



# National Highways Sector Schemes for Quality Management in Highway Works

16  
For the laying of asphalt mixes

**Published by the Sector Scheme Advisory Committee for the Quality  
Management of the Laying of Asphalt Mixes**

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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 to the technical content of the document have been made in this edition. These and minor changes to the text are highlighted by sidelining.

## ISSUE STATUS

Issue No.	Date Published	Comments
1	March 2004	1 <sup>st</sup> Issue
2	February 2006	Amendments to identification of organisation representatives, update of list of accredited Certification Bodies, note on notification of Certification (App H), guidance on use of Appendix J, new Appendix K.
3	January 2007	No amendments to technical content - mainly editorial and formatting amendments. Update on list of accredited Certification Bodies.

### (February 2006) Revisions included in this document

Clause 3.3 deleted, organisation representatives to be identified by Clause 5.5 in a task-based manner.

Appendix C amended to reflect task-based identification of organisation representatives.

Appendix F amended to list/update contact details for accredited Certification Bodies (at the time of publication) and method of identifying accredited CBs.

Appendix H amended to highlight organisation responsibility for notification of certification to compilers of Schedule of Suppliers.

Appendix J1 & 2 amended to include more guidance on use of feedback forms.

New Appendix K on Interpretation of Certificates issued by Certification Bodies.

### (January 2007) Revisions included in this document

Clause 1 clarification of Scope and application of Scheme

Appendix B added references to European Specifications for Asphalt for implementation in 2008.

Appendix C added guidance for competency of delivery vehicle drivers

Appendix F addition of two further accredited Certification Bodies (at the time of publication).

Appendix K clarified text on interpretation of certificates issued by Certification Bodies.

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## COMPOSITION OF SECTOR SCHEME ADVISORY COMMITTEE

The Sector Scheme Advisory Committee for the Quality Management of the Laying of Asphalt Mixes has developed this scheme for the third party Quality Management of laying of asphalt mixes (except Mastic Asphalt) based on a standard core Assessment Schedule amplified by Appendices.

Organisations involved in drafting of this Scheme Document include:

Association of Public Service Excellence,  
British Aggregates Association,  
Civil Engineering Contractors Association,  
County Surveyors Society,  
Highways Agency,  
Quarry Products Association,  
UKAS,  
and Certification Bodies accredited against the Scheme.

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## SELECTION OF CERTIFICATION BODY

It is important to note that due to the specific requirements for assessor competence required by this Sector Scheme a technical expert may be appointed by the Sector Scheme Advisory Committee to assist UKAS in the assessment of Certification Bodies as described in Appendix G.

Prospective companies seeking registration under this scheme should ensure that they engage a Certification Body specifically accredited by UKAS to assess against the requirements of this SSD. Specifiers, consultants, engineers etc. that require confirmation of compliance with the Contract Specification in respect of Quality Management should confirm the current status of the quality management system certificate issuer and that specific reference is made to this Sector Scheme.

## INTRODUCTION

This Sector Scheme Document is a live document and will be amended as appropriate. Those using the document should always ensure that they have the current version. The United Kingdom Accreditation Service (UKAS) will act as custodian of the master copy of this Sector Scheme document and will make it available to any interested parties as necessary.

Any observations relating to this SSD should be addressed using the form from Appendix J1 directly to:-

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# ASSESSMENT SCHEDULE FOR THE QUALITY MANAGEMENT OF THE LAYING OF ASPHALT MIXTURES FOR ROADS AND OTHER PAVED AREAS

## FOREWORD

This schedule contains requirements for a quality management system for laying of asphalt mixtures. It interprets, where necessary, the requirements of BS EN ISO 9001: 2000 in specific relation to the laying of asphalt mixtures for roads and other paved areas, including those in which coated chippings are incorporated during laying but excluding Mastic Asphalt which is outside the scope of this schedule and is covered by separate QA procedures in the UK.

*NOTE 1: To accord with accepted European terminology, the term 'asphalt' used in this document, unless accompanied by a descriptor such as 'hot rolled' or 'stone mastic' is used in its generic sense to refer to the range of asphalt and coated macadam mixes traditionally used in the UK.*

*NOTE 2: Users of this scheme document should ensure that they are working to the latest edition. UKAS can advise on the date of the current edition.*

# 1. Scope

## 1.1 General

This schedule specifies requirements for quality management systems to be used by organisations laying asphalt mixtures, including those into which coated chippings are incorporated during laying, and interprets the requirements of BS EN ISO 9001: 2000 and should be read in conjunction with that Standard.

Such quality management systems have the aim of giving customers assurance that this process consistently conforms to the relevant technical specifications, in particular British Standards BS 594 and 4987 Parts 2.

## 1.2 Application

The schedule applies to site operations where asphalt laying is the main intended activity (during construction and/or maintenance) and not where it forms a supplementary or complementary activity e.g. reinstatement after installation of other services.

The scope of this schedule excludes the requirements of Clause 7.3 of BS EN ISO 9001: 2000 – Design and Development. Such exclusion does not affect the organisation’s ability, or responsibility, to provide service or product that meets customer and applicable regulatory requirements.

*Note: This exclusion arises because asphalt mixtures are generally laid to customer requirements.*

# 2. Normative References

The following normative documents contain provisions that, through reference in this text, constitute provisions of this schedule, and as such should be read in conjunction with this schedule.

- BS EN ISO 9000:2005, *Quality management systems. Fundamentals and vocabulary*
- BS EN ISO 9001:2000, *Quality management systems - Requirements*
- BS EN ISO 9004:2000, *Quality management systems. Guidelines for performance improvements*

*The structure of this schedule reflects the main clause numbering used in BS EN ISO 9001: 2000. Where no reference is included in this document, the requirements are as stated in BS EN ISO 9001:2000 without further qualification.*

# 3. Terms and Definitions

*For the purposes of this schedule, the terms and definitions given in BS EN ISO 9000: 2005 apply.*

## 3.1 General

The following terms are used in BS EN ISO 9001: 2000 to describe the supply chain and are adopted in this Schedule:



**NOTE:** *The term “organisation” in the context of this document (spelt as “organization” in BS EN ISO 9001: 2000) refers to the laying contractor that is accredited against this Scheme.*

## 3.2 Document Specific Definitions

- 3.2.1 **Asphalt** A mixture of mineral aggregate and normally a bitumen or modified-bitumen binder, although in some cases the binder may be non-bituminous, e.g. a clear resin binder as used in coloured/pigmented asphalt. To accord with accepted European terminology, the term ‘asphalt’ is used in this document, unless accompanied by a descriptor

such as 'hot rolled' or 'stone mastic', in its generic sense to refer to the range of asphalt and coated macadam mixes traditionally used in the UK.

**3.2.2 Technical Specifications** The Technical Specifications for asphalt laying are the specifications to which the organisation has contracted to work. These specifications may be British Standard specifications, customer-supplied specifications (normally based on British Standards) or, in the case of proprietary mixtures, product-specific or organisation-supplied specifications. A list of reference documents from which the Technical Specification is likely to be formed (using some or all of the documents) is given in Appendix B.

**3.2.3 Asphalt Pavement Layer** The result of the asphalt laying process; often known as the "asphalt mat". This definition applies to the pavement layer in either its compacted or uncompacted state, whether laid by hand or by machine. An asphalt pavement *course* can be made up from a number of layers.

## 4. Quality Management System

### 4.1 General requirements

The organisation shall operate a quality management system complying with the requirements of BS EN ISO 9001: 2000 as amplified by this schedule. Key elements suggested for inclusion are identified in Appendix A.

### 4.2 Documentation requirements

#### 4.2.1 General

The organisation shall establish and maintain quality management system documentation as required by both BS EN ISO 9001: 2000 and this schedule.

#### 4.2.2 Quality manual

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

The quality manual shall indicate the quality management system's compliance with this schedule and include a means for identifying and detailing the specific processes that directly affect the quality of the laid asphalt pavement layer.

#### 4.2.3 Control of documents

Documents required by the quality management system shall have controlled status.

#### 4.2.4 Control of records

Records are a special category of document and as such shall be established and maintained to provide evidence of conformity to this Scheme. All contract specific records shall remain confidential to the parties to the contract.

Records relating to Management Review, Internal Audit, 3rd Party Assessment and Inspection and Testing of incoming materials and the finished asphalt pavement layer shall be kept for a **minimum** of 6 years. All other quality records shall be kept, for a minimum period of 6 months beyond the end of the maintenance and/or guarantee period, whichever is the greater.

## 5. Management responsibility

### 5.1 Management Commitment

No specific interpretation in this document. See Clause 2 of this schedule.

### 5.2 Customer Focus

No specific interpretation in this document. See Clause 2 of this schedule.

### 5.3 Quality Policy

The organisation's Quality Policy shall demonstrate commitment to this Scheme.

#### 5.4 Planning

No specific interpretation in this document. See Clause 2 of this schedule.

#### 5.5 Responsibility, Authority and Communication

The organisation shall identify in the quality plan those persons with specific responsibility and authority for the management and implementation of contract requirements. Responsibilities should be identified in a task-based manner, with typical areas of responsibility likely to include:

- overall managerial responsibility for implementation of the asphalt laying operations and all contractual requirements,
  - technical interpretation of the requirements of the contract specification,
  - establishment and control of a laying operation to meet the requirements of the contract documentation,
  - safe and correct operation of all mobile plant and equipment used in the laying process,
  - control of the laying operation that will meet the requirements of the contract specification with particular reference to laying to line and level and to compaction of the pavement layer,
  - health, safety and environmental aspects of the laying operation,
  - traffic management responsibilities;
- such that the quality of the asphalt laying process is not compromised.

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

#### 5.6 Management Review

##### 5.6.1 General

At least annually, management shall review the quality management system to ensure its continuing suitability and effectiveness. This shall be an ongoing process.

## 6. Resource management

### 6.1 Provision of resources

All necessary facilities, equipment and personnel shall be available to carry out the required processes, inspections and tests in order to construct the asphalt layer(s) in the pavement.

### 6.2 Human resources

The training and assessment of operatives required by this Scheme is aimed primarily at technical competence for the laying of asphalt. Such training is also intended to provide awareness to carry out work in a safe manner, however it remains the responsibility of the Organisation to determine and implement safe systems of work.

Organisations shall demonstrate their commitment to development and training of personnel. Requirements for appropriate levels of competency, experience and qualification, training and staffing shall be determined and substantiated by the organisation. Suggested guidelines for the demonstration of competency requirements for organisation personnel are outlined in Appendix C.

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

*NOTE 2: As Temporary Traffic Management is likely to be a consideration in asphalt laying operations, the training and competency of operatives carrying out such work needs to be considered. Guidance for organisations certificated to this Scheme, but not for any of the Sector 12 Schemes for Temporary Traffic Management, can be found in Appendix M of the Sector 12 D*

### 6.3 Infrastructure (Plant & Equipment)

Requirements for levels of plant and equipment resources for contracts shall be determined and substantiated by the organisation. Suggested guidelines for equipment requirements are outlined in Appendix D.

## 7. Product realisation

### 7.1 Planning of product realisation

The general requirements of this clause, as outlined in Clause 7 of BS EN ISO 9001: 2000 shall be translated into more detailed process and/or site specific documented requirements.

### 7.2 Customer-related processes

#### 7.2.1 Determination of requirements related to the product (Contract review)

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

#### 7.2.2 Review of requirements relating to the product

The organisation's representatives shall, at the earliest opportunity prior to commencement of the laying operation, review and evaluate the technical aspects of the end product required and check the practicality of the proposed measures and work instructions, and also the organisation's ability to provide such product. Where appropriate this will include liaison with the customer and/or third parties, in particular the Highway or Road Authority, and the Police. When irregularities or inconsistencies with the specification, health and safety requirements or other concerns (including concern over the anticipated performance of the asphalt pavement course) are encountered, then these shall be brought to the attention of the customer for resolution.

Matters of a significant nature that arise during any contract review shall be considered in the management review and incorporated as necessary into the Quality Management System.

### 7.3 *Design and development*

*N.B. Clause excluded from the Scope of this Schedule*

This exclusion arises because asphalt mixtures are generally laid to customer-supplied requirements.

*Note: Such exclusion does not affect the organisation's ability, or responsibility, to provide service or product that meets customer and applicable regulatory requirements, nor to carry out design and development as part of its commitment to continual improvement.*

Expert advice should be sought for the structural design of paved areas and guidance on selection of materials.

### 7.4 Purchasing

#### 7.4.1 Purchasing processes

The control procedures shall verify that suppliers of incoming materials, equipment and services are capable of providing the required quality and adequate supplies in order to maintain the planned rate and quality of production of the asphalt pavement layer. Supplier performance shall be assessed and monitored by a nominated representative of the organisation, at a frequency to be determined by the organisation dependent on the period and quantity of supply.

For highway use, asphalt shall be supplied from plants registered to the Sector Scheme for Quality Management in Highway Construction No.14: Quality Assurance of the Production of Asphalt Mixes.

NOTE: This requirement **may** not apply to certain contracts e.g. airfields unless expressly specified in the contract documentation, but nevertheless is recommended.

#### 7.4.2 Purchasing information

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

#### 7.4.3 Verification of purchased product (asphalt)

Where supplies of asphalt are being drawn from a Sector14 Scheme manufacturing plant, it should not be necessary to sample at the laying site, as the results of routine quality testing on those materials being supplied to the organisation along with current relevant Q-level(s) of the plant may be obtained from the supplier. If these results indicate an unsatisfactory or lesser performance level than that required by the organisation, then this should be discussed with the supplier to ascertain any quality problems and remedial actions required (if not already informed by the supplier and accounted for by the organisation).

Verification of Q-level need not be site-specific but may take place prior to supply from the plant concerned, in order to provide assurance of the quality of asphalt supplies. Verification can be a continuous process.

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

Incoming asphalt shall be organoleptically (mainly visually) inspected before use. Such inspections shall be recorded. Samples of the delivered asphalt may be taken, at a rate to be determined to satisfy the needs of the contract/customer/material, and retained for testing in order to verify compliance with the specification.

### 7.5 Production and service provision

#### 7.5.1 Control of production and service provision

Quality management system documentation shall be established to describe the flow of materials and the processes carried out on them, including inspection and testing if required, from delivery through to hand-over to the customer. This shall incorporate a written method statement and/or flow diagram to demonstrate the process control measures, personnel and equipment necessary to maintain the quality of the asphalt pavement layer in conformity with the specification and the records that are to be established, and shall reflect any site specific requirements. (This will include the procedures for control of paving and compaction equipment.)

#### 7.5.2 Validation of processes for production and service provision

Where required by the contract documentation, samples of the laid asphalt pavement layer are to be taken in accordance with relevant Standards or methods by appropriately trained and competent personnel, who should be able to show evidence that he/she has received training in the sampling of asphalt mixes (see Appendix C).

#### 7.5.3 Identification and traceability

The asphalt when laid shall be identifiable and traceable with regard to its production data, which can be referenced from information on the delivery ticket.

#### 7.5.4 Customer property

The quality management system documentation shall include a procedure to be applied where the customer or an identified agent or representative supplies property or material (if required in the contract specification), to ensure that the property or material is safeguarded from damage, deterioration or misuse. This is particularly important where those products are not installed by the organisation itself e.g. third party sub-contract organisations such as kerb laying, drainage contractors etc.

NOTE: *This requirement also applies to asphalt material being laid by the organisation for, or on behalf of, the material supplier.*

#### 7.5.5 Preservation of product

The quality management system documentation shall contain procedures to ensure that the asphalt is handled, stored, discharged, laid and compacted with the minimum of segregation or degradation and at an appropriate temperature.

Different asphalt types or grades and all ancillary materials such as tack and bond coats and jointing materials shall be transported and stored on site, when required by the organisation, in such a manner as outlined in the appropriate material Standard/specification/ installation manual.

The quality management system documentation should describe the characteristics of any storage system or facilities e.g. at a central depot, or in a site-based hot box and define their mode of operation. The organisation should ensure through checks, inspections and records that such facilities are used correctly and that stored materials maintain their suitability for use. In order to detect deterioration, the condition of the product in stock shall be assessed at appropriate defined intervals.

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

#### 7.6 Control of monitoring and measuring devices

The quality management system documentation shall identify those items of plant and measuring equipment that require calibration and the frequency of such calibration. Equipment shall include, but not be limited to: thermometers, anemometers, linear measurement equipment and process recording devices e.g. vibratory roller frequency gauges and paver level devices.

Calibration procedures shall be provided for each type of measuring device, indicating the permitted tolerances for the equipment to remain in service. The quality management system documentation shall state the required accuracy of all equipment calibrations and shall identify any that require traceability to national standards. Equipment shall be calibrated and maintained at least in accordance with the manufacturers' recommendations or the relevant standard or a defined procedure, to ensure accuracy is maintained.

Relevant devices shall be checked on site daily to confirm that they are working and not damaged, and maintained to ensure that they continue to be capable of monitoring the processes involved in laying asphalt to the required specifications and tolerances. Calibration checks, daily inspection records and maintenance records shall be established and maintained.

*(Daily inspections do not imply or require full calibration procedures, but rational evaluation of the condition and likely accuracy of measuring equipment).*

## 8. Measurement, analysis and improvement

### 8.1 General

The quality management system documentation shall include a schedule for monitoring the performance of the processes, resulting in a record of performance against the stated tolerances of those processes.

### 8.2 Monitoring and measurement

#### 8.2.1 Customer satisfaction

No specific interpretation in this document. See Clause 2 of this schedule.

#### 8.2.2 Internal audit

Audits shall be scheduled such that the whole of the quality management system is audited at least annually. Activities on site are to be included in the scheduled audits on a representative number of operating gangs. Audits shall be carried out by suitably trained and qualified personnel.

### 8.2.3 Monitoring and measurement of processes

Inspection and site testing shall be carried out at least as frequently as required in the contract specification and additionally in accordance with the organisation's quality plan which shall address process control procedures to ensure adequate monitoring of all types of work.

The results of all inspections and tests carried out shall be recorded.

All sampling and testing required shall be carried out by suitably trained personnel in accordance with the relevant procedures.

### 8.2.4 Monitoring and measurement of product

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

## 8.3 Control of non-conforming product

### 8.3.1 General

The quality management system documentation shall identify the control procedures to be taken when non-conformity in materials, preparation or laying and/or in the finished asphalt pavement layer is identified. These may include measures such as: not permitting trafficking of the asphalt pavement, permit trafficking with speed or vehicle weight restrictions, monitoring the pavement etc.

Some inconsistencies and/or irregularities may not initially be reasonably evident or within the control of the organisation and can arise during or after the laying process. The organisation may seek concessions from the customer with regard to acceptance or repair as a result of such factors.

### 8.3.2 Resolution of non-conforming product

Non-conformity of the asphalt pavement layer(s) shall be reviewed and procedures for taking corrective action shall be followed. Corrective actions may include -

- (i) acceptance (by concession) of the non-conforming asphalt pavement layer(after laying);
- (ii) rejection and removal of the asphalt pavement layer(during or after laying);
- (iii) reworking of the asphalt until it does meet the required specification/tolerances (during or after laying);
- (iv) any other appropriate corrective actions described in the quality management system documentation.

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

## 8.4 Analysis of data

No specific interpretation in this document. See Clause 2 of this schedule.

## 8.5 Improvement

### 8.5.1 Continual improvement

No specific interpretation in this document. See Clause 2 of this schedule.

*NOTE: Guidelines for performance improvements of quality management systems are given in BS EN ISO 9004: 2000.*

### 8.5.2 Corrective action

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

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

#### 8.5.3 Preventative action

No specific interpretation in this document. See Clause 2 of this schedule.

## APPENDIX A

### SUGGESTED KEY ELEMENTS OF QUALITY MANAGEMENT SYSTEM

**NOTE:** Many of the “Generic” elements below (and supporting documentation for these) are likely to be drawn from the contract documents, or exist in a “skeleton” management system, into which the “Specific” elements will be drawn for each new site or contract and may require unique supporting documentation. This ‘checklist’ is not exhaustive but may assist an organisation to prepare/develop its quality system and procedures.

	Element	Generic (with examples)	Site/Project/ Product Specific
<b>General</b>	External auditing <ul style="list-style-type: none"> <li>procedures</li> <li>qualifications of auditors</li> </ul>	√ ISO 9000:2000 See Appendix G	
	Internal Auditing <ul style="list-style-type: none"> <li>procedures</li> <li>qualifications of auditors</li> </ul>	√ ISO 9000:2000 See Appendix G	
<b>Prior to works commencing</b>	Contract specification	BS / SHW / HAUC	√
	Quality Plan	√	√
	Contract Review		√
	Work Instructions	BS / SHW / HAUC	√
	Programme of works		√
	Health & Safety <ul style="list-style-type: none"> <li>risk assessments</li> <li>traffic management</li> </ul>	Sector Schemes / "Chapter 8" / NRSWA	√
	Equipment <ul style="list-style-type: none"> <li>Calibration &amp; maintenance</li> </ul>	BS / SHW / HAUC	√
	Personnel & structure <ul style="list-style-type: none"> <li>responsible staff</li> <li>training records</li> </ul>	√	√
	Materials <ul style="list-style-type: none"> <li>supplier approval</li> <li>customer approval</li> </ul>	BS / SHW / HAPAS SS 14	√
	<b>During installation</b>	Detailed programme of works	
Quality Plan		√	√
Work Instructions <ul style="list-style-type: none"> <li>machine lay } incl. tack &amp;</li> <li>hand lay } bond coats</li> </ul>		BS / SHW / HAUC	
Health & Safety <ul style="list-style-type: none"> <li>traffic management</li> <li>product safety data</li> <li>risk assessments</li> </ul>		Chapter 8/Sector Schemes 12/ COSHH	√

	Element	Generic (with examples)	Site/Project/ Product Specific
<b>During installation (continued)</b>	Health & Safety <ul style="list-style-type: none"> <li>• traffic management</li> <li>• product safety data</li> <li>• risk assessments</li> </ul>	Chapter 8/ Sector Schemes 12 / COSHH	√
	Laying records <ul style="list-style-type: none"> <li>• location, chainage, lane, etc.</li> <li>• layer thickness</li> <li>• condition of sub-strate</li> <li>• material type</li> <li>• delivery ticket nos.</li> <li>• material temperature</li> <li>• material visual inspection (incl. stockpiles)</li> <li>• weather</li> <li>• location of joints</li> <li>• stoppages</li> </ul>	√	√  Frequency in Technical Specification
	Supplier performance assessment	√	√
	Complaints <ul style="list-style-type: none"> <li>• customer</li> <li>• public</li> </ul>	√	√
	HAPAS products <ul style="list-style-type: none"> <li>• approved supplier</li> <li>• approved installer</li> </ul>	HAPAS	HAPAS
	Testing <ul style="list-style-type: none"> <li>• procedures</li> <li>• frequencies</li> <li>• material compliance</li> <li>• end product testing</li> <li>• tolerances(e.g. cross-fall, profile)</li> <li>• equipment calibration status</li> <li>• equipment condition checks</li> <li>• non-conformance and repair procedures</li> </ul>	BS / SHW / HAPAS / HAUC	√
<b>Aftercare</b>	Opening to traffic	BS / SHW	√
	Warranties and maintenance requirements (e.g. HAPAS)		√
	Complaints procedures	√	√
	As-built manual		√

## **APPENDIX B**

### **REFERENCE DOCUMENTS**

Note: *Amendments are made to these volumes on a regular basis. Users should check that they are consulting the appropriate or most recent version of the documents in relation to the contract specification.*

1. Manual of Contract Documents for Highway Works:  
Volume 1 - Specification for Highway Works (The Stationery Office)  
In particular the following series:

Series 000	Introduction
Series 100	Preliminaries
Series 700	Road Pavements – General
Series 900	Road Pavements – Bituminous Bound Materials
Series 1100	Kerbs, Footways and Paved Areas
Series 1200	Traffic Signs
Series 2000	Waterproofing for Concrete Structures
Appendices A-H	

Any additional or substitute clauses identified in the contract.

2. Manual of Contract Documents for Highway Works:  
Volume 2 – Notes for Guidance on the Specification for Highway Works (The Stationery Office)  
In particular the following series:

Series NG000	Introduction
Series NG100	Preliminaries
Series NG700	Road Pavements – General
Series NG900	Road Pavements – Bituminous Bound Materials
Series NG1100	Kerbs, Footways and Paved Areas
Series NG1200	Traffic Signs
Series NG2000	Waterproofing for Concrete Structures
Annex 1	Publications
Notes for Guidance on any additional clauses identified in the contract	

3. Manual of Contract Documents for Highway Works:  
Volume 3 – Highway Construction Details (The Stationery Office)
4. Design Manual for Roads and Bridges (The Stationery Office)
5. New Roads and Street Works Act 1991
6. Highway Authorities & Utilities Committee (HAUC) Specification for the Reinstatement of Openings in Highways
7. Traffic Signs Manual Chapter 8. Traffic Safety Measures and Signs for Road Works and Temporary Situations.
8. The Traffic Signs Regulations and General Directions.
9. UKAS Sector Scheme Documents
  - Scheme 7 - Application of Road Marking Materials and Road Studs to Road Surfaces
  - Scheme 12 – Temporary Traffic Management
  - Scheme 14 – Quality Assurance of the Production of Asphalt Mixes  
([http://www.ukas.com/information\\_centre/publications.asp](http://www.ukas.com/information_centre/publications.asp))
10. British Board of Agrément (BBA) Certificates
  - HAPAS - Roads and Bridges Certificates

<http://www.bbacerts.co.uk>)

11. Guidance for Safer Temporary Traffic Management - (HA, CSS and HSE)  
([www.highways.gov.uk/aboutus/corpdocs/gstt\\_may\\_02/index.htm](http://www.highways.gov.uk/aboutus/corpdocs/gstt_may_02/index.htm))
12. Temporary Traffic management on High Speed Roads - Good Working Practice - (HA, CSS, HSE, ACPO, QPA, NTMCFS, ACE, TMCA, Scottish Executive, Roads Service (NI), Welsh Assembly Government, TRL)  
([www.highways.gov.uk/aboutus/corpdocs/ttm\\_sept\\_02/index.htm](http://www.highways.gov.uk/aboutus/corpdocs/ttm_sept_02/index.htm))
13. British/European/ISO Standards
  - BS 4987 – Coated macadam (asphalt concrete) for roads and other paved areas – Part 1: Specification for constituent materials and for mixtures
  - BS 4987 – Coated macadam (asphalt concrete) for roads and other paved areas – Part 2: Specification for transport, laying and compaction
  - BS 594 – Hot rolled asphalt for roads and other paved areas – Part 1: Specification for constituent materials and asphalt mixtures
  - BS 594 – Hot rolled asphalt for roads and other paved areas – Part 2: Specification for transport, laying and compaction of rolled asphalt
  - BS EN 12591: 2000 – Bitumen and bituminous binders – Specifications for paving grade bitumens
  - BS 598 Parts 100, 101, 102, 104, 105, 107, 108, 109, 110, 111 - Sampling and examination of bituminous mixtures for roads and other paved areas
  - BS EN 13108 – Bituminous mixtures – Material specifications\*
14. Other product and application specifications and regulations issued by Government Departments, Statutory and Local Authorities, or any other specifications as appropriate, and agreed between the suppliers, the organisation, sub-contractors, and the customer.

\*The European Asphalt Specifications found in the BS EN 13108 series will be implemented in the UK on 1 January 2008 and will supersede British Standards 594 and 4987 (Part 1). British Standard BS 594987 will supersede BS 594 and BS 4987 Parts 2.

## APPENDIX C

### COMPETENCY GUIDELINES

Note: The table below is AN EXAMPLE of how an organisation might wish to demonstrate its training policy.

Training/ Qualification Requirements	Organisational Representatives (Typical designations)*					
	Contract Manager	Technical Manager	Surfacing Foreman	Surfacing Supervisor	Operatives	Trainee Operatives <sup>4</sup>
CSCS/CSR(NI) registration <sup>†1</sup>	Essential	Essential	Essential	Essential	Essential	Essential
Plant and equipment operation <sup>2</sup> (e.g. EPIC Mobile Plant Operative Competence Certificate) <sup>†</sup>	Preferred	Preferred	Preferred	Preferred	Essential	Essential aim
N/SVQ 2 <sup>†</sup> Construction & Civil Engineering Services <sup>3</sup>	Preferred	Preferred	Essential	Essential	Essential	Essential aim
N/SVQs 3-4 <sup>†</sup> Construction Contracting [TBC] <sup>3</sup>	Essential [Level 4 award]	Preferred [Level 4 award]	Essential [Level 3 award]	Essential [Level 3 award]	N/A	N/A
N/SVQs 2-3 <sup>†</sup> Laboratory and Associated Technical Awards <sup>3</sup>	N/A	Essential Appropriate Professional Qualification	N/A	N/A	N/A	N/A
<b>N.B.</b> Any individual undertaking sampling duties should have an NVQ level 2 qualification or equivalent. Drivers of delivery vehicles to paving sites should carry the EPIC Drivers Skillscard (or equivalent).						

\* The quality plan shall identify individuals with responsibilities for **key tasks** which may fall outside the remit of those qualifications identified under specific job titles. The job titles noted are typical but not necessarily required to be filled within any organisation. Qualifications and competency of all individuals shall be suitable to enable them to perform those tasks identified as their direct responsibility and also in order to meet the requirements of the contract.

<sup>1</sup> Current health and safety knowledge is essential requirement for CSCS/CSR(NI) registration.

<sup>2</sup> Part of the requirements for CSCS/CSR(NI) card via industry accreditation route.

<sup>3</sup> Part of the requirements for CSCS/CSR(NI) card via the N/SVQ route.

<sup>4</sup> Trainees will be under supervision of competent personnel at all times.

<sup>†</sup> Or equivalent competency assurance in an appropriate discipline.

[N.B. Organisations are reminded of their need to commit sufficient resource to enable individuals to obtain qualifications and competence].

NOTE: For management positions, membership of an appropriate Professional Body is desirable.

## **APPENDIX D**

### **PLANT AND EQUIPMENT RECOMMENDATIONS**

- Plant and equipment should be allocated to contracts so as to allow for provision of reserve equipment in the case of breakdown, where necessary.

#### **Organisation-owned Equipment**

- Maintenance schedules, including 'Planned Preventative Maintenance', and provision for updating equipment to include new mechanical and control innovations, should be in place.
- Maintenance records should be kept and made available for inspection when necessary.

#### **Hired-in Equipment**

For many contracts it may be both logistically and financially more viable to employ hired equipment rather than organisation-owned equipment. In such circumstances, the organisation should assure itself of the satisfactory suitability, operation, calibration and maintenance of the equipment.

Ideally, suppliers of equipment should be certificated to BS EN ISO 9000 series.

# APPENDIX E

NOT USED

## **APPENDIX F**

### **CERTIFICATION BODIES ACCREDITED AGAINST THIS SCHEME**

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' in drop-down menu
- move across to 'Certification Body Schedules' in side-menu and left click on this to take you to the list of schedules
- scroll down past Table: 'Key Abbreviations' to paragraph: ' To **search within the schedules**' - click on 'Advanced Search'
- type 'Highway Sector Scheme No 16' in the Keyword(s) box and tick the square next to 'Search UKAS documents'
- left click on 'Search'
- search result then lists the Certification Bodies which are accredited and their details can be found by clicking on the appropriate links.

At the time of publication of this Edition of the Scheme Document the following bodies have been accredited to certificate against this Scheme:

<p>BSI BSI Management Systems PO Box 9000 Milton Keynes MK14 6WT Contact: John Syddall Tel: +44(0)845 080 9000 Fax: +44(0)845 080 9000 E-Mail: <a href="mailto:John.Syddall@bsi-global.com">John.Syddall@bsi-global.com</a> Website: <a href="http://www.bsi-global.com">www.bsi-global.com</a></p>	<p>Lloyds Register QA The LRQA Centre Hiramford Middlemarch Office Village Siskin Drive Coventry CV3 4FJ Contact: Jenny Butler Tel: +44(0)24 7688 2399 Enquiries: +44 (0)24 7688 2343 Fax: +44(0)24 7630 6055 E-Mail: <a href="mailto:enquiries@lrqa.com">enquiries@lrqa.com</a> Website: <a href="http://www.lrqa.com">http://www.lrqa.com</a></p>
<p>SGS United Kingdom Ltd Rossmore Business Park Ellesmere Port CH65 3EN Contact: Mr M Byron Tel: +44 (0) 1642 567926 Fax: +44 (0) 1642 567928 E-Mail: <a href="mailto:ukenquiries@sgs.com">ukenquiries@sgs.com</a> Website: <a href="http://www.sgs.co.uk">www.sgs.co.uk</a></p>	<p>ISOQAR Limited First Floor West Point 501 Chester Road Manchester M16 9HU Contact: Mr S Stubley Tel: +44(0)161 877 6914 Fax: +44(0)161 877 6915 E-Mail: <a href="mailto:enquiries@isoqar.com">enquiries@isoqar.com</a> Website: <a href="http://www.isoqar.com">www.isoqar.com</a></p>
<p>BM Trada Certification Ltd Stocking Lane Hughenden Valley High Wycombe BUCKINGHAMSHIRE HP1 4NR Contact: Mr David James Tel: +44 (0) 1494 569700 Fax: +44 (0) 1494 565487 Email: <a href="mailto:enquiries@bmtrada.com">enquiries@bmtrada.com</a> Website: <a href="http://www.bmtrada.com">www.bmtrada.com</a></p>	<p>National Standards Authority of Ireland (NSAI) Glasnevin Dublin 9 Rep of Ireland Contact: Mr Fergal O'Byrne Tel: 00 353 (0)1 807 3962 Fax: 00 353 (0)1 807 3825 E-Mail: <a href="mailto:fergal.obyrne@nsai.ie">fergal.obyrne@nsai.ie</a> Website: <a href="http://www.nsai.ie">www.nsai.ie</a></p>
	<p style="text-align: center;">Continued.....</p>

<p>Quality Scheme for Ready Mixed Concrete (also T/A Construction Products Certification) 1 Mount Mews High Street Hampton MIDDLESEX TW12 2SH Contact: Mr C A Head Tel: +44 (0) 20 8941 0273 Fax: +44 (0) 20 8979 4558 Email: <a href="mailto:colin@qsrmc.co.uk">colin@qsrmc.co.uk</a> Website: <a href="http://www.qsrmc.co.uk">www.qsrmc.co.uk</a></p>	<p>QA International Certification Ltd Cleveland Hall Cleveland Street Darlington COUNTY DURHAM DL1 2PE Contact: Mr A Carter Tel: +44 (0) 1325 384272 Fax: +44(0) 1325 480980 Email: <a href="mailto:ukregister@aol.com">ukregister@aol.com</a> Website: <a href="http://www.members.aol.com/ukregister">www.members.aol.com/ukregister</a></p>
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NOTE: UKAS should be contacted to confirm the accreditation status of any particular Certification Body.

## **APPENDIX G**

### **ROLE OF THE CERTIFICATION BODY**

1. The Certification Body shall be accredited by UKAS to issue certificates for quality management systems in accordance with BS EN ISO 9000 family of Standards, and this Sector Scheme Document.
2. The Certification Body (CB) shall ensure that organisations being assessed satisfy the requirements of BS EN ISO 9001: 2000 and Part 1 of this Schedule.
3. The CB shall visit each organisation at least annually and carry out ***process and system*** audits. Assessment visits shall include a site visit to observe asphalt laying work in progress. Every aspect of the quality management system shall be assessed over a 3-year period.

The annual audit shall pay particular attention to the management review, internal audits, corrective and preventive actions and the speed of such actions and be a representative sample of the number of laying gangs in the organisation. Significant non-compliances will require re-audit to confirm satisfactory discharge.

4. The Certification Body shall make reference to this Sector Scheme Document in any Certificate of Registration issued to an asphalt-laying organisation against the Scheme.
5. The Certification Body Group shall provide feedback on the effectiveness of the Scheme to the Sector Scheme Advisory Committee, identifying where deficiencies may exist, providing recommendations on how to improve the Scheme.
6. Support and originate data for a database of organisations currently registered against the Scheme, with some facility for public access and notification of organisations that are successful in application, or that have been removed from the register.
7. Maintain the expertise to meet the accreditation requirements of the Scheme.

***It is anticipated that the personnel carrying out the audit possess a demonstrable expertise of the highway construction and surfacing industry, with broad knowledge of: relevant specifications, the material types and characteristics, surfacing methods and techniques in order to understand the controls necessary to ensure delivery of a conforming product (see Auditor Skill Requirements, below).***

# AUDITOR SKILL REQUIREMENTS

## Qualifications

- |   |           |
|---|-----------|
| 1. Degree, HND or HNC in civil, construction engineering discipline or other appropriate qualification (i.e. Technological or Science based qualification).           | Preferred |
| 2. Member of the IAT, IHT, ICE or other similar organisation. (May be met by experience).   | Preferred |
| 3. Registered lead auditors.  | Essential |
| 4. Item 1 and 2 may be replaced if a Lead Auditor has been part of an assessment team, lead by another meeting criteria 1 and 2 above, on at least 3 other occasions. |           |

## Experience/Skills

Thorough understanding and knowledge of current asphalt laying and site testing processes. Essential

Good understanding of other aspects of asphalt technology: Preferable

This ***may*** include:

- Production and transportation of asphalt
- binder properties/effects of storage
- plant maintenance/operation
- obtaining samples and testing

*NOTE: Auditors visiting sites should be aware that they may well be required to possess as a minimum, a yellow CSCS visitors card, which is issued on successfully passing the CITB Health & Safety touch screen test.*

# **APPENDIX H**

## **ORGANISATION ACCEPTANCE AND GUIDELINES FOR NEW APPLICANTS**

### **ORGANISATION ACCEPTANCE**

For work carried out on roads managed by the Highways Agency or its' designated agent, the Highways Agency has stated that from 1 July 2005 only those organisations holding a valid Certificate of Registration for work within the scope of this Sector Scheme Document will be accepted.

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

It will be the responsibility of the Certificated organisation to inform the compilers of the Schedule of Suppliers (currently LANTRA Awards) that it has received certification against the Scheme within 14 calendar days of confirmation of certification - this shall be a requirement for newly certificated organisations and those renewing certification. Organisations shall additionally inform the Secretary of the Advisory Committee to the Scheme of when they receive first certification and/or have certification renewed.

Certification Bodies shall notify the Secretary of the Advisory Committee to the Scheme and the compiler of the Schedule of Suppliers when an organisation is de-certificated. This will enable an accurate and extant database of certificated organisations to be maintained for public information and reference (<http://www.lantra-awards.co.uk/highways.htm>).

### **GUIDELINES FOR NEW ENTRANTS**

Compliance with the scheme can only be fully assessed by approved Certification Bodies through an evaluation when work is in progress. Applicants should therefore consider any seasonality they may experience in the scope of their works before beginning the certification process.

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) Organisations must have sufficient appropriately experienced and qualified key operatives, supervisors and staff, typically meeting or exceeding the competency guidelines in Appendix C of the Schedule.
- ii) Organisations must have applied for registration with a Certification Body accredited by UKAS to audit against this Scheme (see Appendix F).
- iii) Documented procedures must be in place (to the satisfaction of the Certification Body) to demonstrate that the organisation can comply with the requirements of the Scheme. A temporary certificate, based on those procedures, may be granted and will be valid for a maximum period of 12 months.
- iv) Site audits must be carried out to provide full compliance with the Scheme. Wherever possible, these audits should be carried out concurrently with the system audit, and at least within 6 months.
- v) Full certification will then be granted verifying that the Scheme criteria have been met.

## **APPENDIX J1**

### **FEEDBACK RELATING TO 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 the Quality Management of the Laying of Asphalt Mixes  
c/o UKAS  
21 – 43 High Street  
Feltham  
Middlesex  
TW13 4UN  
Tel: 0208 917 8400  
Fax: 0208 917 8500

Problem Identified:

Suggested Action:

Name:

Organisation:

Address:

Contact details:

DATE:

## **APPENDIX J2**

### **FEEDBACK RELATING TO CERTIFICATION ISSUES**

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 Organisation. In the event that the matter cannot be satisfactorily resolved, written complaints should be made to the Organisation'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 organisations 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 procedure given in Appendix F.

Problem Identified:

Organisation's Details:

Name:

Address:

#### **Complainant**

Name:

Organisation:

Address:

Date:

Signed:

# **APPENDIX K**

## **THE INTERPRETATION OF CERTIFICATES ISSUED BY CERTIFICATION BODIES**

Certification Bodies (CBs) 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 addenda 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 Highways Sector Scheme (NHSS) CoR is only issued by a Certification Body 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:

- a) The scope of registration including specific registration to BS EN ISO 9001:2000 and this NHSS including the Sector Scheme title - National Highway Sector Scheme 16 for the Laying of Asphalt Mixes.
- b) The identification of each and every location to which the CoR is applicable.
- c) The services/product offered by the Organization at each location identified on the CoR for NHSS 16 for the Laying of Asphalt Mixes and any applicable categories with associated typical sub-categories where applicable.
- d) Logos for the NHSS, UKAS (or equivalent) and the Certification Body.
- e) The name and address(es) of the Organization
- f) The validity of the certificate (ISO 9001 – 3 years)
- g) A unique reference number/code
- h) The signature of a relevant Certification Body official with his name and title

Categories of operations are:

- Machine laying
- Hand laying

The following are example models for certificates.

Figure 1 shows the scope of registration for a generic certificate.

Figure 2 shows an example of a generic Appendix.

Figure 3 shows the scope of a typical Certificate of Registration for asphalt laying applications.

Figure 4 shows an Appendix to the Certificate of Registration for asphalt laying applications.

Note: *[The italic text in square brackets shown on the examples indicates where specific text would need to be included.]*

Figure 1 Example Model Certificate of Registration.

*[Certification Body Name / Logo]*

**C E R T I F I C A T E   O F   R E G I S T R A T I O N**

*[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 9001:2000 AND THE FOLLOWING NATIONAL HIGHWAY SECTOR SCHEMES**

For the following scope of registration  
*[List of appropriate highways related works].*  
National Highways Sector Schemes  
*[Sector Scheme number and Title]*  
*[Sector Scheme number and Title]*  
*[Sector Scheme number and Title]*

*[(Appendix ... details the full scope of registration and Appendix ... details the locations covered by this registration)]*

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

Signature

*[Name & Title of Certification Body Official]*

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

Figure 2 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>
<i>[Depot 1 New road, Newtown]</i>	<b><i>[Sector Scheme Number and title]</i></b>	<b><i>[Detailed scope]</i></b>
<i>[Depot 2 Old Road, Oldtown]</i>	<b><i>[Sector Scheme Number and title]</i></b>	<b><i>[Detailed scope]</i></b>

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

Figure 3: Example Model Certificate of Registration for Asphalt Laying

*[Certification Body Name / Logo]*

**C E R T I F I C A T E   O F   R E G I S T R A T I O N**

*[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 9001:2000**  
**AND**  
**NATIONAL HIGHWAY SECTOR SCHEME 16**

For the following scope of registration

*Asphalt Laying*

National Highways Sector Schemes

*16 - National Highway Sector Scheme for Asphalt Laying*

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

Signature

*[Name & Title of Certification Body's Official]*

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

Figure 4: Example Model Appendix to Certificate of Registration for Asphalt Laying

***[Certification Body Name / Logo]***

APPENDIX 01

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:**

*Asphalt Laying*

National Highway Sector Schemes

*16 - National Highway Sector Scheme for Asphalt Laying*

<b><i>Depot, Regional Office etc</i></b>	<b><i>Applicable National Highway Sector Scheme(s)</i></b>	<b><i>Scope of Registration</i></b>
<i>Depot1 New Road, Newton</i>	<i>NHSS 16 for Asphalt Laying</i>	<i>Machine laying, hand laying</i>
<i>Depot 2 Old Street, Oldham</i>	<i>NHSS 16 for Asphalt Laying</i>	<i>Hand laying</i>

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