



# National Highways Sector Schemes for Quality Management in Highway Works

13B

For the supply and application of Microsurfacing

**Published by the Sector Scheme Advisory Committee for  
the Supply and Application of Microsurfacing**

## DOCUMENT CONTROL

### Issue Statement

Issue 1	November 2003
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### Revisions included in this document:

Page 4	Clarification for change to Certified Bodies/Notified Body
Page 5	PPD expanded to full title
Page 8	BS EN 9001:2008 explanation
Page 9	SSCA acronym added
Page 22	Note added to appendix B on guidance to use of BS EN 12273
Page 30	Appendix G para 3.5 revised requirements to demonstrate technical competence of an auditor
Page 31	Appendix G para 4.2 addition of minimum requirements for gang surveillance.
Page 36	Checklist for Appendix G & G1 added

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## COMPOSITION OF SECTOR SCHEME ADVISORY COMMITTEE

B M TRADA Ltd

BSI

County Surveyors Society

SGS United Kingdom Ltd

DfT - Highways Agency (HA)

Lloyds Register Quality Assurance Ltd

National Quality Assurance Ltd

Road Surface Treatments Association Ltd

DRD Northern Ireland

### 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.

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### 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 Specification BS EN 12273 from 2008 to September 2009 Notified Bodies will replace Certifying Bodies in respect of factory production control activities required in accordance with 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 will have a compliant fpc.

## IMPLEMENTATION OF ISSUE UKAS 2

This issue of the SSD can be implemented immediately for assessments in accordance with BS EN ISO 9001 : 2008.

Issue UKAS 1 may continue to be used for assessments within 6 months of the publication of this revision on the UKAS web site. This period allows for the organization to review their management system and make any necessary changes. Certification Bodies should advise their clients of this revision. Thereafter all assessments shall be made against this revision.

Organizations registering for the first time shall be required to conform to the requirements of this revision

## INTRODUCTION

This sector scheme document (SSD) relates to the quality management system requirements for the provision and application of Slurry/Microsurfacing.

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 management system 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 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. It is proposed that this committee would act as advisory committee to UKAS. With the creation of the Road Surface Treatments Association in January 2008 this Committee merged with the Surface Dressing Committee to create the Surface Treatments Committee.

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 listed in Appendix F or to:

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

## 1. SCOPE

- 1.1 This document describes the quality management system requirements to be established by the supplier/installer of Slurry/Microsurfacing and interprets the requirements of British Standard BS EN ISO 9001 : 2008 and should be read in conjunction with that standard. The Scheme is applicable to all organizations carrying out the provision and application of Slurry/Microsurfacing, to footways, cycleways, carriageways and other paved areas.

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

NOTE: BS EN 9001 :2008 was published in November 2008 and may be used from May 2009; the numbering of clauses remains unchanged from BS EN 9001:2000 and the content has not been significantly amended for the interpretation in this document not to remain applicable. Organizations may then be assessed against the revised Standard by their Certification Body and will receive recognition of this in the Certificate Issued by their Certification Body. Assessment against BS EN 9001:2008 will not alter the status of the Organizations registration to this scheme.

## 2. NORMATIVE REFERENCE

The following normative documents contains provisions which constitute provisions of BS EN ISO 9001 : 2000:

BS EN ISO 9000 : 2005 Quality Management Systems – Fundamentals and Vocabulary  
BS EN ISO 9004 : 2000 Quality Management Systems – Guidelines for Performance Improvements

## 3. TERMS AND DEFINITIONS

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

Client:	The body for which the work is being carried out.
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)
CSCS	Construction Skills Certification Scheme
Contract Specification:	Manual of contract Documents for Highway Works: Volume 1: Specification of Highway Works (the Stationery Office) or as specifically required in the contract documents.
Customer:	The body engaging the Organization for the purpose of the work described in this Document. (The main contractor where the Organization is a subcontractor).
Designer	The body responsible for converting customer requirements into design outputs in the form of drawings, specifications, plans, instructions etc.
Quality Scheme:	The Organization's structure, responsibilities, procedures, processes and resources for implementing Quality Management to BS EN ISO9001 : 2008.

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 slurry/microsurfacing
*Organization's Manager	The person named in the Quality Plan as having managerial responsibility for the slurry/microsurfacing 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.
TAIT	Type approval installation trial
“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”).
*Slurry/Microsurfacing Foreman / Supervisor	<p>An appropriately qualified person named in the Quality Plan as having the responsibility and experience to establish and control a slurry/microsurfacing operation to meet the requirements of the contract document. The Slurry / Microsurfacing Foreman / Supervisor shall be site based</p> <p>The use of the titles Supervisor/Foremen/Ganger varies between Organizations involved in slurry/microsurfacing</p> <p>In each case the title is used to describe the person in overall charge of all operations undertaken on site. A Foreman/Ganger is a person both trained and experienced in slurry sealing and/or microsurfacing and may undertake part of the gang's operations. On larger sites, a slurry/microsurfacing organization may employ experienced supervisor/s who is / are responsible for a number of sites. In this case each gang will have a foreman/ganger in charge of the operations on individual sites</p>
RSTA	Road Surface Treatments Association formed in January 2008 on the merger of the RSDA with the Slurry Seal Contractors Association and the High Friction Surfacing Association.
SSCA	The Slurry Seal Contractors Association, a sector of the RSTA

\*For smaller schemes some roles may be combined.

## 4. QUALITY MANAGEMENT SYSTEM REQUIREMENTS

### Introduction

This document needs to be read in conjunction with the ISO 9001 : 2008 requirements augmented by the following supplementary requirements. Paragraph numbers in this section reference appropriate paragraphs of BS EN 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 slurry / microsurfacing.

### 4 Quality Management System

#### 4.1 General Requirements

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

The organization shall notify and provide evidence of conformity to this scheme to the schedule 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.

##### 4.2.4 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
- d) Instructions to the Foreman 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  
Results of all tests undertaken, including those which should be made available to the Client on request

l) As Built Manual, as required by the Contract Specification

m) Details of any accident known to the Organization within or adjacent to the Slurry/microsurfacing operations area of work

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 Competence, Awareness and Training

All personnel involved in slurry / microsurfacing operations shall have adequate training. This training will be documented in training records, which must be maintained. Types of Training are included in Appendix C.

Safe and successful slurry/microsurfacing requires formal and informal training and experience. In particular, it is essential that the Slurry/Microsurfacing Foreman is competent in all aspects of the operation including traffic management. Examples of the qualifications and Training required are included in Appendix C

The minimum training and experience requirements for personnel are given in Appendix C.

Record of Training, Qualifications and Experience. The Organization shall create and maintain a record of Slurry/Microsurfacing 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 slurry/microsurfacing Foremen have a working knowledge of the relevant documents listed in Appendix B of this document.

The Organization shall ensure that slurry/microsurfacing operations are supervised by a Slurry/Microsurfacing Foreman. Inexperienced or non-technically competent operatives shall at all times be supervised by a Slurry/ Microsurfacing Foreman or Technical Manager.

## 6.3 Infrastructure

No specific interpretation

## 6.4 Work Environment

No specific interpretation

## 7 Planning and Product Realization

### 7.1 Planning of product realization

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 slurry / microsurfacing 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

## 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 surfacing. 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 November 2003 □UKAS Issue 1 13 of 26 NHSS 13B described in the contract.
- (ii) Before site work commences, the Organization shall ensure that the following is documented and issued to the Slurry/Microsurfacing Foreman 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 Slurry/Microsurfacing applied meets the required design.
  - b) Ensuring that the materials are clearly identifiable.
  - c) Ensuring the presence of competent personnel during the application of Slurry/Microsurfacing.
  - 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 Slurry/Microsurfacing.
  - f) Compliance with the requirements of agreed 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 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.
- (ii) When new all measuring wheels, measuring tapes and rules shall be manufactured such that an accuracy of  $\pm 1\%$  on the measurement undertaken can be achieved. Verification checks shall be undertaken when signs of wear or damage appear. If this condition adversely affects the accuracy required the item should be repaired or replaced.
- (iii) 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.

#### 8.2.4 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, Slurry/Microsurfacing Foreman, Supervisor and the Designer, as appropriate, together with their training. 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 except in the case of 3) below.
- 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 slurry/microsurfacing: 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 Slurry/Microsurfacing 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 ever 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 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.

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, if available. It should be noted that following the introduction of BS EN 12273 organizations have until 2010 to accumulate the data for TAITs.

#### **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 operatives and foremen 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 Slurry/Microsurfacing.

<i>Management Responsibility</i>			
Demonstration of commitment to Sector Scheme.			
<i>Resource Management</i>			
Training / qualifications / experience requirements for compliance with Sector Scheme.			
<i>Product Realization</i>			
Prior to Works	<p>Binder storage conditions addressing:-</p> <ul style="list-style-type: none"> <li>separation/binder stability</li> <li>facilities for additives</li> </ul> <p>Test certificates for properties</p>	<p>Aggregates storage facilities addressing:-</p> <ul style="list-style-type: none"> <li>cleanliness</li> <li>security</li> <li>location</li> </ul> <p>Test certificates for properties</p>	<p>Resource Number and type of:-</p> <ul style="list-style-type: none"> <li>applicators</li> <li>sweepers</li> <li>materials supply vehicles</li> <li>competent operatives</li> </ul> <p>Test certificates for calibration</p>
	<p>Additives addressing types, storage and requirements</p> <ul style="list-style-type: none"> <li>lime</li> <li>OPC (cement)</li> <li>fibres</li> <li>retarders</li> <li>pigment (colour)</li> </ul> <p>Test certificates for properties</p>		
Site Parameters	<p>Health &amp; Safety</p> <p>Safety Plan and risk assessments</p> <p>Traffic Management</p> <p>Procedures for establishing and implementing site specific requirements.</p> <p>Competency of people responsible.</p>		
	<p>Climate: monitoring/recording</p> <p>Humidity; Temperatures; Weather forecast</p> <p>Procedures</p>		
	<p>Design Issues</p> <p>Design responsibility</p> <p>The Manual of Contract Documents for Highway Works in clause 918 sets out that the Organization is responsible for the design with the Client or Customer providing site and traffic data. Other forms of contract and specifications used by Local Highway Authorities may provide alternative arrangements.</p> <p>With this approach the Designer is the Organization but the Client or Customer is likely to be responsible for providing data on which the Designer will base his design. This data and the source must be clearly identified in the Quality Plan.</p> <p>The Organization's proposed design and Binder Data Sheet(s) shall be included in the Quality Plan.</p> <p>Design verification and validation procedures</p>		
	<p>Road Surface Acceptance</p> <p>Site condition survey; Cleanliness; Patches/cracking</p> <p>Access restrictions</p>		

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 plus 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		

## APPENDIX B: REFERENCE DOCUMENTS

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

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).

1. Construction (Design & Management) Regulations 2007 with approved Code of Practice
  2. 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](http://www.standardsforhighways.co.uk)
  3. Manual of Contract Documents for Highway Work:  
Volume 2 Notes for Guidance on the Specification for Highway Works (The Stationery Office).  
Series NG000 Introduction  
Series NG100 Preliminaries  
Series NG900 Road Pavements - Bituminous Bound Materials  
Series NG1200 Traffic Signs
  4. Manual of Contract documents for Highway Works Volume 3 Highway Construction Details.
- NOTE Amendments are made to these volumes normally on a regular basis, which may at 3 monthly intervals. Information can be obtained from the Highways Agency's Safety Standards and Research Directorate, Woodlands, Manton Industrial Estate, Manton Lane, Bedford MK41 7LW. Highways Agency Information Line: 0845 750 4030 or via the internet see 13 below.
5. Highway Authorities Standard Specification - Document 3 (CSS)
  6. Design Manual for Roads and Bridges (The Stationery Office).
  7. Traffic Signs Manual Chapter 8: Traffic Safety Measures and Signs for Road Works and Temporary Situations (2006) or latest version.
  8. Traffic Signs Regulations and General Direction, 2002 (The Stationery Office).
  9. Safety of Street Works and Road Works: A Code of Practice (The Stationery Office publication).
  10. British Standards
    - a) BS EN ISO 9001 : 2005 – Quality Management Systems – Requirements
    - b) BS EN ISO 9000 : 2005 Quality Management Systems – Fundamentals and Vocabulary
    - c) BS 434 Bitumen Emulsion
    - d) BS EN ISO 9005 : 2000, BSI EN ISO 9001 : 2008, BS EN ISO 9004 : 2000.
    - e) BS EN 13808 Bitumen and bituminous binders – Framework for specifying cationic emulsions.

- f) BS EN 13043:2002 Aggregates for bituminous mixtures and surface treatments for roads, airfields and other tracked areas.
  - g) PD6682 – 2:2003 Guidance on the use of BSEN 13043\*
  - h) BS EN 13036 – 1 Road and airfield surface characteristics – Part 1 measurement of pavement surface macrotexture.
  - i) BS EN 12273 – Slurry Surfacing
11. Manufacture of road traffic signs SS 9A
- Installation of road traffic signs SS 9B  
Supply of Paving Grade Bitumen SS 15
12. Construction (Design & Management) Regulations 2007 with approved Code of Practice.
13. Internet
- a) Guidance for Safer Temporary Traffic Management  
[www.highways.gov.uk](http://www.highways.gov.uk)
  - b) Temporary Traffic Management on High Speed Roads – Good Working Practice  
[www.highways.gov.uk](http://www.highways.gov.uk)
14. Current contract specifications
15. Other specifications and requirements as appropriate, and agreed between the Organization, Customer and Client.
16. Other Sector Schemes where relevant and in particular NHSS 12A B & D

NOTE: BSI will publish national guidance document PD 6689:2009 later this year giving guidance on the use of BS EN 12273 in the UK later this year.

## APPENDIX C: TRAINING AND HEALTH & SAFETY

### 1. Slurry Seal/Microsurfacing Qualifications

The minimum training and qualification requirements are:-

- |    |                               |   |   |
|----|-------------------------------|---|---|
| 1. | All operatives                | - | SSCA / CSCS Green Card                            |
| 2. | Plant operators/Leading Hand  | - | SSCA / CSCS Blue Card/<br>Experienced Worker Card |
| 3. | Foreman                       |   | SSCA / CSCS Gold Card                             |
| 4. | Slurry/Microsurfacing         |   | SSCA / CSCS Gold Card                             |
| 5. | Supervisor, Technical Manager |   | SSCA / CSCS Gold Card                             |

Red Cards issued to new operatives will be valid for a maximum of two seasons only. This restriction does not apply to trainees for management grades.

**The Experienced Worker route to secure a Blue card will be available permanently subject to registration for the relevant NVQ, which must be secured within 3 years of registration. For more details refer to the CSCS Scheme Booklet available from: -**

**CSCS  
Manor Royal  
Crawley  
West Sussex  
RH10 9QP**

**Tel: 01293 586 579  
Fax: 01293 526 933**

**[www.cscs.uk.com](http://www.cscs.uk.com)**

SSCA/CSCS cards are issued by ConstructionSkills for candidates registered through the RSTA against proof that the operative concerned has attained the appropriate NVQ / SVQ and passed the ConstructionSkills Safety Awareness Test. Or comply with the other routes outlined above.

Applications to: Lydia Vaux  
Road Surface Treatments Association  
Westwood Park  
London Road  
Great Horkesley  
Colchester  
Essex  
CO6 4BS  
Tel 01206 274052



## Details of SSCA / CSCS Cards

CARD	GRADE OF OPERATIVE	TRAINING & QUALIFICATIONS REQUIRED
RED	TRAINEE	In house safety awareness and induction training
GREEN	WORKERS UNDER SUPERVISION	Level 1 NVQ / SVQ & passed Construction Skills Safety Awareness test.
BLUE	PLANT OPERATORS/LEADING HAND/FOREMAN	Level 2 NVQ / SVQ & passed Construction Skills Safety Awareness test
GOLD	SITE SUPERVISOR / FOREMAN	Level 3 NVQ /SVQ & passed Construction Skills Safety Awareness test

In Northern Ireland CSR Cards are used instead of CSCS cards further details are available from:

Angela Magee  
Construction Employers Federation Ltd  
143 Malone Road  
Belfast BT9 6SU

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

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 . In every case the only acceptable evidence of appropriate training is a silver certificate from the SSCA Technicians Training Course which must be updated on a 5 year cycle.

Examples of types of training available are: -

Approved in house induction training  
SSCA Training Course for Engineers & Technicians  
Safety Awareness Training  
Machine Operation  
SSCA Training Course for Key Operatives

Organizations are recommended to adopt a one day preseason induction training for all operatives

For further details please contact: -

The Consultant Director  
Road Surface Treatments Association  
Westwood Park  
London Road  
Little Horkesley  
Colchester  
Essex CO6 4BS  
Tel 01206 274052  
Fax 01206 274053  
Email enquiries@rsta-uk.org

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

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

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

- Registered Leading Traffic Management Leading Operative (RTMLO)

An operative who will have successfully undergone an approved training course, to Lantra module 6 as a minimum, completed the competency assessment and been issued with an identification card by Lantra Awards and has 2 years experience of relevant temporary traffic management. The person shall be named in the Organizations Quality Plan as having the responsibility, training and experience to control temporary traffic management measures to meet the requirements of the Contract Specification.

- Technical Officer

The person named in the Organization's Quality Plan responsible for the establishment, modification and removal of traffic management and implementation of the requirements of the contract specification.

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

Note 2 – Organizations shall be able to demonstrate during the 2009 season that they are working towards these TTM qualifications. The SSACSD will review these requirements at the end of the 2009 and make any required amendments in the light of experience.

### **3. Health & Safety**

Organizations are reminded of the legal requirements to provide health and safety training for each Operative and Foreman in accordance with the Health and Safety at Work Etc Act 1974.

The training and assessment of operatives required by this Scheme is aimed primarily at technical competence for slurry / microsurfacing. 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.

## APPENDIX D: SAMPLE RECORD OF TRAINING AND COMPETENCIES ATTAINED

Operative's Name: .....

SSCA/CSCS Registration No: .....

TRAINING (Date passed, Name of trainer/provider and type as appropriate)				COMPETENCIES ACHIEVED (With Dates and Assessor's Name)			Type of SSCA/CSCS card held and date obtained
Company Induction H&S Training	CITB Touch Screen Test	SSCA Training	Refresher Training and Other	NVQ Level 1 Units and Award	NVQ Le Units and Award	NVQ Level 3 Units and Award	

## APPENDIX F: LIST OF CERTIFICATION BODIES

Information on certification bodies accredited against this scheme can be found on the UKAS website [www.ukas.com](http://www.ukas.com). To identify the certification bodies on the website:

- place the cursor onto 'about accreditation' in top grey menu bar
- move down to 'accredited bodies'
- move across to 'certification body schedules' and left click on this to take you to the list of schedules
- move down past 'key abbreviations' to 'search within the schedules' - click on 'advanced search'
- type 'Highway Sector Scheme No 13B' in the box and tick the square by 'search UKAS documents'
- left click 'search'
- this then lists the certification bodies who are accredited and their details can be found by clicking on the appropriate links.

Alternatively the following list of relevant certifying bodies is accurate at the time of revising this document.

### LIST OF CERTIFICATION BODIES

Certification Body	Address	Telephone No
B M TRADA Certification Ltd	Stocking Lane Hughenden Valley High Wycombe Buckinghamshire HP14 4NR	01494 565487
B.S.I	389 Chiswick High Road London W4 4AL	0181-9969000
Lloyds Register Quality	Hiramford Assurance Limited Middlemarch Office Village Siskin Drive Coventry CV3 4FJ	024 7688 2222
SGS United Kingdom Ltd	Inward Way Rossmore Business Park Ellesmere Port Cheshire CH65 3EN	0151 350 6666
National Quality Assurance Ltd	Warwick House Houghton Hall Park Houghton Regis Dunstable LU5 5ZX	01582 539000

## 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 9001:2000 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 slurry/microsurfacing 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.
- 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 checklist 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 foreman and his team receives 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 SSACSF 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 13B the supply and application of slurry seal /microsurfacing to road surfaces

## **General Information**

The certification body group (reporting to the Highways Liaison Committee) has proposed that an e-learning programme for assessors based on the information provided by the individual National Highway Sector Scheme Committees should be made available to third party assessors to enable them to have a fuller appreciation of the particular activities involved in highway construction and maintenance. 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. It is hoped that it will be possible in the near future for access to the e-learning programme to be available to all assessors and auditors; information on this development will be made available through revision issues of the relevant NHSS document posted on the UKAS website.

## **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 assessors examples of where its absence has caused concern/problems

This is normally contained in the introduction to the scheme, in this instance the schemes (NHSS 13A & B) were 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

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

- 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](http://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 microsurfacing

- vii) Definitions and terminology that are 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 eg Constructionskills and EPIC, 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 including best practice documents for slurry / microsurfacing. In particular those relating to product conformity, type testing and their requirements. 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 eg NHSS 12A/B/D relating to temporary traffic management.

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

B Summary of where the schemes introduce the interpretation of ISO 9001

**5. Quality Management System**

	Interpretation		Comment
	Y/N	Y/N	
	13A	13B	
4.1	N	N	_____
4.2			_____
4.2.1	Y	Y	_____
4.2.2	N	N	_____
4.2.3	N	N	_____
4.2.4	Y	Y	_____

**6. Management Responsibility**

5.1	Y	Y	_____
5.2	N	N	_____
5.3	N	N	_____
5.4	N	N	_____
5.4.1			_____
5.4.2			_____
5.5	N	Y	_____
5.5.1			_____
5.5.2			_____
5.5.3			_____
5.6	Y	Y	_____
5.6.1			_____
5.6.2			_____
5.6.3			_____

**7. Resource Management**

6.1	N	Y	_____
6.2			_____
6.2.1	N	N	_____
6.2.2	Y	Y	_____
See Appendices C and D			
6.3	N	N	
6.4	N	N	

## 8. Planning and Product Realization

7.1	Y	Y	See Appendix A
7.2			_____
7.2.1	Y	Y	_____
7.2.2	Y	Y	_____
7.2.3	N	N	_____
7.3	Y	N	See Annex A of NHSS 13A
7.3.1			_____
7.3.2			_____
7.3.3			_____
7.3.4			_____
7.3.5			_____
7.3.6			_____
7.3.7			_____
7.4	Y	Y	_____
7.4.1			_____
7.4.2			_____
7.4.3			_____
7.5			_____
7.5.1	Y	Y	_____
7.5.2	N	N	_____
7.5.3	N	Y	_____
7.5.4	Y	N	_____
7.5.5	Y	Y	_____
7.6	Y	Y	_____

## 9. Measurement, Analysis and Improvement

8.1	N	N	_____
8.2			_____
8.2.1	N	N	_____
8.2.2	Y	Y	_____
8.2.3	N	N	_____
8.2.4	Y	N	_____
8.3	Y	Y	_____
8.4	N	N	_____
8.5			_____
8.5.1	N	N	_____
8.5.2	N	N	_____
8.5.3	N	N	_____

## C Overview of Slurry/Microsurfacing

1. safe working practices
2. operative/supervisor 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 slurry/microsurfacing

Aware of current best practice including 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 (ie 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 the relevant NHSS 13B.
- 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 slurry/microsurfacing to road surfaces.

## Checklist for Appendix G & G1 for NHSS 13A & 13B

Ref	Requirements/Awareness	Requirement Met? Y/N
<b>G</b>	<b>GENERAL</b>	
G1	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 & B were initially developed by HA, RSDA, SSCA and other industry stakeholders.)	
G2	An overview of the highway infrastructure and the range of contracts that the scheme can apply to. (See reference documents in Appendix B and visit the RSTA website <a href="http://www.rsta-uk.org">www.rsta-uk.org</a> )	
G3	Understanding of whom the scheme applies to/field of application (See Scope (section 1) in relevant NHSS document and Appendix L of NHSS 13A surface dressing and NHSS 13B slurry/microsurfacing)	
G4	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	
G5	Understanding of the specific types of works that the scheme applies to (See Scope in section 1 and also Appendix L - 13A applies to surface dressing and 13 B to slurry seal/microsurfacing)	
G6	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.	
<b>S</b>	<b>STANDARDS/LEGISLATION</b>	
S1	Knowledge of relevant European and British Standards including the national guidance document for surface treatments PD 6689 : 2009 published by British Standards Institute. .	
S2	Knowledge of BS & 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.	
S3	Awareness of general and relevant H&S legislation (e.g. HASAWA) as applicable to surface dressing and microsurfacing.	
	<b>COMPETENCY/TRAINING</b>	
C1	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.)	
C2	Auditors should be aware that the people in the organisation will need to:- <ul style="list-style-type: none"> <li>• Have achieved the appropriate training and competency modules/NVQ's</li> <li>• Be aware of and understand the system processes and documentation in which they are involved</li> <li>• Been inducted on specific equipment (by employer) or if appropriate (i.e.</li> </ul>	

	under training) are supervised by a qualified person	
T	TRAFFIC MANAGEMENT	
T1	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 measures.	
H	HEALTH & SAFETY	
H1	The Certification Body must 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.	
H2	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.	
H3	Be able to appraise the awareness of Technicians/operatives in terms of their H&S obligations with regard to the following:- <ul style="list-style-type: none"> <li>• Must be able to read and understand their job sheet, risk assessment etc; and have appropriate communication skills</li> <li>• Method Statements/work procedures</li> <li>• Risk Assessment</li> <li>• Induction card/skills card</li> </ul>	
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.)	
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 <ul style="list-style-type: none"> <li>• Operative/supervisor is aware of need to protect public during installation operations.</li> <li>• 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.</li> <li>• Where appropriate operative/supervisor is aware of HATO role.</li> <li>• Operatives/supervisors have identification.</li> <li>• The Organization(company) has a complaints procedure in place.</li> </ul>	
H7	Aware of current best practice including 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:- <ul style="list-style-type: none"> <li>• Operative/supervisor is aware of need to protect public during installation operations</li> <li>• Operative/supervisor has been trained to carry out a visual site risk</li> </ul>	

	<p>assessment to ensure that the public will not be put at risk during installation/maintenance operations</p> <ul style="list-style-type: none"> <li>• Where appropriate operative/supervisor is aware of the HATO role</li> <li>• Operatives/supervisors have identification on display</li> <li>• The Organization(company) has a complaints procedure in place</li> </ul>	
I	INSPECTIONS/ SITE	
I1	Aware of importance of inspection of Vehicles/loads and that drivers are adequately trained and suitably competent etc.	
I2	Able to undertake an effective site visit including assessment of installation (if possible) and surface dressing/microsurfacing techniques verified.	
I3	<p>Auditors should be aware of the importance of keeping plant and equipment properly maintained:-</p> <ul style="list-style-type: none"> <li>• Operative/supervisor is aware of appropriate legislation requirements</li> <li>• Maintenance checklists are available and have been completed on a regular (daily, weekly etc) basis</li> </ul>	
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 Agency, 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 slurry/microsurfacing companies with a method to gain entry to the scheme.

Slurry/Microsurfacing 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 audit 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

Any observations or feedback relating to this document or the process described herein may either be reported electronically through the Highways Agency's Standards Improvement System (SIS) or addressed to the Committee Secretary using the format below.

### a) Reporting Format

Sector Scheme Advisory Committee for Slurry/Microsurfacing  
c/o UKAS  
21 – 43 High Street  
Feltham  
Middlesex  
TW13 4UN  
Tel: 0208 917 8400  
Fax: 0208 917 8500

Problem Identified:

Suggested Action:

Name:

Organization:

Address:

Contact details:

Date:

### b) SIS is implemented through Highways Agency Standard HD34/03

**The Implementation and Use of Standards Improvement System (DMRB Volume 5 Section 3.1 (DMRB 5.3.1)). HD34 was published in November 2003 followed in December 2003 by the launch of SIS.**

SIS is the successor to the Quality Control Reporting System (QCRS) - a paper based system, which relied on designers to complete reports and Highways Agency staff to enter them on an old mainframe computer. The difficulty in entering reports and the fact that QCRS was perceived as a means of only recording defects with an emphasis on redress meant that QCRS had fallen into disuse.

**The revised system overcomes both of these shortfalls. SIS is simple to use being available to anyone with Internet Access and is aimed at improving standards rather than reporting defects. It also provides a feedback system to the original author to advise him of the actions being taken. (HD 34/03 can be accessed through the Highways Agency web-site ([http://www.highways.gov.uk/business/tech\\_info.htm](http://www.highways.gov.uk/business/tech_info.htm)) or directly via <http://www.official-documents.co.uk/document/deps/ha/dmr/vol5/section3/hd3403.pdf>)**

**NOTE: It will be necessary to be authorised to use the system, and in the first instance you are requested to contact the Specification and Policy Team by email to [standards\\_enquiries@highways.gsi.gov.uk](mailto:standards_enquiries@highways.gsi.gov.uk) who will provide assistance in this respect.**

## 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.

- (ii) Feedback or complaints relating to *alleged deficiencies in the service provided* by Certification

Bodies to applicant/certificated organizations should in the first instance be taken up with the Certification Body. In the event that the matter cannot be satisfactorily resolved, written complaints should be made to UKAS, copied to the Chairman of the Sector Scheme Advisory

**COMMITTEE (ADDRESS IN APPENDIX J1), USING THE FORM BELOW.**

Contact addresses may be obtained by following the procedures given in Appendix F or using the addresses listed in that Appendix.

Problem Identified:

Organization's Details:

Name:

Address:

Complaints

Name:

Organization:

Address:

Date: \_\_\_\_\_ Signed:

Note J1 should be used for feed back on the use of the SS D and any problem with the installed slurry/microsurfacing. Where there are concerns about the performance of a certifying body J2 should be used.

## 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 13B – Sector Scheme for the Supply and Application of Slurry/Microsurfacing.

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 13B for the Supply and Application of Slurry/Microsurfacing 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**

**An example of a certificate and appendix considered suitable for Slurry/Microsurfacing is given in Appendix K2**

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

**\*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."**

## APPENDIX K 2: EXAMPLE OF CERTIFICATE AND APPENDIX

Example Model Certificate of Registration.

<i>[Certification Body Name / Logos]</i>	
<b>CERTIFICATE OF REGISTRATION</b>	
<b>[ORGANIZATION NAME]</b>	
<i>[Organization Address]</i>	
<i>[Town]</i>	
<i>[County]</i>	
<i>[Post Code]</i>	
<i>[Certification Body Name]</i> issues this certificate to the above named company after assessing the company's quality management system and finding it in compliance with	
<b>BS EN ISO 9001:2008 AND THE FOLLOWING NATIONAL HIGHWAY SECTOR SCHEMES</b>	
For the following scope of registration	
<i>[List of appropriate highways related works].</i>	
National Highways Sector Schemes	
<b>[Sector Scheme number and Title]</b>	
<b>[Sector Scheme number and Title]</b>	
<i>[Sector Scheme number and Title]</i>	
Certificate Number:	<i>[Certificate Number]</i>
Issue Date	<i>[date]</i>
Renewal Date	<i>[date]</i>
Signature	
<i>[Name &amp; Title of Certification Body Official]</i>	
<b><i>[Certification Body standard footer: Name / Logo / UKAS Logo/NHSS Logo etc.]</i></b>	

*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]*

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

***[Certification Body standard footer: Name/ Logo/ UKAS Logo/NHSS Logo etc.]***

## APPENDIX L: GUIDANCE TO CLIENTS

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

The NHSS for Slurry/Microsurfacing is intended as a document for use by Clients to specify the minimum standards for quality, training and competence of Organizations used by them to install slurry/microsurfacing. However Clients are reminded of their contribution to the successful installation of slurry/microsurfacing:

- The Construction (Design and Management) Regulations 2007 apply
- The designer will require information on traffic flows and road surface data as essential inputs to the design of the slurry/microsurfacing.
- BSI will be publishing national guidance on the use of BS EN 12273 later in 2009 and the document will be published as PD 6689 : 2009.
- The “run in” period for BS EN 12273 is until the end of September 2009. Thereafter Clients should use CI 918 of the SHW and BS EN 12273 as the basis of procurement or seek advice as they may risk contravening the Construction Product Regulations.

### Road Death Investigations

Attention is drawn to the Police Road Death Investigation Manual and in particular sect3.9 and Appendix F of the Manual. The Manual provides information on the duties of highway authorities in respect of allegations of highway involvement and gives typical key questions that are likely to be asked of a highway authority during an investigation.

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 tests carried out.
- e) The quality of systems for traffic management
- f) Skidding resistance testing

Appendix F of the Manual provides examples of documentation likely to be required from a highway authority.

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.

### Schedule of Suppliers

Lantra Awards 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 Awards website [www.scheduleofsuppliers.com](http://www.scheduleofsuppliers.com) . However, it should be noted that only those Organizations that pay for entry onto the schedule are listed. The list of all registered installers registered is available by email at [NHSSscheduleofsuppliers@lantra.co.uk](mailto:NHSSscheduleofsuppliers@lantra.co.uk)