



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

SCHEME 12C

**Particular Requirements for the Application of ISO 9001:2015 for
Mobile Lane Closure Traffic Management on Motorways and Other
Dual Carriageways**

Published by Sector Scheme Advisory Committee for Traffic Management (SSACTM)

Endorsed for publication by the Chairman of the SSAC

Name: The Chair of the NHSS 12C Committee

Date: 01 November 2018

Document Control

Issue Statement

12C ISO 9001:2015

Issue 1 [9001:2015]

01 October 2016

Issue 2 [9001:2015]

01 November 2018

Revisions

Future amendments will be noted as follows:

Significant Revisions are listed below. Where any changes are made the text has been annotated with the latest date of the revision.

Example of text amendment:

(Mm/yy) This Sector Scheme is one of the series of NHSSs, which are bespoke integrated management schemes within an ISO 9001:2015 framework that have been developed to interpret BS EN ISO 9001:2015 as it applies to a particular activity/industry within the United Kingdom.”

Issue 2 – November 2018 Revisions

Composition of Sector Scheme Advisory Committee – Amended

Implementation – Amended

Introduction no. 1 and 4 – Amended

Normative Reference – Links Amended

Terms, Definitions and Abbreviations – Amended

Particular Requirements (4.4.2, 7.1.2, 7.13, 7.2, 7.5.3.2, 8.2.2, 8.3.1, 8.5.1 vii, 9.2.2) – Amended

Appendix A 2.2 – Amended

Appendix B Bibliography – Amended

Appendix C – Amended

Appendix C1 - Removed

Appendix G1 2B – Amended

Appendix O – Replaced

Appendix P - Added

Contents

	Page No
Cover Sheet	1
Document Control	2
Contents	3
Composition of Sector Scheme Advisory Committee, Exclusion of Liability, Copyright, Selection of Certification Body & Implementation	5-6
Introduction	7-8
Particular Requirements for the Application of ISO 9001:2015	
1. Scope	9
2. Normative Reference	9
3. Terms and Definitions	10-13
4 - 10. Quality Management System Requirements	14-30
Appendix A: Requirements for Quality Plans	26
Appendix B: Reference and Associated Documents, (Bibliography)	28
Appendix C: Training and Assessment of Competency Health and Safety	30-35
Appendix D: Example Register of Personnel Attainments	36
Appendix E: Guidance for The Control of Monitoring and Measuring Equipment (not used)	37
Appendix F: Certification Bodies Accredited for this Sector Scheme	38
Appendix G: The Role of Certification Bodies and Auditor Qualifications	39
Appendix G1: Guidance to Certification Body Auditors and Other Auditors	43
Appendix H: Organization Acceptance and Guidelines for New Entrants	52
Appendix J1: Feedback to Committee Chairperson	54
Appendix J2: Feedback to Certification Bodies &/or Notified Bodies	55
Appendix J3: Feedback to Client Bodies on Policing of NHSS Registration	56

Appendix K:	The Interpretation of Certificates Issued by Certification/Inspection Bodies	58
Appendix L:	Guidance for Clients	59
Appendix M:	Guidance for Organizations (not used)	62
Appendix N:	Guidance on the Relationship between this NHSS and other NHSS's (not used)	63
Appendix O:	How to Register on the Schedule of Suppliers	64
Appendix P:	Plant Maintenance	65

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

Composition of Sector Scheme Advisory Committee

(11/18) a) Full Members

ADEPT
APSE - Association of Public Service Excellence
Lead Certification Body (BSI)
Civil Engineering Contractors Association
Highways and Construction Training Association
Highways England
Highways Term Maintenance Association
Lantra
Mobile Lane Closures Contractors Association
Traffic Management Contractors Association
UKAS*
*Only when required
Welsh Government

(11/18) b) Corresponding Members

Accredited Certification Bodies to this scheme
DBFO Cos
Transport Northern Ireland
Health and Safety Executive
Institute of Vehicle Recovery
Society of Chief Officers of Transportation in Scotland (SCOTS)
Transport Scotland
UKAS

Exclusion of Liability

The Sector Scheme Advisory Committee for Mobile Lane Closures

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

Copyright

Permission is granted to reproduce and distribute this document subject to the restriction that the complete document must be copied without alteration, addition or deletion. This is subject to material not being used in a derogative manner or in misleading context. The source of the material must be acknowledged as SSAC12C copyright and the title of the document must be included when being reproduced as part of another publication or service.

Selection of Certification Body

It is important to note that due to the specific requirements for assessor competence required by this Sector Scheme a technical expert may be appointed by the Sector Scheme Advisory Committee to assist UKAS in the assessment of Certification Bodies (CB) as described in Appendix G (clause 3.1).

Prospective companies seeking registration under this scheme should ensure that they engage a Certification Body specifically accredited to assess against the requirements of this SSD. Specifiers, consultants, engineers etc. that require confirmation of compliance with the Contract Specification in respect of a supplier or the supply of products/materials should confirm the current status of the quality management system certificate issuer and that specific reference is made to this Sector Scheme on the Certificate of Registration (See Appendix K).

Implementation

^(11/18) Issue 2 ISO 9001:2015

This document has been produced to supersede the issue 1 of the ISO 9001:2015 document.

Following publication of this document the organization shall implement the changes within 2 months of the publication of a new version of the document being available, in time for their surveillance visit or assessment visit by the Certification Body.

The Certification Body shall assess the organization against the latest edition of the scheme at their next surveillance/assessment visit of an organization but at least within 14 months of the publication of a new version of this sector scheme document.

Where the surveillance/assessment visit of an organization occurs within two months of the publication of a revision, such assessment may be undertaken against the previous edition subject to compliance with the paragraph above.

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

Introduction

- 1 ^(11/18) This Sector Scheme Document (SSD) relates to the quality management system requirements for Mobile Lane Closures on dual carriageways. It sets out to identify particular requirements and applications of ISO 9001:2015 for organizations and Certification Bodies engaged in the sector, and the minimum qualifications that an assessor/auditor requires. The document shall be read in conjunction with ISO 9001:2015, Chapter 8 of the Traffic Signs Manual and relevant Interim Advice Notes or successor documents issued by Highways England.
- 2 This Sector Scheme is one of the series of National Highway Sector Schemes (NHSSs), which have been developed as bespoke integrated management schemes within an ISO 9001 framework to provide particular requirements/applications for ISO 9001:2015 as applicable to a particular infrastructure related activity/industry within the United Kingdom.
- 3 Separate Sector Scheme Advisory Committees (SSACs) for each activity within the sector provide advice to the United Kingdom National Accreditation Body or any recognised European National Accreditation Body or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory (UKAS) and expert representation is drawn from all sides of industry. Each SSAC determines the particular requirements for ISO 9001 in relation to the requirements of their particular activity and comes to a consensus on the minimum levels of workmanship, services, products, testing, and the training and competency of personnel, as appropriate, required to meet specification requirements as well as identified requirements in respect of environmental and health & safety and other aspects. The details are contained in the individual Sector Scheme Documents (SSDs). Following the publication of a revised ISO 9001, the committees will review their documents to ensure alignment with the revised ISO 9001 to ensure that the SSD does not conflict with the international standard.
- 4 The individual NHSS technical advisory committees are overseen by the National Highway Sector Scheme Liaison Committee (NHSSLC). This Committee provides a forum for discussion on the effectiveness of the Sector Schemes and co-ordinates developments so that they can be uniformly taken forward by each of the NHSS technical advisory committees. It is also the venue where dialogue with UKAS and the Certification Bodies on the application of the Sector Schemes takes place. ^(11/18) The NHSSLC is also responsible for producing NHSS 0, which provides details of the scheme's governance.
- 5 NHSSs together with ISO 9001 are designed to:
 - Provide an industry benchmark
 - Identify risks and opportunities
 - Ensure that all processes are planned
 - Provide a basis for continuous improvement
 - Focus on quality as an objective
 - Reduce costs for Client and Organization
 - Provide and maintain a properly trained and competent workforce
 - Involve all sides of industry in scheme ownership within a partnership framework
 - Provide the basis for the technical knowledge and experience that Certification Body auditors will use in the sector concerned
 - Promote confidence in quality management systems through provision of a robust transparent system

- 6 This Sector Scheme shall apply where specified by the Client in their Contract Documents.
- 7 In using this Sector Scheme users shall use best practice such as specifying any other relevant NHSSs as appropriate to the nature of the work being undertaken.
- 8 The scheme is included in Appendix A of the Specification for Highway Works (SHW) as a mandatory requirement for suppliers (and their supply chain) contracted to Highways England where the SHW is a contractual document. The use of the SHW as the basic document for procuring highway works by other highway authorities would normally automatically call up conformity with ISO 9001 and this SSD.
- 9 The SSD is a live document with the SSAC12C meeting at least once a year to review it as appropriate. Those using the document shall ensure that they have the current version of the document. The SSD may currently be obtained by visiting the UKAS website (www.ukas.com) from where the document can be freely downloaded.

Note: Information on relevant Certification Bodies may be obtained from the UKAS website.

- 10 This NHSS document is date specific; organizations should have processes in place to ensure that the latest version is always available. Organizations should be aware that utilisation of internet search engines may result in out of date references being identified/called up.
- 11 Lantra hosts the register of organizations on their website (www.scheduleofsuppliers.co.uk). This is a self-registration list and it is a requirement of this scheme that organizations register their details on this website and keep them up to date; Certification Bodies will check that the organization is registered on the website together with all relevant information, including a pdf copy of the current certificate of registration that the Certification Body issues prior to annual and surveillance visits.
- 12 Scheme Feedback:
Any observations, complaints or feedback relating to the operation of this document and the scheme should be addressed using the procedures given in Appendices J1, J2 or J3 as appropriate. Appendix J1 is to be used for observations and general queries concerning the document and general feedback. Appendix J2 relates to the assessment process carried out by Certification Bodies. Appendix J3 relates to policing of the scheme.
Completed J1 forms should be sent to the committee secretary:
Completed J2 forms should be sent directly to the relevant Certification Body.
Completed J3 forms should be sent to the relevant Highway Authority, client or HSE as appropriate and indicated on the form

- 13 Scheme Contact:
The Secretary, Sector Scheme Advisory Committee for NHSS12C
Lantra
Lantra House
Stoneleigh Park
Nr. Coventry
Warwickshire
CV8 2LG

Particular Requirements for the Application of ISO 9001:2015

1. Scope

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

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

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

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

NOTE 2 Statutory and regulatory requirements can be expressed as legal requirements.

This SSD together with ISO 9001, Chapter 8 of the Traffic Signs Manual and Interim Advice Notes or successor documents issued by Highways England describes the quality management system requirements to be established by organizations providing Mobile Lane Closures on dual carriageways.

The document provides particular requirements for the application of this scheme additional to the requirements of ISO 9001:2015 for this industry and shall be read and implemented in compliance with that standard.

This scheme is not intended to replace other contractual requirements.

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

2. Normative Reference

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

- BS EN ISO 9000:2015 Quality Management Systems – Fundamentals and Vocabulary
- BS EN ISO 9001:2015 Quality Management Systems – Requirements and normative references within it

- ^(11/18) BS EN ISO 9004:2018 Quality Management Systems – Quality of an organization – Guidance to achieve sustained success
- NHSS 0 – Guide to the identification, Development Management and Certification of National Highway Sector Schemes
- ^(11/18) Chapter 8 – Traffic Signs Manual Parts 1 and 2

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/203669/traffic-signs-manual-chapter-08-part-01.pdf

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/203670/traffic-signs-manual-chapter-08-part-02.pdf

3. Terms, Definitions and Abbreviations

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

The following additional terms and definition shall apply:

Certificate of Registration/Approval:	<p>A certificate issued by an UKAS accredited Certification Body certifying that the holder operates a Quality Management System complying with BS EN ISO 9001:2015 and this SSD. The Certificate will state the category(ies) of work that the holder is competent to supply (see Appendix K) and ^(11/18) NHSS 0 as well as referencing this sector scheme</p> <ul style="list-style-type: none"> • Dual carriageways without hard shoulders • Dual carriageways with hard shoulders
Client:	<p>The body for which the work is being carried out e.g. Highway Authority. ^(11/18) Client has a particular definition made under CDM Regulations.</p>
Contract Specification:	<p>The technical requirements of the contract agreement. For example, the following may apply:</p> <ul style="list-style-type: none"> i) Manual of Contract Documents for Highway Works: Volume 1: The Specification for Highway Works or as specifically required in the contract documents. ii) Contract Specific Appendices iii) The Contract Drawings

Convoy	A chain of MLC vehicles.
(11/18) Customer:	In the context of this document 'Customer' is synonymous with 'Client' and has been retained for consistency with definitions in ISO 9000:2015.
(11/18) Impact Protection Vehicle (IPV)	As described in Chapter 8 Part 2 Section 05.4.2 to 05.5.5.
IPV Driver	An Operative who has successfully undergone training and assessment and is additionally registered with Lantra.
(11/18) Lantra	The appointed Body for administrating the Temporary Traffic Management training and assesment and awarding of smart cards and certificates.
(11/18) MCCT	Mobile Carriageway Closure Technique - refer to Chapter 8 Part 2 Section O11.
(11/18) MLC	Mobile Lane Closure Technique– refer to Chapter 8 Part 2 Section O10
MLC Block Vehicle	A vehicle in accordance with the requirements of Chapter 8 Part 2 Section O10.
MLC Operative	A person who works under the control of an MLC Supervisor and is directly involved with the installation, maintenance or removal of the MLC traffic management measures.
(11/18) MLC Operative trainee	A person that has completed the prerequisite training but has not completed or is in the process of being assessed.
MLC Planning Officer ¹	The person named in the organization's Quality Plan as having the responsibility, approved training and experience for the planning of the establishment, modification and removal of MLC traffic management and implementation of the requirements of the Contract Specification.
MLC Supervisor	The person named in the organization's Quality Plan as having the responsibility, training and experience to control MLC traffic management measures to meet the requirements of the Contract Specification.
(11/18) MLC Supervisor trainee	A person that has completed the prerequisite training but has not completed or is in the process of being assessed.
(11/18) MLC Traffic Management	Mobile Lane Closure Technique– refer to Chapter 8 Part 2 Section O10 and Section O11.

Must	Refer to Chapter 8 Part 1 D1.5 and Part 2 O1.5.
organization	The organization responsible for the installation, maintenance and removal of MLC traffic management measures.
organization's Manager ¹	The person named in the organization's Quality Plan as having managerial responsibility for MLC traffic management measures.
Provider	This term is the preferred term used in ISO 9001:2015 in place of "supplier", which was used in ISO 9001:2008. The terms are synonymous.
Quality Plan	The document setting out the specific quality practices, resources and sequence of activities relevant to the project (See Appendix A).
Quality Management System	The organization's structure, responsibilities, procedures, processes and resources for implementing Quality Management.
(11/18) "shall"	Refer to Chapter 8 D1.5 and O1.5.
(11/18) "should"	Refer to Chapter 8 D1.5 and O1.5.
(11/18) Smart Registration Card	A smart card issued by a recognised authority, which demonstrates the level of competency, the date, achieved by the holder and the validity of the card electronically. In some instances, it is also used as an identity card.
UKAS	United Kingdom Accreditation Service or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory with a scope which includes this Sector Scheme.

¹Note The roles of MLC Planning Officer and organization's Manager may be combined on some contracts.

Note: The terms and definitions given in ISO 9000:2015 remain applicable unless otherwise modified above.

(11/18) 3.2 For the purpose of this Sector Scheme Document the abbreviations in NHSS 0 Part 5 shall apply.

ACOP	Association of Chief Police Officers (National Police Chiefs Council) (NPCC)
CB	Certification Body
CSCS	Construction Skills Certification Scheme
Lantra	The appointed administrator for services and training, competency assessment and registration as defined in this SSD. In addition, Lantra are an Awarding Body recognised by Ofqual and able to develop regulated training and qualifications.
MCHW	Manual of Contract Documents for Highway Works
NHSS	National Highways Sector Scheme
OfQual	Office of Qualifications and Examinations Regulation
QCF	Qualifications Curriculum Framework
SHW	Manual of Contract Documents for Highway Works Volume 1: The Specification for Highway Works
SSAC	Sector Scheme Advisory Committee
SSD	Sector Scheme Document
UKAS	See definitions above.

4 to 10 Quality Management System Requirements

Particular Requirements of ISO 9001:2015

Introduction

This document shall be read in conjunction with the requirements of ISO 9001:2015

Clause/Paragraph numbers in this section reference appropriate paragraphs of ISO 9001:2015. The requirements of ISO 9001:2015 are deemed to apply. Where 'no particular requirements' are recorded under an ISO 9001 clause heading this means that it is not considered necessary to provide a particular requirement for that clause.

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

4 Context of the organization

4.1 Understanding the organization and its context

No specific particular requirement

4.2 Understanding the needs and expectations of interested parties

Interested parties shall include the Customer, Client and other contractors, and those that interact with or use the Client's infrastructure e.g. the general public including travelling public, emergency services and other relevant organisations and stakeholders.

4.3 Determining the scope of the quality management system

The scope of the quality management system shall cover the range of specific services that the organization is competent to supply and for which they are seeking registration (see Appendix K). Outsourced services shall be controlled in accordance with this scheme.

4.4 Quality management system and its processes

4.4.1 The organization shall operate a quality management system to BS EN ISO 9001: 2015 and this document.

4.4.2 ^(11/18) The organization shall have a process in place to record/update their registration to this sector scheme on the Schedule of Suppliers website <http://www.scheduleofsuppliers.co.uk>, immediately following confirmation of their certification to the sector scheme from the certification body and thereafter check its suitability annually. (See Appendix O for information). The organization shall notify the NHSS Schedule of Suppliers if certification is suspended or withdrawn. See 7.5.1 documented information – general.

5 Leadership

5.1 Leadership and commitment

5.1.1 General

The organization's policy document shall include top management support for this NHSS.

5.1.2 Customer focus

- (i) Processes for determining client and customer requirements shall consider the interests of the Client and the product end users, for example, the general public / travelling public, and shall be mindful of the Client's interaction with the end users. This will include processes to minimise disruption to traffic
- (ii) Safe working methods shall be documented and any deviation from these methods shall be notified to the Client/customer/interested parties as required.

[Note requirements within this clause shall include where appropriate determination of driver's compliance with European licensing regulations [e.g. driver CPC - periodic training].

- (iii) A copy of all relevant working methods and risk assessments for undertaking the works shall be available for inspection by the Client's/Customer's representative.

5.2 Policy

5.2.1 Establishing the quality policy

The organization's quality policy statement shall include a statement of commitment to this National Highway Sector Scheme.

5.2.2 Communicating the quality policy

No specific particular requirement.

5.3 Organizational roles, responsibilities and authorities

Where required in the contract agreement, such information as necessary shall be included in a contract specific quality plan, (see Clause 7.5.1 and Appendix A).

6 Planning

6.1 Actions to address risks and opportunities

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

6.1.2 ^(11/18) Where required in the contract agreement the supplier shall undertake relevant risk assessments in accordance with the Client's standards and processes (for example Highways England's standard GG104 provides a method for undertaking risk assessment on their network).

6.2 Quality objectives and planning to achieve them

6.2.1 The quality objectives shall include a commitment to meet Customer and Client requirements with respect to Mobile Lane Closures.

6.2.2 No Specific particular requirement.

6.3 Planning of changes

No specific particular requirement.

7 Support

7.1 Resources

7.1.1 General

No specific particular requirement.

7.1.2 People

^(11/18) The persons necessary for the effective implementation of the QMS shall include the following:

- Manager
- Planning Officer
- MLC Supervisor
- MLC Operative
- MLC IPV Driver

7.1.3 Infrastructure

The organization shall determine, provide and maintain sufficient supporting services necessary to deliver mobile lane closure operations.

^(11/18) A process for the inspection and recording of maintenance for mobile lane closure equipment, including Impact Protection Vehicles (IPVs), shall be implemented by senior management. In particular, the frequency for inspecting all equipment, machinery and plant (which includes crash cushions) shall comply with Highways England safety alerts and VOSA vehicle inspection best practice. This is in addition to the organization's daily checks.

7.1.4 Environment for the operation of processes

When planning works and preparing a risk assessment due account shall be taken of the time the works are going to last and the welfare of the personnel.

7.1.5 Monitoring and measuring resources

7.1.5.1 General

The organization shall have processes in place to verify the correct operation of the lights, including alignment, rate of flashing, dimmer operation and visual light intensity*. A record shall be kept of these checks, which shall be carried out prior to the start of each shift.

*Note: The check for light intensity shall be by visual inspection.

7.1.5.2 Measurement traceability

No specific particular requirement.

7.1.6 Organizational knowledge

No specific particular requirement.

7.2 Competence

General:

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

Requirements:

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

- Skills
- Knowledge
- Attitude
- Training
- Experience

^(11/18) Training and assessment of competence shall be carried out in accordance with Appendix C of this SSD

Verification of competence:

NHSS Smart Registration Cards.

MLC personnel shall hold an appropriate smart registration card.

An MLC Traffic Management (TM) smart registration card is issued to MLC Operatives and MLC Supervisors who have successfully completed an approved training and assessment programme. The TM smart registration card will define the type of traffic management the holder has been trained to undertake and the degree of responsibility that the holder can normally accept. It shall not be valid for any type of TM that is not defined.

For competency expiry dates the end user will be required to scan the smart card using the Go Smart App.

Training successfully completed within the 6-month renewal period will consist of attending the theory training course only appropriate to their qualification. This window of opportunity is only available for 6 months from the expiry date of the existing competency. Any competency more than 6 months out of date will require candidates to complete the full training and assessment criteria appropriate to their qualification.

Where assessment has been carried out on dual carriageways with hard shoulders or on dual carriageways without hard shoulders the MLC Operative or Supervisor shall only be able to use the registration for the appropriate MLC TM. Information confirming which type(s) of carriageway the MLC Operative or Supervisor has been assessed for

- Dual carriageways without hard shoulders
- Dual carriageways with hard shoulders

MLC Operatives and/or Supervisors who successfully complete the approved training and assessment programme shall carry their smart registration card as identification whenever they are working on MLC traffic management schemes. Where certificates are issued these are for continuing professional development only and do not provide proof of competency. Certificates cannot be accepted unless supported by a smart registration card.

A Planning Officer's competency is valid for 5 years and holders will need to attend the one-day Supervisor's refresher training course (theory) prior to the competency expiry date. Successful candidates will receive a card endorsed "Planning Officer (non Supervisor)".

Record of Practical Experience

The organization shall create and maintain a record of training and practical experience and assessment of competence for each employee as part of the organization's competency management documented information. "(See Appendix D)"

Where there is an unaccompanied MLC trainee in the MLC convoy he/she shall be situated in the middle advance warning vehicle. There shall only be one unaccompanied trainee in the MLC convoy. All other trainees within the MLC convoy shall be accompanied at all times in the vehicle by a fully qualified MLC Operative or MLC Supervisor on a 1:1 basis.

The organization shall ensure that all MLC Planning Officers and MLC Supervisors have a working knowledge of the relevant parts of the documents listed in Appendix B of this document.

Overarching competency

The need to determine what design is in terms of competency requirements.

7.3 Awareness

No specific particular requirement.

7.4 Communication

No specific particular requirement.

7.5 Documented Information

7.5.1 General

- (i) A quality plan (documented planned arrangements) shall be required for all contracts. When specified in the contract documents or requested, the organization shall submit a quality plan or alternative document as defined in the Contract Specification for acceptance or approval by the Client, as appropriate, prior to commencement of work (See section 8 and Appendix A).
- (ii) The organization shall have in place auditable processes to identify publication of relevant new documents/standards and implementation requirements (See Appendix B, note 2).

7.5.2 Creating and Updating

No specific particular requirement.

7.5.3 Control of Documented Information

7.5.3.1 No specific particular requirement or if specific requirements in addition to ISO 9001:2015 please see below:

7.5.3.2 Control of Documents

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

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

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

For example:

- Correspondence
- Delivery notes and certification where required
- Training records/certificates
- Contract Documentation and customer order
- Instructions to Site Staff
- Where appropriate, location and identification of over ground services and structures and name, address, telephone numbers of persons responsible for them,
- Methods to ensure the Organization obtain any amendments to the documents listed in Appendix B where appropriate to the scope of registration.

Control of Records

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

For example:

- Contract Specification and any variations
- Risk assessment and method statement
- Purchase orders
- Instructions to site staff
- Written complaints
- Experience and training record of all personnel
- MLC layout records and period in operation (separate report for each layout)
- Traffic count details immediately prior to MLC traffic management implementation and at regular intervals during MLC operation (15 mins)
- Details of materials used - (e.g. equipment list)
- Details of any accidents (known to the Organization) in or adjacent to the provision of the MLC traffic management measures.

^(11/18) Records should be kept for a minimum of 7 years or longer if contractually required. N.B If a minor is involved in an incident it may be necessary to keep records until the minor reaches 21 years of age.

^(11/18) Note: In accidents where minors have suffered life changing injuries, levels of compensation payments may not be fully considered until they have reached the age of 21. It is therefore recommended that records, including details of such incidents, are retained until a minor has reached 23 years of age.

8 Operation

8.1 Operational Planning and Control

- (i) The quality plan (QP) shall as a minimum address the topics listed in Appendix A of this schedule and where applicable the requirements contained in the Specification for Highway Works (SHW) in particular series 100 and associated contract documents. Items that should be addressed either within the QMS (procedures, processes, job cards, Risk Assessments, Method Statements, training records etc.) or if the project is substantial enough then the Quality Plan may be appropriate for this, supplemented by contract specific information.

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

- (ii) The quality plan should not be considered in isolation. An integrated approach may be taken which links to other relevant plans e.g. health and safety.

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

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

Note 3: - The QP will also include compliance with the 12C Protocol as appropriate to Highways England contracts.

Note 4:- Client duties under CDM 2015 require the provision of known information and cooperation and coordination with the principal/main contractor.

8.2 Requirements for products and services

8.2.1 Customer communication

- (i) The Contract Specification shall not be changed without written approval from the Client. A copy of the Site Specific Risk Assessment shall be available on site for inspection by the Client's representative.

8.2.2 Determining the requirements for products and services

^(11/18) The organization shall ensure they meet the requirements of the specification. The review procedure shall require the organization to verify with the customer that the order placed meets the technical requirements included in the Client's Contract Specification, to include consideration of Chapter 8 and the TSRGD and other relevant documents.

Where required in the contract agreement the provider shall undertake relevant risk assessments in accordance with the client's standards and processes (for example Highways England's Standard ^(11/18) GG104 provides a method for undertaking risk assessment on their network). See also 5.1.2.

The MLC Planning Officer shall, prior to commencement of the MLC traffic management, check the practicality of the proposed measures. This shall include liaison with third parties, in particular the Highway Authority, the Client/Customer and the Police, as well as confirming that the traffic flows and other aspects affecting the operation (e.g. suitable pull off points and/or hard shoulder widths) are appropriate.

Note This will also include compliance with the 12C Protocol as appropriate to Highways England contracts.

8.2.3 Review of the requirements for products and services

8.2.3.1 No specific particular requirement.

8.2.4 Changes to requirement for products and services

No specific particular requirement.

8.3 Design and development of products and services

8.3.1 General

^(11/18) Chapter 8 gives the principles for MLC traffic management and the organization is expected to review and apply these principles into practical application.

8.3.2 Design and development planning

No specific particular requirement.

8.3.3 Design and development Inputs

The design process shall include liaison with the highway authority ^(11/18) including the Traffic Officer Service and the police as appropriate. This shall cover topics such as timing of operations, Police involvement, special signing and co-ordination with other works. This liaison may be included with design review processes.

Records of design inputs shall identify sources of information such as traffic flows and carriageway widths.

8.3.4 Design and development controls

No specific particular requirement.

8.3.5 Design and development outputs

No specific particular requirement.

8.3.6 Design and development changes

No specific particular requirement.

8.4 Control of externally provided processes, products and services

8.4.1 General

The organization shall establish procedures to ensure that all resources conform to the Contract Specification. Copies of certification to verify this shall, on request, be passed to the Client.

Signs shall be obtained from a registered NHSS supplier conforming to the requirements of National Highway Sector Scheme 9A of Appendix A of the Specification for Highway Works for the Manufacture of Traffic Signs.

8.4.2 Type and extent of control

No specific particular requirement.

8.4.3 Information for external providers

No specific particular requirement.

8.5 Production and service provision

8.5.1 Control of production and service provision

- (i) The organization shall identify and plan the supply and installation processes.

The organization shall produce a method statement for the installation, operation and removal of MLC traffic management measures including confirmatory arrangements for checking traffic flows prior to and during the operation of the measures. Where required, the method statement shall be submitted to the Customer for acceptance and to the Client's representative for acceptance or approval as appropriate.

Works orders, risk assessment and Quality Plans for the installation and removal of mobile lane closure activity shall be signed by the relevant designated personnel and retained for 7 years. They will also be submitted to the Client if requested.

- (ii) The process of developing MLC Traffic Management requirements into method statements and risk assessments shall be undertaken and verified by persons suitably trained and experienced. This shall normally be the MLC Planning Officer. The personnel involved shall be identified in the Quality Plan along with their suitable training/experience/qualifications.
- (iii) The organization shall have access to and a working knowledge of the relevant documents listed in Appendix B of this schedule together with the Contract Specification.
- (iv) The organization shall have procedures in place to ensure that the advance signing vehicles and MLC block vehicles are of a conspicuous colour as described in Chapter 8.
- v) The organization shall maintain a record of practical experience for MLC personnel
- (vi) An MLC Supervisor shall be in charge of the operation of the MLC traffic management measures.
- (vii) ^(04/15) All vehicles and equipment shall be checked prior to use and maintained in a clean and proper condition and any damaged vehicle or equipment must be repaired or replaced.
- (viii) All MLC team personnel must be in contact with each other via a dedicated radio system. This must be supplemented by an external communication system for emergency situations.
- (ix) Certificates/reports, signed by the MLC Supervisor or MLC Planning Officer, shall be retained, and submitted to the Customer if required, for the Installation, Operation and Removal of the MLC traffic management measures.
- (x) The MLC Supervisor or MLC Planning Officer shall report to the Customer on any unacceptable high traffic flow, accidents or other incidents and any actions taken.
- (xi) Systems shall be in place to inspect and maintain all vehicles and equipment returned from site before their re-use.

Daily certificates/reports, signed by the Supervisor or Planning Officer, shall be retained, and submitted to the Customer if required, for the Installation, Maintenance and Removal of the MLC measures.

The organization shall have processes in place to verify the correct operation of the lights, including alignment, rate of flashing, dimmer operation and light intensity*. A record shall be kept of these checks, which shall be carried out prior to the start of each shift. *Note: The check for light intensity shall be by visual inspection.

8.5.2 Identification and traceability

The organization shall implement and maintain documented processes to ensure that retained documents and records can be clearly identified and traced for audit purposes.

8.5.3 Property belonging to customers or external providers

The Quality System shall include a procedure to be applied where material is supplied by the Customer or the Client if this is identified in the Contract Specification. For example, this may include the use of traffic signs for static warning of MLC traffic management.

8.5.4 Preservation

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

Manufacturers recommend the regular inspection of block vehicle/IPV equipment, by a competent person.

8.5.5 Post-delivery activities

No specific particular requirement.

8.5.6 Control of changes

No specific particular requirement.

8.6 Release of products and service

No specific particular requirement.

8.7 Control of nonconforming outputs

8.7.1 Non-conforming component parts (that is a sign, trailer or vehicle) shall not be used.

9. Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

This includes the ongoing impact of mobile lane closures on other works, congestion and traffic flows.

9.1.2 Customer satisfaction

No specific particular requirement.

9.1.3 Analysis and evaluation

No specific particular requirement.

9.2 Internal audit

9.2.1 No specific particular requirement.

9.2.2 Internal audits of the quality management system against this SSD shall include at least two site visits a year by a ^(11/18) 12C technically competent person/s to ensure a robust assessment of the compliance of the product.

The quality plan shall state the frequency of internal audits. Internal auditors shall have a working knowledge of NHSS12C activities. Internal audits shall be carried out by the nominated quality manager or a ^(11/18) 12C designated competent person.

9.3 Management review

9.3.1 General

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

9.3.2 Management review inputs

No specific particular requirement.

9.3.3 Management review outputs

No specific particular requirement.

10 Improvement

10.1 General

The corrective and preventative action processes shall include analysis of incidents and occurrences. Consideration should be given to accident statistics and near miss reporting.
^(11/18) Note: Highways England operates AiRSWeb which is an incident reporting system.

10.2 Nonconformity and corrective action

No specific particular requirement.

10.3 Continual improvement

No specific particular requirement.

Appendix A: Requirements for Quality Plans

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

1.0 General requirements

- 1.1 Definition of the product (or service) to be provided.
- 1.2 The structure of the organization describing the line of command and stating the names of the organization's Manager responsible for the contracted work.
- 1.3 Identification of the relevant parts of the organization's documented quality management system relevant to the product or service being provided.
- 1.4 The control of personnel selection including special requirements for skilled personnel e.g. training of site and other staff.
- 1.5 Programme for submission of method statements including back up for the installation, operation and removal of MLC traffic management measures, including the control of equipment.
- 1.6 A statement on how communications between all MLC units is to be achieved.
- 1.7 Disposition of documented information.

2.0 Contract specific information

- 2.1 Liaison with the Client, Police and the Highways Authority.
- 2.2 ^(11/18) Submission for examination by the Client's representative of the currency and validation of certification body's certificates of registration for conformity against this scheme and a record of the MLC Operatives' Supervisor's and Planning Officer's qualifications.
- 2.3 Any environmental conditions impacting upon the specified works.
- 2.4 Location of highway area for the contract and means of access.
- 2.5 Specification and/or Contract Documents.
- 2.6 Extent of the works and the commencement and completion time of the contract.
- 2.7 Details of the work (as appropriate).
- 2.8 Details of vehicles and equipment (as applicable).
- 2.9 Receipt and examination of certificates of registration and test results for plant equipment used*.
- 2.10 Method statements for installation, maintenance and removal of MLC measures; detailed drawing(s) to be supplied if required in the Contract Specification.

- 2.11 Control of non-conforming product*.
- 2.12 Inspection and maintenance of vehicles, trailers and equipment used for MLC traffic management measures*.
- 2.13 The Customer's nominated Quality Manager, project manager and/or other representatives through whom communication is to be made throughout the contract.
- 2.14 Names and contact details of the personnel involved in the contract.
- 2.15 Details of the contract specific equipment to be used and any certification required to be issued to the Customer/Client.
- 2.16 Details of the communications required between the organizations staff and the Customer/Client or any other party.
- 2.17 Work programme and details of deliverables.
- 2.18 Method statements for application/installation, maintenance and removal of Mobile lane closure activities.
- 2.19 How performance requirements are to be achieved.
- 2.20 All relevant contract specific information in respect to speed restrictions, safety requirements, environmental requirements, existing conditions and site conditions.
- 2.21 Risk Assessments.

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

Note: Reference should also be made to Sample Appendix 1/24 in the Notes for Guidance on the Specification for Highway Works where this is incorporated into the main Contract and where applicable, The Quality Protocol for Mobile Lane Closure Training on the Highways England's Strategic Road Network.

NOTES:

1. Where certain aspects of this information cannot be obtained or, is not provided, this fact shall be noted in the quality plan against the appropriate section.
2. The organization should also be aware that there may be further general requirements for quality plans within a contract, for instance Appendix 1/24 of the Manual of Contract Documents for Highway Works, which may also need to be addressed.
- 3 See ISO 10005 (Quality management systems – Guidelines for quality plans) for further information.

Appendix B: Reference and Associated Documents (Bibliography)

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

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

The list of standards and documents below are date specific, however, the organization shall have processes in place to ensure that the latest version is always available. Organizations should be aware that utilisation of internet search engines may result in out of date references being identified/called up.

1 Reference Documents

- 1.1 Manual of Contract Documents for Highway Works: Volume 1 Specification for Highway Works (SHW), and amendments
Series 000 Introduction
Series 100 Preliminaries

(www.standardsforhighways.co.uk/ha/standards/mchw/index.htm)

(See note 2)

- 1.2 Manual of Contract Documents for Highway Works – Volume 2 Notes for Guidance on the Specification for Highway Works (NGSHW), and amendments.
Series NG000 Introduction
Series NG100 Preliminaries

(www.standardsforhighways.co.uk/ha/standards/mchw/index.htm)

(See note 2)

- 1.3 ISO 9000:2015 - Quality Management Systems – Fundamentals and Vocabulary
- 1.4 ISO 9001:2015 - Quality Management System – Requirements
- 1.5 ISO 9004 - Quality Management Systems – Managing for the sustained success of an organization. A quality management approach
- 1.6 Traffic Signs Manual: Chapter 8: Traffic Safety Measures and Signs for Road Works and Temporary Situations. (TSO) or Website: www.dft.gov.uk (see note 2 below)
- 1.7 Traffic Signs Regulations and General Directions, (TSO)
- 1.8 The Quality Protocol for Mobile Lane Closure Training on the Highways England's Strategic Road Network.

2. Associated Documents – Bibliography ^(11/18)

2.1 Chapter 8 Part 3 – Traffic Measures and Signs for Road Works and Temporary Situations
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/594446/traffic-signs-manual-chapter-08-part-03.pdf

2.2 GD 02 - Quality Management Systems for Highway Design (Design Manual for Roads and Bridges – Volume 0, Section 2, section 1, Part 1
<http://www.standardsforhighways.co.uk/ha/standards/dmrb/vol0/section2/gd216.pdf>

2.3 GG 104 - Requirements for safety risk assessment
<http://www.standardsforhighways.co.uk/ha/standards/dmrb/vol0/section2/GG%20104%20Requirements%20for%20safety%20risk%20assessment-web.pdf>

British Standards:

BS 873 Road Traffic Signs and Internally Illuminated Bollards

Part 1 Methods of Test

Part 2 Specification for Miscellaneous Signs

Part 6 Specification for Retro Reflective and Non-Retro Reflective Signs

BS EN 20471 Specification for High Visibility Reflective Clothing

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

Note 2: Every effort has been made to update web sites, but the committee cannot provide any guarantees that the sites will continue to exist or if they do that, they will maintain access to the documents identified above.

Note 3: The organization shall use the current reference document and British Standards unless stated otherwise in the Contract Specification.

Note 4: Amendments are made to these volumes normally on a quarterly basis. Organizations shall ensure that they have up to date copies of the latest amendments, such information is available from the Highways England's Information Line 0300.

(11/18) Appendix C: Training and Assessment of Competence

1. Training and competency qualifications

Training and competency requirements are set out in this Appendix.

Courses are available as follows:

TTMBC

This is a half day basic training course used as an introduction to the TTM industry and is achieved by successful completion of an end of course test process.

This course must be successfully completed by all new entrants before undertaking any of the qualifications detailed in this appendix hereafter

New entrants that have successfully completed 12A/B Operative, Foreman or LTMO training prior to the 01 April 2016 will not be required to undertake the TTMBC.

12C Operative

This is a 2-day training course comprising of 1-day theoretical and 1-day practical demonstration relating to the operation and maintenance of MLC Sign Bearing Warning Vehicles (this shall be carried out on a live carriageway).

Following successful completion of training the Instructor will register the Operative with Lantra. A trainee smart registration card will be issued to show successful completion of the training course. For expiry dates the end user will be required to scan the smart card using the Go Smart App.

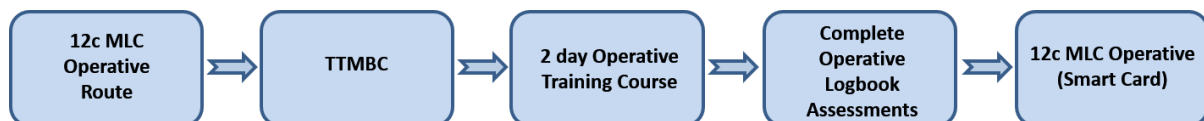
After registration of the training you will be a 12C MLC Operative Trainee.

All assessments shall be completed within 2 years from the date of the completed training.

Operatives will not be qualified until they have been registered with Lantra and hold a competence card showing that they have successfully completed one or both of the following assessment categories in accordance with the requirements detailed in the 12C Operative logbook.

- 12C Operative dual carriageways without hard shoulder
- 12C Operative dual carriageways with hard shoulder

Route of achievement:



12C Supervisor

Except for the Planning Officer route 2 described later in this document, the Supervisors training course may only be attended by candidates who have gained MLC experience as a qualified and registered 12c MLC Operative. In addition, they must demonstrate a sound understanding of their Company's quality assurance system to ensure continuous compliance with the requirements of this SSD 12C. The candidate must hold an appropriate LGV driving licence, for a minimum of a 10-tonne vehicle.

This is a 2-day course comprising of 1-day theoretical and 1-day practical demonstration relating to the operation of the supervision of MLCs (this shall be carried out on a live carriageway).

Following successful completion of training the Instructor will register the Supervisor with Lantra. A trainee smart registration card will be issued to show successful completion of the training course. For expiry dates the end user will be required to scan the smart card using the Go Smart App.

After registration of the training you will be a 12c MLC Supervisor Trainee.

All assessments shall be completed within 2 years from the date of the completed training.

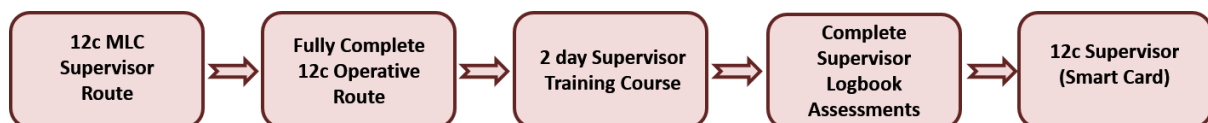
Supervisors will not be qualified until they have been registered with Lantra and hold a competence card showing that they have successfully completed one or both of the following assessment categories in accordance with the requirements detailed in the 12c Supervisor logbook.

- 12C Supervisor dual carriageways without hard shoulder
- 12C Supervisor dual carriageways with hard shoulder

A qualified 12c Supervisor will also automatically hold the following qualifications without the requirement to undertake any further training or assessments.

- IPV non-live lanes (hard shoulder only)
- IPV live lanes
- Planning Officer (to undertake the role and responsibility of the Planning Officer you must be appointed in the Organisation's quality plan.

Route of achievement:



12C Planning Officer

This is a specific role required by this scheme to ensure that work instructions, which are given to the MLC workforce, are authorised by a person who has a sound understanding of the risks involved in MLCs. The Planning Officer may typically be the person who authorises and instructs the workforce to carry out mobile lane closures on behalf of the company.

Achievement of this qualification can be through two routes.

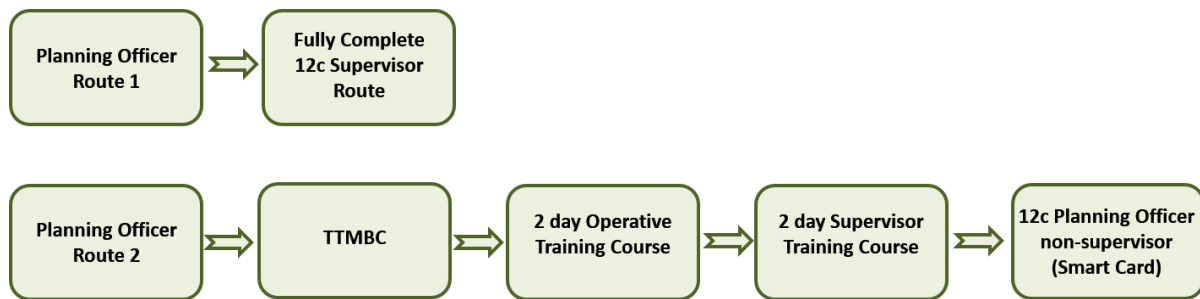
Route 1:

Holds a current 12c MLC Supervisor qualification as described above and shall be recorded in the organisation's quality plan.

Route 2:

Has at least two years demonstrable practical experience of planning and/or design of temporary traffic management and successfully completes the Operative and Supervisor training only, which will lead to the card being endorsed as non-supervisor.

Route of achievement



IPV Driver

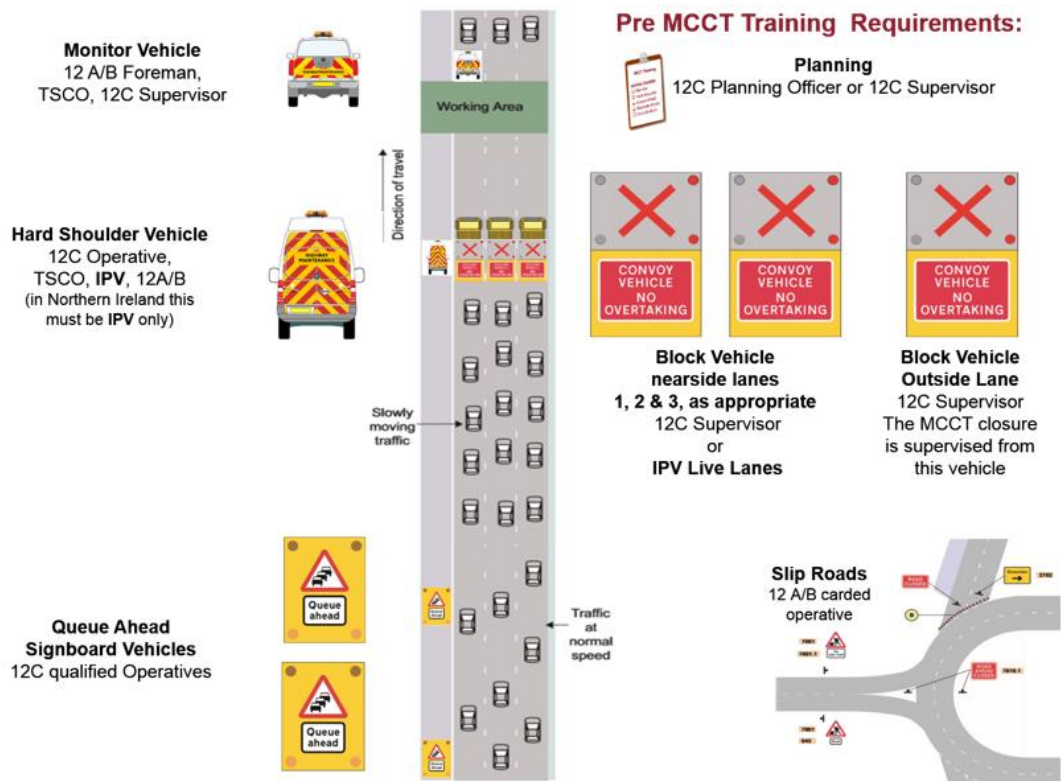
See NHSS 12AB Sector Scheme Document for details of IPV training and qualification.

NB:- The IPV qualification does not allow you to be part of a mobile lane closure team unless suitably qualified as a 12C Supervisor. They can be the trainee member of the convoy if they are working towards their 12C Supervisor qualification.

Mobile Carriageway Closure Technique (MCCT)

The diagram below shows the roles within the MCCT and the pre-training requirements to be held for each of the roles to be undertaken within the process.

All personnel wishing to carry out the roles defined below shall successfully complete the MCCT training module and be appropriately qualified for the roles.



Where applicants hold other cards or qualification (e.g. from a state other than England, Scotland, Wales and N. Ireland), it will be necessary to establish the competency equivalence of such qualifications and advice should be sought from the appropriate Sector Skills Council or issuing/awarding body of recognised qualifications or the administrator of the embedded skills scheme as to the equivalence of the qualification to meet the described competency and knowledge described in the sector scheme document.

2. Health and Safety

Organizations are reminded of the legal requirements to provide health and safety training for all personnel as appropriate in accordance with the Health and Safety at Work Act 1974.

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

3. 12C Protocol

When organizations are organising training with 12C Training Centres they shall ensure that the training centre is working to (where applicable) “The Quality Protocol for Mobile Lane Closure Training on the Highways England’s Strategic Road Network”.

4. Lantra/Construction Skills Certification Scheme (CSCS) Traffic Management Cards for 12C Mobile Lane Closures

The Lantra smart registration card is issued in accordance with this Sector Scheme document and the Lantra centre specification. The Lantra smart registration card now carries the CSCS logo.

5. Fraudulent certificates/cards

Action in the Case of Suspect Certificates / Cards – the following advice is given:

Suggested Action by the organization

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

- Take possession of certificate/card.
- Call a member of the Awarding Organisation that issued the certificate/card. A member of the team will help you confirm your suspicions or otherwise.

If the certificate/card appears to be fraudulent:

- Retain the certificate/card if possible
- Make photocopies of front and back
- Record certificate/cardholder's name and address
- Ask certificate/cardholder where the certificate/card was obtained from
- Call the local police and report the matter
- Refuse access to site (subject to company rules).
- Forward copies of all evidence to the body who issued the certificate/card marked "SUSPECTED FRAUDULENT CERTIFICATE/CARD" with any crime number given by local police.

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

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

6. Construction Skills Register (CSR) – Northern Ireland Only

Please contact Lantra for full details on how the CSR card applies in Northern Ireland.

7. Contact Information

For further details on the above training route and a full list of training and assessment centres please contact:

Lantra, Lantra House, Stoneleigh Park, Coventry, Warwickshire, CV8 2LG

Tel: 02476 69 6996

Email: nhss-highways@lantra.co.uk

Website: <http://www.lantra.co.uk>

Appendix D: Sample Register of Designated MLC Operatives and MLC Supervisors

MLC OPERATIVE'S COMPANY:

Operative/Supervisor's Name

Certification Number:

Training (Date passed or undertaken, as appropriate)			Competency Categories of Mobile TM Achieved (With dates achieved and card issued)		Training Provider/ Assessor
Company Induction H&S Training	CITB Touch Screen Test	Refresher Training and Other	<u>Cat 1</u> Dual C/W (without hard shoulders)	<u>Cat 2</u> Dual C/W (with hard shoulders)	

Appendix E: Guidance for the Control of Monitoring and Measuring Equipment

NOT USED

Appendix F: Certification Bodies Accredited for this Sector Scheme

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

Appendix G: The Role of Certification Bodies and Auditor Qualifications

1. Role of certification bodies

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

2. Certification body accreditation

- 2.1 To ensure consistency and to demonstrate independent capability certification bodies are required to be accredited against the requirements of ISO 17021 by the United Kingdom Accreditation Service (UKAS) or by an equivalent International Accreditation Forum (IAF) member for assessment and registration of ISO 9001:2015 quality management systems in accordance with the particular requirements of this NHSS or other equivalent international management scheme.

3. Assessor and assessment team competence

- 3.1 The certification body must be able to demonstrate to *the United Kingdom National Accreditation Body or any recognised European National Accreditation Body or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory* that it possesses and can maintain the necessary assessor experience and technical understanding of the mobile lane closure *activity* covered in the scope of this Sector Scheme. These assessment areas shall include, but not be limited to the following:
 - i) knowledge, understanding and application of this SSD (See Appendix G1).
 - ii) knowledge of the supply in the MLC industry, including the methods and techniques sufficient to understand the processes employed and the controls necessary to ensure delivery of conforming product and services. Typically, this would include knowledge of Chapter 8 and other associated documents (Conveyance of this knowledge to auditing teams will be determined by the Certification Body and will be audited by *the United Kingdom National Accreditation Body or any recognised European National Accreditation Body or any equivalent International Accreditation Forum (IAF) Multi-Lateral Agreement (MLA) signatory*).

- iii) maintenance of demonstrable technical highway engineering background, capable of reading and understanding specifications and drawings, including knowledge of the Specification for Highway Works and design standards requirements for this sector scheme.
 - iv) Ability to demonstrate they have ongoing suitable health and safety training which shall include appreciation of the risks involved in the supply and installation in the MLC techniques.
- 3.2 The Certification Body must also ensure that assessors have sufficient knowledge of health & safety requirements related to Temporary Traffic Management (MLC).
- 3.3 Guidance to Certification Bodies on assessor competence related to this Sector Scheme is given in the certification body guidance document – National Highway Sector Scheme Accreditation, Registration and Assessment Guidance for Certification Bodies – NHSS 0 Part 4.
- 3.4 The certification body is responsible for ensuring that the assessment teams possess demonstrable expertise in the assessment areas detailed above as they relate to the scope of client activities under assessment.
- 3.5 Minimum assessor qualifications and competence for assessment of this NHSS, which may reside in a single individual, or in an assessment team are as follows:
 - (i) International Register of Certificated Auditors (IRCA) Registered ISO 9001:2015 Lead Auditor qualification or certification body equivalent and demonstrable expertise in leading assessment teams.
 - (ii) ISO 9001:2015 assessment experience.
 - (iii) technical assessment competence in the categories of mobile lane closure techniques.
 - (iv) knowledge, understanding and application of this SSD.
 - (v) knowledge of the supply and installation in the MLC industry, including the methods and techniques sufficient to understand the processes employed and the controls necessary to ensure delivery of conforming product. Typically, this would include knowledge of Chapter 8 and other associated documents (Conveyance of this knowledge to auditing teams will be determined by the Certification Body and will be audited by UKAS).
 - (vi) demonstrable technical highway engineering background, capable of reading and understanding specifications and drawings, including knowledge of the Specification for Highway Works and design standards requirements for this sector scheme.
 - (vii) The Certification Body must also ensure that assessors have sufficient knowledge of health & safety requirements related to Temporary Traffic Management (MLC).
 - (viii) health & safety requirements related to Temporary Traffic Management (MLC).

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 locations where mobile lane closure techniques covered by the scope of this Sector Scheme are being undertaken from.
- 4.2 Certification Bodies shall make every endeavour to ensure that during a three-year certification cycle there is evidence of assessment of all execution activities covered by the organization's scope of registration. Certification bodies shall undertake surveillance visits at intervals no greater than one year.

5. Format and Content of Registration Certificates

- 5.1 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 are published in NHSS 0.

6. National Highway Sector Schemes Schedule of Suppliers

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

7. Reporting on Sector Scheme performance

- 7.1 Each Lead certification body shall report to the Chairperson of the SSAC including as a minimum;
- i) observations and comments on the implementation and assessment findings related to the Sector Scheme including any omissions or deficiencies in its scope.
 - ii) recommendations for improving/clarifying the SSD
 - iii) feedback on deficiencies against contract documentation
 - iv) the number of organizations whose scope of registration includes this Sector Scheme for

comparison against the Schedule of Suppliers

Note 1: This is to be issued to the Chairperson of this Sector Scheme Committee.

Note 2: Additionally, the lead CB shall provide a similar report to the Chairperson of the National Highway Sector Scheme Liaison Committee, which shall be available at least a week before each National Highway Sector Scheme Liaison Committee meeting held twice a year, so that it may be considered during the Liaison meeting.

Note 3: It is recommended that the report should be a combined report prepared by the nominated certification body (Lead CB) to provide assurance that confidentiality is maintained.

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

Appendix G1: Guidance to Assessors' and Other Auditors' Competencies Requirements for National Highway Sector Scheme

Scheme 12C – Mobile Lane Closures

Section 1 - General Information

The information contained in this appendix has been collated by the NHSS committee to provide CB assessors with the background information that is considered appropriate for carrying out an assessment against ISO 9001:2015 and these NHSS documents. During the development of the Appendices it was realised that this information would also provide useful guidance for first and second party auditors of the system.

Section 2 – Requirements

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

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

2A General background to the NHSS 12C

- 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 12A/B, 12C and 12D) were initially developed by HA, TMCA, MLCCA and other industry stakeholders.

- ii. To whom the scheme applies. See Scope in this NHSS document.
- iii. Contact details of those that can offer scheme specific assistance. (This should be contained in the organization's quality documentation/NHSS documents.)
- iv. An overview of the highway infrastructure that the scheme applies to.
- v. The range of contracts that the scheme can apply to. (See Scope in relevant NHSS document i.e. NHSS 12A/B, 12C & 12D.
- vi. Specific types of works that the scheme applies to. (See Scope [section 1] in this NHSS document and also Appendix L in this NHSS.
- vii. Definitions and terminology which are particular to the scheme. (See section 3 of this NHSS.)
- viii. Diagram of routes to competency of personnel (including management, supervisors and other employees etc.) delivering the scheme services.

Information/guidance is contained in Appendix C of the document; however the organisation's training administrator should have this information available (assessors should also be aware of training and competency assessment requirements available from Awarding Bodies who should be able to assist).

- ix. Overview of important reference documentation applicable to the scheme

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

- x. Knowledge of relevant international, European and British standards for Temporary Traffic Management. In particular, those relating to product conformity, type testing and their requirements. Familiarity with SHW especially Series 100 and notes for guidance for the SHW, (including when these are updated), the Design Manual for Roads and Bridges and Interim Advice Notes issued by the Highways England.
- xi. Relationship with other NHSS and its applicability to this scheme.

2B Summary of where the scheme interprets sections 4 to 10 of ISO 9001:2015

The summary provides a list of those clauses where particular requirement has been provided. These are indicated by "Y" in the table ^(11/18).

Section/Clause	Particular requirement Yes/No	Comment/Requirement
4. Context of the organization		
4.1 Understanding the organization and its context	N	Check annually that the organization has determined issues relevant to its purpose and strategic direction and has monitored and reviewed the information. Especially check and seek evidence relating to external context.
4.2 Understanding the needs and expectations of interested parties	Y	Check annually that the organization has determined interested parties, their requirements and is monitoring and reviewing the data. Seek evidence.
4.3 Determining the scope of the quality management system	Y	Check that the organization has reviewed the scope of the relative elements of the latest applicable issue of the NHSS that the organisation considers apt.
4.4 Quality management system and its processes. (4.4.1 & 4.4.2)	N	Check annually by the CB Auditors and other Auditors the Schedule of Suppliers website to ensure registration and uploaded information is current and valid.

Section/Clause	Particular requirement Yes/No	Comment/Requirement
5. Leadership		
5.1 Leadership and commitment		
5.1.1 General	Y	Check policy documented information includes this NHSS Ensure that policy is being correctly implemented, communicated and understood. Seek evidence
5.1.2 Customer focus	Y	Ensure that the organization has determined all necessary applicable statutory and regulatory requirements for contract compliance. This may include supplementary services such as recycling, final disposal, equipment inspection, licensing requirements for driving (HGV), animal including wildlife handling etc. Seek evidence that organization is meeting and maintaining customer requirements.
5.2 Policy		
5.2.1 Establishing the quality policy	Y	Ensure requirements are covered in quality plan and in policy documented information
5.2.2 Communicating the quality policy	N	Ensure that policy documented information is available as necessary and is being communicated and implemented and understood. Seek evidence.
5.3. Organization roles, responsibilities and authorities	Y	Ensure there is an organization plan which covers responsibility/authority in accordance with the requirements of the SSD. Seek evidence. Ensure that personnel with contract specific responsibilities and authorities have been identified and are recorded. Seek evidence. Ensure that the organization management have appointed a nominated person or persons with the appropriate responsibility and authority. Seek evidence.
6. Planning		
6.1 Actions to address risks and opportunities. (6.1.1 & 6.1.2)	Y	Check that documented information is in place to address risk and opportunities and is operational.
6.2 Quality objectives		Check documented information is in place and meets

Section/Clause	Particular requirement Yes/No	Comment/Requirement
and planning to achieve them 6.2.1 6.2.2	Y N	requirements. Check that quality planning is in place and evaluated. See Appendix A.
6.3 Planning of changes	N	
7. Support		
7.1 Resources	N	
7.1.1 General	N	Ensure contract/tender review is in place. Review provisions of resources to confirm they are suitable and include providing the defined personnel for contracts
7.1.2 People	N	See Appendices A, C and D
7.1.3 Infrastructure	Y	Review facilities, processes and equipment to confirm they are suitable for the scope of registration.
7.1.4 Environment for the operation of processes	Y	In process audit. Checks to include environmental condition records, plant maintenance sheets, access equipment certification and induction records. Check welfare arrangements.
7.1.5 Monitoring and measuring resources		
7.1.5.1 General	Y	See Appendix E
7.1.5.2 Measurement Traceability	N	See Appendix E
7.1.6 Organizational knowledge	N	Seek evidence
7.2 Competence	Y	Seek evidence. Review copies of training certificates, qualifications and identity cards and forward looking training plans. Ensure that these are in accordance with the requirements of the sector scheme documents Check sample of identity cards See Appendices C and D
7.3 Awareness	N	Seek evidence
7.4 Communication	N	Check internal and external communication processes have been established.

Section/Clause	Particular requirement Yes/No	Comment/Requirement
7.5 Documented information		
7.5.1 General	Y	Check processes are in place to ensure that organization maintain up to date information on documented information. See Appendix B
7.5.2 Creating and updating	Y	Ensure that all required contract specific documents are in place. Seek evidence
7.5.3 Control of documented information. (7.5.3.1 & 7.5.3.2)	Y	Ensure that all required contract specific documents are in place. Seek evidence Check appropriate processes are in place for the retention and disposition of documented information
8. Operation		
8.1 Operational planning and control	Y	Check quality plan is in place and complies with 7.5. See Appendix A Check appropriate processes are in place for the retention and disposition of documented information
8.2 Requirements for products and services		
8.2.1 Customer communication	Y	Check effectiveness of communication arrangements
8.2.2 Determining the requirements for products and services	Y	Ensure that the organization has determined all necessary specified statutory and regulatory requirements for contract compliance. This may include supplementary services such as recycling, final disposal, equipment inspection, licensing requirements for driving (HGV), animal including wildlife handling etc. Check the organizations ability to meet defined contract requirements
8.2.3 Review of the requirements for products and services. (8.2.3.1 & 8.2.3.2)	N	Ensure contract tender review is in place with an appropriate timescale and assessment of availability of resources.
8.2.4 Changes to requirements for products and services	N	Seek evidence
8.3 Design and development of products and services		

Section/Clause	Particular requirement Yes/No	Comment/Requirement
8.3.1 General	N	Check that contract/tender review is in place
8.3.2 Design and development planning	N	
8.3.3 Design and development inputs	Y	
8.3.4 design and development controls	N	
8.3.5 Design and development outputs	N	
8.3.6 Design and development changes	N	
8.4 Control of externally provided processes, products and services		
8.4.1 General	Y	Check that documented information is in place for externally provided product and services to meet specified requirements.
8.4.2 Type and extent of control	N	Check that documented information is in place. Seek evidence of effective controls.
8.4.3 Information for external providers	N	Check that purchasing requests are adequate
8.5 Production and service provision		
8.5.1 Control of production and service provision	Y	Check as part of in process audit Refer to Appendix E
8.5.2 Identification and traceability	Y	Cover during procedure review and seek evidence that relevant documented information is in place
8.5.3 Property belonging to customers or external providers	Y	Check that documented information is in place.
8.5.4 Preservation	Y	Check process. Seek evidence as appropriate

Section/Clause	Particular requirement Yes/No	Comment/Requirement
8.5.5 Post-delivery activities	N	
8.5.6 Control of changes	Y	Check documented information is in place
8.6 Release of products and service	Y	Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Seek evidence.
8.7 Control of nonconforming process outputs, products and services. (8.7.1)	Y	Ensure processes are in place and has been implemented in line with contract specification. Check documented information.
9 Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
9.1.1 General	Y	Check planned results Check that monitoring and measuring process documentation has been implemented in line with the current contract specification. Seek evidence. Review copy of annual management review. Ensure this contains continuous improvements to the relevant sector scheme.
9.1.2 Customer satisfaction	N	Check that organization is meeting customer requirements.
9.1.3 Analysis and evaluation	N	Check processes are achieving planned results Check analysis of data has provided information to demonstrate effectiveness of QMS and evaluation of continued improvement.
9.2 Internal audit 9.2.1 9.2.2	N Y	Check internal audits are being carried out and ensure corrective actions have been made.
9.3 Management review		
9.3.1 General	Y	Review minutes of management review. Ensure this contains reference to the relevant sector scheme.
9.3.2 Management	N	

Section/Clause	Particular requirement Yes/No	Comment/Requirement
review inputs		
9.3.3 Management review outputs	N	Check that the output and actions are considered by top management at regular intervals.
10. Improvement		
10.1 General	Y	Check effectiveness of improvement
10.2 Nonconformity and corrective action (10.2.1 & 10.2.2)	N	Check that documented information is in place and operational.
10.3 Continual improvement	N	

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

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

- C1 - Safe Working Practices
- C2 – Training, qualifications and assessment of competence
- C3 - Maintenance of equipment
- C4 - Public protection
- C5 - Environment
- C6 - Testing/inspection/workmanship
- C7 - Health and Safety
- C8 – Equal Opportunities

C1 – Safe Working Practices

- Correct Personal Protective Equipment Worn
- Equipment approved and suitable for use
- Personnel to be fully aware of their H&S obligations
- Must be able to read and understand their job sheet, risk assessment and other relevant documents; understand English.
- Method Statements/work procedures.
- Risk Assessment.
- Induction card/skills card.
- Vehicles/loads are inspected, and drivers are qualified
- Site visit including assessment of installation (if possible) and techniques verified.
- Awareness of relevant H&S requirements as applicable to 12C
- Awareness of current best practice including temporary traffic management measures (including site arrangements).

- C2 Training, Qualifications and Assessment of Competence
- Have achieved appropriate training evidenced by appropriate certification
 - Have been assessed as competent within their scope of works (e.g. scheme specific assessment/ N/SVQ)
 - Been inducted on specific equipment (by employer) or if appropriate (i.e. under training) is supervised by a qualified person.
 - Aware of and understand the relevant requirements of this NHSS.
 - Aware of and understand the provisions for implementation of training in this NHSS.
 - Been inducted on site specific H&S issues.
 - Hold the relevant skills card.
- C3 Maintenance of Equipment
- Relevant personnel are aware of LOLER and PUWER requirements
 - Maintenance checklists are available and have been completed as required
 - Check IPV equipment conformity
- C4 Public Protection
- Personnel are aware of the need to protect public during installation operations
 - Relevant personnel have been trained to carry out a visual site risk assessment to ensure that the public will not be put at risk during installation/maintenance operations
 - Where appropriate relevant personnel are aware of the Traffic Officer role
 - Personnel have identification
- (Note: Public in this instance includes personnel employed by the customer/client)*
- C5 Environment
Auditors should be sufficiently competent to make general observations on the effectiveness of the organization's provisions in respect of the environment and in particular management of waste and its reduction.
- C6 Inspection/Testing/Workmanship
Auditors should be aware of the importance of inspection and testing of the product and have knowledge of the relevant tests and the information provided by the tests.
- C7 Health and Safety
Auditors should be aware of the Health and Safety at Work etc. Act 1974 and associated Health and Safety Legislation, as it applies to this sector scheme.
- C8 Equal Opportunities
Assessors/auditors should be aware of and understand the need for effective diversity management, including the implementation of equal opportunities and avoidance of disability discrimination as it applies during the provision of services. Assessors/auditors should understand what is involved and how it can be encapsulated in company procedures.

Appendix H: Organization Acceptance and Guidelines for New Entrants

1.0 Organization Acceptance

- 1.1 For work carried out on roads managed by Highways England, the Welsh Government, Scottish Government and DRD (Northern Ireland), only those organizations holding a valid Certificate of Registration for work within the scope of this SSD will be accepted as complying with Clause 104 and Appendix A of the Specification for Highway Works.
- 1.2 For work carried out on roads managed by other highway authorities, acceptance of the organization will depend on the requirements of the contract.
- 1.3 In the absence of assessment including a site visit over a 3-year period then evidence must be provided of site activity (e.g. site records, video recording) to ensure that registration can be maintained.

2.0 Guidelines for New Entrants – Requirements

These guidelines have been drawn up to provide MLC traffic management companies with a method of entry into the scheme. The guidelines also provide rules by which certification bodies and clients are able to evaluate these companies for compliance and acceptability for carrying out temporary MLC traffic management measures.

- 2.1 Organizations shall have the required number of appropriately experienced and qualified MLC Operatives, MLC Supervisors and staff who meet the requirements of this Sector Scheme. Organizations will need to demonstrate that the type of vehicles they use/hire meet the requirements of this document, Chapter 8.
- 2.2 Organizations must have applied for registration with a certification body that is accredited by their NAB to audit against this Sector Scheme. Organizations will have to demonstrate that they have been audited for office based and site-based activities.
- 2.3 In addition to any requirement for the organization to notify the Secretary of the Sector Scheme, as detailed in paragraph 4.4 of section 4 of this SSD, the organization shall record their registration to this sector scheme on the Schedule of Suppliers website <http://www.scheduleofsuppliers.co.uk> upon receipt of the certificate issued by their certification body to confirm their registration and thereafter keep their organization's information up to date.
- 2.4 In the event where delays prevent the certification body in providing the organization with a certificate of registration, organizations shall, on request, provide copies of the auditor's full report to the customer/client as evidence of his capability to safely carry out temporary MLC traffic management.

NOTE: "Office based activities" referred to in clause 2.2 above means

- a) having a quality management system in place which meets the requirements of this SSD (and ISO 9001:2015).

- b) having procedures which meet the requirements of this SSD
- c) having the capability to carry out mobile lane closure work
- d) having the required trained personnel*

* Where trained personnel are sub-contracted, they must be holders of the relevant smart registration card.

3. Interim Arrangements for Initial Implementation of this Sector Scheme

Not used

4. Trade Associations

4.1 Membership of a trade association or other similar body is not a requirement of this Sector Scheme.

Appendix J1: Feedback to Committee Chairperson

Any observations or feedback *relating to the content of this document or the process described* herein should be addressed (using the form below) to:

The Secretary
Sector Scheme Advisory Committee for NHSS12C
Lantra
Lantra House
Stoneleigh Park
Kenilworth
CV8 2LG

Issue Identified:

Suggested Action:

Name:
organization:
Address:

Contact details:

Date:

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

Appendix J2: Feedback to Certification Bodies

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

(a) Issue Identified:

(b) Organization's Details:

Name:

Address:

Feedback

(c) Organization raising feedback / issue

Name:

Organization:

Address:

Date:

Signed:

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

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

- a) Contract identified

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

 - ii) organization Identified as being awarded the contract or

 - iii) Both i) and ii) above

- c) Organization raising feedback / issue
Name:
Organization:
Contact details (Address, email address, telephone etc.)

- d) Date: Signed:

Highways England Roads/Contracts – Route for Feedback

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

Other Highway Authorities and Clients

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

Health and Safety Executive

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

Appendix K: The Interpretation of Certificates Issued by Certification Bodies

Whilst this is covered within NHSS 0 Part 4 it was felt that the scopes and sub scopes were important to have this as a mandatory appendix

NOTE: Inspection certificates are not a normal requirement of NHSS but may apply to vehicle recovery (NHSS 17). Certification Bodies (CB) issue Certificates of Registration (CoR) in a variety of styles as suits their particular house style. They may consist of a single CoR containing all the requisite information or the CoR may be a standard certificate with appendices or addendum attached providing the full scope of certification (services) and the location(s) where these services are offered by an organization. In the latter case, the CoR refers to the relevant appendices or addenda, which form an integral part of the certificate.

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

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

- The scope of registration including specific registration to ISO 9001:2015 and this NHSS including the scheme title e.g. National Highway Sector Scheme 12Cfor MLC
- 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 12C for MLC and any applicable categories with associated typical sub-categories where applicable.
- Logos for the NHSS, UKAS (or equivalent) and the CB.
- The name and address(es) of the organization
- The validity of the certificate (3 years for ISO 9001*, one year for inspection)
- A unique reference number/code
- The signature of a relevant CB official with their name and title

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

Categories currently in NHSS 0 Part 4 are: (see section 1 of 2008 version).

Activity	Primary Category (select)	Secondary Category (select)
Mobile Lane Closures	Dual Carriageways	With Hard Shoulders
		Without Hard Shoulders

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

Appendix L: Guidance for Clients

1. General

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

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

2. Specific Guidance

- 2.1 The NHSS for MLC was originally conceived as a document for use by Clients to specify the minimum standards for quality, training and competence of organizations used by them to carry out MLC.
- 2.2 The implementation of the NHSS and development of training and competency requirements is intended to provide:
 - a) A competent workforce.
 - b) Requirements to evaluate risks and develop processes associated with MLC activity and the production of an associated comprehensive quality plan for each contract.
- 2.3 It is necessary for the Client to ensure that all those involved in carrying out MLC activities are appropriately trained, skilled and competent, whether or not they are directly employed. The training and assessment of competency schemes described in this SSD are designed to cater for the range of skills within the overall process of MLC.
- 2.4 Clients and Customers that require confirmation of compliance with the Contract Specification in respect of the supply of services, products or materials should confirm that the quality management system certificate issuer is accredited by UKAS or equivalent and that specific reference is made to relevant NHSS on certificates. (See Appendices F and K).
- 2.5 For the NHSS to achieve its objectives it is essential that Clients, either directly or via the agents and individuals they employ, ensure that the requirements of this document are complied with. This includes ensuring that sub-contractors employed directly or indirectly, are registered to the NHSS. Supervisory staff must be instructed to carry out spot checks of identification/skills cards.
- 2.6 The Schedule of Suppliers Management Team have established and manage a schedule of registered companies that have been registered to National Highway Sector Schemes; free access to the schedule is obtained by logging on to the Lantra website <http://www.scheduleofsuppliers.co.uk>. However, it should be noted that only those companies that register on the schedule are listed. Clients should contact Lantra by email at scheduleofsuppliers@lantra.co.uk to ascertain/check the status of an organization if it is not listed on the schedule.

2.7 Client check list

The following example can be used to prepare a checklist assess the validity of contracting organisation claims for compliance with this SSD:

1. Is the organisation listed on the SoS web-site for the scope of work required?
2. Is there an ISO 9001 certificate present?
3. Has the ISO 9001 certificate been extended to cover NHSS 12C?
4. Is the Certification Body that issued the certificate accredited to UKAS for ISO9001?
5. Is the Certification Body that issued the certificate accredited to UKAS for assessments to NHSS 12C?
6. If the answer to 4 or 5 is No – is the accrediting body equivalent to UKAS and accepted as such by UKAS?
7. Does the scope of works of the ISO 9001 certificate, covered by the NHSS 12C extension cover the actual works intended to be covered by the contract?
8. Is there an audit or surveillance visit report from the Certification Body?
9. If the answer to 10 is No – when is it due?
10. If the answer to 10 is Yes – are there any action points outstanding which should have been completed within six months?
11. Do the named employees to be used on the works have valid in date Lantra/CSCS Smart Registration Cards?
12. Is the scope of the works within the competency scope of the employees?
13. Is the organisation intending to sub-contract any of the works?

If the answer to 10 is Yes – repeat q 1- 9 for that organisation, if necessary, replacing NHSS 12C by relevant NHSS

3 Road Death Investigation

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

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

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

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

Reference should be made to Highways England IAN166 for further guidance.

4 Corporate Manslaughter and Corporate Homicide Act 2007

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

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

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

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

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

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

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

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

Contact us

For specific questions about the act and guidance:

- Ministry of Justice

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

- HSE Infoline

5 Other aspects

None

Appendix M: Guidance for organizations

NOT USED

Appendix N: Guidance on the Relationship between this NHSS and other NHSS's

NOT USED

(11/18) **Appendix O: How to Register on the Schedule of Suppliers**

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

The process for registering on the Schedule of Suppliers can be found in the user guide which is available to download using the following link: <https://www.scheduleofsuppliers.co.uk/node/61>

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

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

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

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

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

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

(11/18) **Appendix P: Maintenance of TTM Vehicles and Equipment**

Temporary traffic management requires vehicles, specialist vehicles and/or mobile equipment for the installation, maintenance and removal of temporary traffic management measures on the road network. It is essential that these vehicles and mobile equipment are maintained in a fit condition and are fit for purpose. Vehicles must comply with the road traffic act, and it is recommended that servicing and inspections are carried out in accordance with the manufacturer's maintenance requirements, VOSA requirements for HGVs and as appropriate manufacturer's maintenance requirements of any specialist equipment that may be fitted to the vehicles (to ensure that it is fit for purpose and operates in the manner for which it is designed).

It is recommended that vehicles are visibly plated to indicate when regulated inspections have to be carried out, for instance this will include MOT examination, LOLER inspections as necessary.

Impact protection vehicles will require a rigorous inspection regime of the LMCC or TMA to ensure continued suitability.

When TTM vehicles and equipment are rented from a plant hire company (or another company), the organization shall require up to date documented evidence of safety inspections, servicing, examinations, testing and maintenance of such vehicles and equipment to be furnished by the hire company.