Logos</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

**CERTIFICATE OF REGISTRATION**

**[ORGANIZATION NAME]**
**[Organization Address]**
**[Town]**
**[County]**
**[Post Code]**

**[Certification Body Name]** issues this certificate to the above named company after assessing the company’s quality management system and finding it in compliance with **BS EN ISO 9001:2008 AND THE FOLLOWING NATIONAL HIGHWAY SECTOR SCHEME**

**SCHEME 13 Sector Scheme for the Supply and Application of Surface Treatments to Road Surfaces**

For the following scope of registration:
- Supply and Application of Surface Dressing
- Supply and Application of Slurry Surfacing
- Supply and Application of Micro-Surfacing
- Supply and Application of Velocity Patching
- Supply and Application of Re-texturing
- Supply and Application of Geosynthetics or Steel Meshes

National Highways Sector Schemes
- [Sector Scheme number and Title]
- [Sector Scheme number and Title]
- [Sector Scheme number and Title]

**Certificate Number:** [Certificate Number]
**Issue Date** [date]
**Renewal Date** [date]

**Signature**
Example Model Appendix

[Certification Body Name / Logo]

APPENDIX

To Certificate Number [Certificate Number] Appendix No.[1] Page 1 of [1]

This Appendix declares the scope of registration of the certificate granted to:

[ORGANIZATION NAME]

[Organization Address]
[Town]
[County]
[Post Code]

Scope of Registration

[List of appropriate highways related activities]
National Highway Sector Schemes
[Sector Scheme Number and Title]
[Sector Scheme Number and Title]
[Sector Scheme Number and Title]

<table>
<thead>
<tr>
<th>Depot, Regional Office etc</th>
<th>Applicable Sector Scheme(s)</th>
<th>Scope of Registration</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Depot 1 New Road, Newtown]</td>
<td>[Sector Scheme Number and title]</td>
<td>[Detailed scope]</td>
</tr>
<tr>
<td></td>
<td>[Sector Scheme Number and title]</td>
<td>[Detailed scope]</td>
</tr>
<tr>
<td>[Depot 2 Old Road, Oldtown]</td>
<td>[Sector Scheme Number and Title]</td>
<td>[Detailed scope]</td>
</tr>
</tbody>
</table>

[Certification Body standard footer: Name/ Logo/ UKAS Logo/NHSS Logo etc.]
Appendix L:  Guidance to Clients

1  General

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

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

2.  Specific Guidance

2.1.  Reference should be made to Appendix M before deciding whether to specify that organizations should be registered to NHSS13, as registration to other NHSSs may include relevant requirements for Road Surface Treatments.

2.2.  NHSS 13 for Road Surface Treatments was originally conceived as a document for use by Clients to specify the minimum standards for quality, training and competence of organizations used by them to carry out Road Surface Treatments.

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

a)  A competent workforce able to carry out Road Surface Treatments successfully.

b)  Requirements to evaluate risks and develop processes associated with Road Surface Treatments and the production of an associated comprehensive quality plan for each contract.

2.4.  It is necessary for the Client to ensure that all those involved in carrying out Road Surface Treatments are appropriately trained, skilled and competent, whether or not they are directly employed. The training and assessment of competency schemes described in this SSD are designed to cater for the range of skills within the overall process of Road Surface Treatments.

2.5.  Clients and Customers that require confirmation of compliance with the Contract Specification in respect of the supply of services, products or materials should confirm that the quality management system certificate issuer is accredited by UKAS or equivalent and that specific reference is made to relevant NHSS on certificates. (See Appendices F and K respectively)

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

2.7.  The Schedule of Suppliers Management Team have established and manage a schedule of registered companies that have been registered to National Highways Sector Schemes; free access to the schedule is obtained by logging on to the Lantra website www.lantra-awards.co.uk/schedule-of-suppliers.aspx. However, it should be noted that only those companies that register on the schedule are listed. Clients should contact Lantra Awards by email at sales@lantra.co.uk to ascertain/check the status of company if it is not listed on the schedule.
2.8 Client check list

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

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

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

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

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

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

An Authority may be required to present data to the Police at short notice in case of a fatality on the network. It should ensure that it has, or can obtain, the relevant information from the Contractor. Reference should be made to Highways England IAN166 for further guidance.

4 Corporate Manslaughter and Corporate Homicide Act 2007

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

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

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

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

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

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

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

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

Contact us;

For specific questions about the act and guidance:

- Ministry of Justice
For health and safety information and answers to specific health and safety questions contact HSE Infoline:

- HSE Infoline