

PAVEMENT TESTING SERVICES (PTS) LIMITED
PTS PRODUCT ASSESSMENT AND CERTIFICATION

PRODUCT ACCEPTANCE SCHEME
MCHW SHW VOLUME 1 CLAUSE 104.15 AND 104.16

GUIDELINES AND CRITERIA DOCUMENT

PTSSG 946R

**FOR THE ASSESSMENT AND CERTIFICATION OF HOT AND COLD LAID ASPHALT
SURFACING MATERIAL FOR POTHoles REPAIRS, IRONWORKS, UTILITY
REINSTATEMENTS, AIRFIELD REPAIRS, PATCHING, LOCAL REPAIRS AND OTHER
SIMILAR USE INCLUDING NARROW AND MICRO TRENCHES FOR PROPRIETARY
MATERIALS**

Acknowledgements

This document is published under the Pavement Testing Services Limited, referred to PTS Ltd herein Product Assessment and Certification Scheme (PTSPAS).

This document has been compiled by PTS Ltd.

This current version of the PTS Guidelines and Criteria Document PTSSG 946R has been reviewed and endorsed by PTS Technical Supervisory Panel (PTSTSP). This is a living document, developed from the current industry Specifications, Codes of Practice, and best practice, undergoing editing and updating to incorporate any forthcoming changes to the industry documents.

The PTSTSP provides technical oversight on the operation of the Scheme, formally consents to the issue of assessment and certification requirements of the Specialist Groups (SGs) and includes interested parties within:

- Roads Authorities
- Statutory Undertakers
- Patching and Reinstatement Contractors
- Material Suppliers
- System Providers

Terms and Conditions

This Guidelines and Criteria Document must be read, considered, and used as a whole document – it may be misleading and will be incomplete to be selective.

Use and copying of this Guidelines and Criteria Document is permitted only in accordance with these Terms and Conditions.

References in this Guidelines and Criteria Document to any Act of Parliament, Statutory Instrument, Directive or Regulation, British, European or International Standard, Code of Practice, manufacturers' instructions or similar publication, are references to such publication in the form in which it was current at the date of this Guidelines and Criteria Document.

PTS Ltd shall undertake and certify product assessment in accordance with this Guidelines and Criteria Document whilst following its Internal Process W15 – PTS Product Assessment and Certification, available for reference on PTS Ltd website, as required in PTS Product Acceptance Scheme in accordance with Manual of Contract Documents for Highway Works (MCHW) Specification for Highway Works (SHW) Volume 1 Clause 104.15 and 104.16 and associated processes and procedures.

PTS Ltd makes no warranties, representations, or undertakings in respect of this Guidelines and Criteria Document. In no event will PTS Ltd be liable for any direct or consequential loss or damage arising from its use or use of, or reliance on its content.

Revisions

Issue	Details / Revision Changes	By	Reviewed / Approved By	Date
1	Formation of Guidelines and Criteria Document	CH	PTS	11.04.17
2	Further development of Guidelines and Criteria Document	CH	PTS	29.08.17
3	Further development of Guidelines and Criteria Document	CH	PTS	28.03.18
4	Further development of Guidelines and Criteria Document	CH	PTS	01.04.18
5	Review of SHW 900 Series Issue May 2018 and consolidate PTSTSP comments	CH	PTS	04.07.18
6	Further development of Guidelines and Criteria Document	CD	PTS/TSP	12.10.18
7	Further development of Guidelines and Criteria Document	VS	PTS	01.02.19
8	Review of latest version of SROH (v4) in line with Guideline Document requirements, editorial changes	VS	PTS/TSP	November 2020

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Scope

The purpose of this Guideline and Criteria Document is to set out the criteria for the Assessment and Certification of reinstatement hot-laid and cold-laid materials under the PTS Assessment and Certification System, in line with this Guidelines and Criteria Document whilst following PTS Process W15 PTS Product Assessment and Certification as required in PTS Product Acceptance Scheme in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16.

The product assessment shall be carried out in accordance with the Guidelines and Criteria shown in Appendix 1.

For the purpose of this Guidelines and Criteria Document, appropriate extracts from MCHW SHW Series 900 and Specification for the Reinstatement of Openings in Highways (SROH) and Specification for the Reinstatement of Openings in Roads (SROR) Scotland will be known as the *Specification*.

The adopted test methods, in-situ and laboratory test results shall be derived from UKAS accredited testing laboratories to ISO/IEC 17025, for the relevant sampling and test methods, recognized research bodies and Universities and/or data supplied by the Overseeing Organisation. The content of this Guidelines and Criteria Document is for assessment and certification purposes only and is not intended for use on a contractual basis as a *Specification*. If other claims are being made by the Applicant additional assessment work can be considered and detailed within the issued Certificate under 'Other Investigations'.

Product Assessment and Certification processes followed in this Guidelines and Criteria Document are structured and implemented to provide assurance to PTS Ltd that the product, when supplied for its intended use and installed or processed post manufacture shall be in accordance with the manufacturer's instructions and will give the performance and level of safety required by the Specification and be fit for purpose.

Technical reference and standards referred to within these Guidelines and Criteria Document in the form in which it was current at the date of this Guidelines and Criteria Document are the current published versions. Please refer to Bibliography for details.

The Assessment and Certification requirements for the product certified under this Scheme shall be developed ensuring due consideration to the requirements of the users of the products and those responsible for the highways on which such products shall be used or installed.

PTS Ltd are an UKAS accreditation Certification Body for BS EN ISO/IEC 17065 for product certification, detail as per UKAS Schedule (see website for most current version).

PTS Ltd as a Notified Body (2448) can award CE Marking under Regulation (EU) No 305/2011.

PTS Ltd are registered on the EOTA (European Organisation for Technical Assessment) as a Technical Assessment Body (TAB) complying with the competencies requirements of MCHW SHW Volume 1 Clause 104.16 (i) and Table 1/1.

<https://www.eota.eu/en-GB/content/how-to-find-a-tab/55/>

The requirement of MCHW SHW Clause 104.15 for Product Acceptance Scheme is satisfied by PTS's Product Assessment and Certification capability against Guidelines and Criteria as set out in MCHW SHW. PTS Ltd assumes all responsibility in accordance with MCHW SHW and any normative reference documents.

Definitions, Abbreviations and Acronyms

PTS Ltd	Pavement Testing Services Ltd
PTSPAS	Pavement Testing Services Product Assessment Scheme
PTSTSP	Pavement Testing Services Technical Supervisory Panel as defined in MCHW SHW Volume 1 Clause 104.16
PTS Approved Laboratory	A laboratory approved by PTS Ltd to carry out test work on behalf of PTS Ltd, i.e. sub-contracted by PTS Ltd, which may lead to the approval of a product and the issue of a PTS Certificate. Before approval, the laboratory will have demonstrated to PTS Ltd that it has the relevant expertise, equipment, and quality systems in place to carry out the work required
MCHW	Manual of Contract Documents for Highway Works
SHW	Specification for Highway Works
SROH	Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways
SROR	Specification for the Reinstatement of Openings in Roads
DMRB	Design Manual for Roads and Bridges
NHSS	National Highways Sector Scheme
CoP	Code of Practice
COSHH	Control of Substances Hazardous to Health
UKAS	United Kingdom Accreditation Service
Visual Assessment	Procedure for assessing visual condition
QMS	Quality Management System in accordance with BS EN ISO9001:2015
FPC	Factory Production Control
SG	Specialist Group
Quality Plan	Quality Plan is the defined group of instructions that document the methodology to be followed for the planning, implementation, and assessment procedures

Method Statement	Method Statement is a documented description that gives specific instructions on how to undertake activities safely and the measures needed
Overseeing Organisation	Organisations responsible for the development of highway / road network in England, Scotland, Wales, and Northern Ireland
Applicant	Company requesting for PTS Ltd to provide assessment and certification
Certificate Holder	Company awarded with PTSPAS Certificate
Lead Auditor	A recognised lead auditor having satisfactorily completed an approved training course in Management system(s) operation and auditing. The course must have included an examination recognized by IRCA standards, with competent audit management skills. Competencies for Technical Assessment Bodies given in Regulation (EU) No 305/2011, the Construction Products Regulation, Annex IV, Table 2 with the additions given in Table 1/1 of SHW of Clause 104.16 also required
Technical Expert	Person with competent working knowledge of nationally recognised technical discipline within the construction industry, to provide technical expertise during certification audits / assessments in conformance with standards, PTS procedures and processes. Competencies for Technical Assessment Bodies given in Regulation (EU) No 305/2011, the Construction Products Regulation, Annex IV, Table 2 with the additions given in Table 1/1 of SHW of Clause 104.16 also required
Corrective Action Report	Detail corrective actions following non-conformance / finding raised during an assessment stage. The report details the cause and extent of the non-conformity, action taken (including action to prevent recurrence) and the corrective action submitted to enable review of effectiveness of correction, its verification and satisfaction close out of the non-conformance or additional action if necessary.

Assessment Stages

The sequence for assessment is carried out in stages and the process is in line with PTS Process W15 PTS Product Assessment and Certification as required in PTS Product Acceptance Scheme in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 and PTS Procedure V4 Audit Plan for evaluation, review, decision and certification, available for reference on PTS website.

Conducting Audits / Assessments

In order for an effective assessment to be conducted, auditors and technical experts shall conduct audits and assessments in a professional manner and all data/documented information shall be handled with utmost confidentiality in accordance with PTS Process W3 - On Site Audit, available for reference on PTS website.

Definitions Used during the Audit / Assessment

Opportunity for Improvement or Observation

May be identified and recorded without recommending specific solutions, unless prohibited by the requirements of the Scheme. May have no current risk to the functioning of the system, may lead to non-conformity going forward if not addressed. They should be considered for potential improvement and to further investigate any weaknesses for possible inclusion in the corrective action program.

Non-Conformities

Represents a weakness or issue based on objective evidence, the absence of, or a significant failure to implement and/or maintain conformance to the requirements of the applicable Standard / Specification / Code of Practice / etc. or a situation which would on the basis of available objective evidence, raise significant doubt as to the conformance of products that are to be placed on the market. Each non-conformity raised shall be recorded against a specific requirement of the audit criteria and shall contain a clear statement in the report of the category of the non-conformity and identify in detail the objective evidence on which the non-conformity is based.

Audit findings which are non-conforming shall not be recorded as opportunity for improvement.

Non-conformities shall be discussed with the Applicant to ensure that the evidence is accurate and that the non-conformities are understood. The Applicant shall analyse the cause of the non-conformity and describe the appropriate corrective action to be taken or planned to be taken to eliminate the non-conformity. A defined time frame shall be agreed for the corrective action to be taken and submitted to PTS Ltd. Details are submitted to PTS Ltd using the Corrective Action Report Form and the submission of corrective action.

The audit team leader shall attempt to resolve any diverging opinions between the audit team and the Applicant, concerning audit evidence or findings, any unresolved points shall be raised and recorded, in line with PTS Ltd procedures and processes for corrective actions, complaints and appeals (available on request) and Terms of Business. The Complaints, Appeals and Disputes Policy is available for reference on PTS website.

Audit Report

PTS Ltd shall provide a written report for each audit to the Applicant. The audit team may identify opportunities for improvement but not specific solutions. Ownership of the audit report shall be maintained by PTS Ltd.

The audit team leader / technical expert shall ensure that the audit report is prepared from all evidence as submitted from the audit team and shall be responsible for its content. The audit report shall provide an accurate, concise and clear record of the audit to enable an informed decision in the Applicant's readiness for the next stage of the assessment process.

PTS Ltd shall retain ownership of the audit reports.

PTS Ltd shall review the corrections, corrective actions and identified causes as submitted by the Applicant to determine if these are acceptable. PTS Ltd shall verify the effectiveness of any correction and corrective actions taken. The evidence obtained to support the resolution of non-conformities shall be recorded on the Corrective Action Report Form.

The Applicant shall be formally informed of the result of the review and verification and advised if an additional full audit, an additional limited audit or documented evidence (to be confirmed during future audits) will be needed to verify effective corrections and corrective actions.

Verification of effectiveness of corrections and corrective actions can be carried out based on a review of documented information provided by the Applicant, or where necessary, through verification onsite. This activity would be carried out by a member of the audit team.

Application Submission

Applicants will already be certified to BS EN ISO 9001:2015 and if services are supplied to Highways England under MCHW SHW, certification under the relevant National Highway Sector Scheme for the work carried out is required for both Applicant and any external installers (specific requirements are detailed in Stage 3 and Appendix 1). For other installation, certification under the relevant National Highway Sector Scheme requirements for the product(s). Or shall have received specific training in the use and installation of the type of product. In the case of production only – the product shall be designed to be installed by a competent installer experienced with that type of product.

Applicant's details and acceptance shall be provided by completing the relevant forms prior to proceeding and providing the following:

- Application and Client Information Forms (to be completed by the Applicant)
- Purchase Order
- Product Assessment Documentation as detailed in Stage 1 Documentation Review (see below)
- Certificate for existing Quality Management System (QMS) to BS EN ISO 9001:2015 / Factory Production Control (FPC) / National Highway Sector Scheme (NHSS) certification

The Contract Review process commences to ensure PTS Ltd can accommodate the Applicant's requirements as detailed in PTS Process W4 Certification, available for reference on PTS website.

Stage 1

Documentation Review

Stage 1 audit is performed by a lead auditor, following receipt of Applicant's documentation and authorisation to proceed, either by desk study review of the documentation supplied to PTS Ltd head office or by a visit to the Applicant's premises.

This stage reviews the most recent third-party BS EN ISO 9001:2015 QMS Audit Report, non-conformities (if any) close-out, observations, and any identified opportunities for improvement. In addition to the surveillance audit report, PTS Ltd will also require information to be provided to satisfy the QMS details as required in the Quality Plan (details below) Plan and Method Statement, as necessary.

If external installers are used, the most recent third-party applicable National Highway Sector Scheme Audit Report comprising non-conformities (if any), close-out, observations, and any identified opportunities for improvement, is also required. If not available, competency must be defined and training evidence on installation is required.

In addition, the Quality Plan shall incorporate the requirements of SHW Clause 104 to demonstrate leadership engagement, competencies and continuous improvement and shall include details of the "hold points" - SHW 104.6 and the product to be assessed and production procedures:

- The Applicant shall ensure the Quality Plan includes hold points where no further work shall proceed without written approval of a designated person of the Applicant's management, who shall be named in the Quality Plan
- The Applicant shall ensure the Quality Plan and associated quality documentation are made available to all parties involved with the works

– The Quality Plan shall include:

- Organisation and Management structure, including organization of the contract, line command and communication links between parties involved in the contract on and off site. Names, roles, responsibilities and authority of principals and key personnel
- Identification of the parts of the QMS relevant to the works
- Supply chain management – including control and communications processes, assessment of the suppliers and subcontractors QMS and quality control capabilities, monitoring arrangements, review and acceptance of work items being undertaken by the subcontractor or supplier
Details of registration to relevant NHSS or other QMS schemes applicable to this Guidelines and Criteria Document and scheduling of Quality Plan required by this document and associated NHSS and other QMS schemes
- Document Control – controls relevant to the Works, including the control and processing of testing results, materials and workmanship certification, quality records in accordance with SHW 104.7 and FPC (where required)
The control and scheduling of all documentation as required by the Specification and submitted to the Overseeing Organization as required throughout the works and the control and processing of test results that confirm the verification of the product within the design requirements for their product. This information will be used to validate that subsequent production meets the design requirements.
- Resource management – including details of relevant skills and experience of personnel involved in the works. Relevant training and/or competency assessment certificates and/or registration/skills cards for the workforce as required in any NHSS in accordance with SHW 104.10, or scheduling of when they will be provided to the Overseeing Organization for acceptance prior to the commencement of relevant work.

In the case of production only – the product shall be designed to be installed by a competent installer experienced with that type of product.

- Method Statements – for initial items of work and scheduling shall be submitted a minimum of 14* days prior to the commencement of the relevant work (*time-period, can be amended to suit the particular-requirements); shall contain:
 - Method statement for installation
 - Limitations in respect to weather and substrate conditions
 - General installation procedures, instructions for product application, maximum coverage area
 - Storage and handling of materials
 - On site quality control / assurance procedures and associated documentation**Note:** Method Statement – Please refer to Stage 3 and Appendix 1 for the specific requirements
- Hold Points as per MCHW SHW Clause 104.6.

The lead auditor / technical expert shall submit their findings and recommendations in a written report. The report provides a focus for planning Stage 2 by gaining understanding of the system to determine the preparedness for the Stage 2 audit.

The interval between the Stage 1 and Stage 2 audits is determined with consideration given to the needs of the Applicant to resolve areas of concern identified during the Stage 1 audit. PTS Ltd also considers whether any revisions are required to its arrangements for the Stage 2 audit.

Stage 2

Audit of BS EN ISO 9001 Section 8.3 process 'Design and Development of Products and Services'

The Stage 2 audit is performed by a lead auditor with the technical expertise for the scheme or by a lead auditor assisted by a technical expert as necessary at the Applicant's premises.

- Audit of the process supporting the technology with specific respect to the BS EN ISO 9001 Section 8.3 'Design and Development of Products and Services' and how that interacts with leadership, resources and contract review at the Applicant's premises
- Review product CE Marking and DoP (if applicable)
- For non-CE Marked products, PTS Ltd shall review the Applicant's submission for production procedures/processes, such as material controls and records, to ensure a consistent product to confirm the Quality Plan for the FPC.

If the product includes hazardous substances, (i.e. that require special precautions to be taken under the COSHH Regulations), the Applicant must supply all the relevant data. No formal assessment of the suitability of this data, in terms of the COSHH regulations, is undertaken by PTS Ltd. However, this data will always be required by PTS Ltd and its subcontractors to ensure the safe use and testing of the product in their laboratories. The Applicant's instructions for use must include all necessary data to allow the safe use of the product.

The lead auditor / technical expert shall submit their findings and recommendations in a written report. The report provides current status of the Applicant activities in line with BS EN ISO 9001 Section 8.3 'Design and Development of Products and Services'. The time frame for resolving areas of concern identified during the Stage 2 audit shall be agreed and details of corrective action submitted to PTS Ltd. Evaluation and implementation of corrective actions shall be reviewed prior to the Stage 3 audit.

Stage 3

Installation Method Statement Audit

The Applicant shall confirm to PTS Ltd and the relevant interested parties prior to the intended date of the installation trial, details of:

- Start date(s) of the planned works
- Site address(s) road type/category
- Site / location plan
- Product Health and Safety data sheet
- Installation Method Statement (comprising the information as required under the Quality Plan in Stage 1 above, e.g. substrate condition and suitability assessment, surface preparation, installation, after-care)
- Installer competencies (relevant National Highways Sector Scheme or Specific Competency Scheme). The installer shall provide the most recent third-party relevant National Highway Sector Scheme audit comprising non-conformities (if any), close-out, observations, and any identified opportunities for improvement. Or provide evidence of specific training received in the use and installation with the type of product.
In the case of production only, the product shall be designed to be installed by a competent installer experienced with that type of product, in which case competency must be defined and training evidence on installation is to be provided.

The installation will be witnessed and assessed by PTS's lead auditor with the technical expertise for the scheme or by a lead auditor assisted by a technical expert to cover the installation procedures as defined in the Applicant's Installation Method Statement (IMS) along with the process control and evidence of approved suppliers / contractors. The IMS shall contain substrate condition and suitability assessment, substrate preparatory works, any defects remedial, installation procedures, air/road surface temperatures and any limitations.

The Applicant must arrange for a UKAS accredited testing laboratory to ISO/IEC 17025 or recognized research bodies to undertake validation including taking samples for laboratory testing from the installation.

The lead auditor / technical expert shall submit their findings and recommendations in a written report. Any areas of concern identified during the IMS audit shall be agreed and details of corrective action submitted to PTS Ltd.

The technical aspects of the IMS audit, including photography, site locations and details, installers, etc. will be summarized in a standalone report prepared by PTS Ltd, referenced in the Assessment Certificate and available to PTSTSP / Overseeing Organisation upon request.

Stage 4

Review of Technical Data Relating to Design Inputs Verification and Consolidate Case Studies of the 'Scheme' / 'Trial'

Product Performance Trial / Visual Condition Inspection of selected case studies

No history of use

- A 2-year* product performance trial will be required if it cannot be demonstrated that the product has performed satisfactorily over a two-year period on sites representative of its intended end use. The installation will be assessed as described above in Stage 3.

or

Where innovation allows (*alternative to a 2-year trial), evidence of any site detail and/or laboratory simulative testing shall be submitted to the PTSTSP for comment/agreement by means of submission of the Stage 4 Technical Report. The report shall contain details of laboratory testing and site testing data information. The Report as submitted to PTSTSP will ascertain the material's suitability for acceptance as an alternative to the 2-year performance trial. If deemed acceptable, detail of the Report will be referenced in the Assessment Certificate.

PTSTSP members agreement to the innovative alternative option is by their comments/response to PTS Ltd within the agreed timeframe. The PTSTSP is made up of varied industry representatives with technical expertise and their opinion on acceptance is pivotal. Additional surveillance requirements may be considered. In this case, the testing and additional surveillance program should be agreed by the PTSTSP and carefully developed with engagement from the Applicant.

History of use - retrospective process

- Where an assessment certificate already exists for a product and an installation trial has already been carried out, existing data relating to the trial, if suitable, may be used for assessment purposes under this stage.

Fully traceable details from previous assessment, existing site details where the product was used shall be submitted.

Representative sites must be available for review by PTS Ltd through inspections and technical information should be gathered on the product.

The suitability of the data and evidence gained will be submitted to PTSTSP to ascertain its suitability. If deemed acceptable, the site inspection findings and associated information will be consolidated in a standalone report prepared by PTS Ltd, referenced in the Assessment Certificate and available to the PTSTSP and Overseeing Organisation upon request.

Acceptance of data / consolidation of technical support information

PTS Ltd will accept test data from laboratories with UKAS testing accreditation to ISO/IEC 17025 or a PTS Ltd approved laboratory for the specific tests, provided they are performed on samples that can be traced to the manufacturing location and the site identified. If a PTS Ltd approved laboratory is employed, they will be required to submit a copy of their test method procedure to PTS Ltd.

Adopted laboratory test methods and procedures shall be as detailed in Appendix 1, with any additional relevant tests if required, as agreed with the Applicant and the PTSTSP.

Stage 5

Review of Details

Reports generated from Stages 1 to 4, comments, non-conformities and where applicable, the correction and corrective actions taken together with any conditions or observations are reviewed by the lead auditor and technical expert to confirm that all evaluations stages have been carried out and evidence shows compliance with the Guidelines and Criteria Document requirements and those specified in associated standards / normative documents the recommendation whether or not to grant certification is submitted to PTS Ltd Management Committee.

Stage 6

Submission to PTS Management Committee

The PTS Ltd Management Committee shall conduct a review of all submitted detail for content and accuracy and all the information provided which relates to the application and evaluation of the certification assessment requirements.

Certification Decision

PTS Ltd shall be responsible for, and shall retain authority for, its decisions relating to the assessment and certification process. The decision for a draft certificate to be raised shall be made by independent person(s) or group of persons that have not been involved in the evaluation process for submission to PTSTSP in accordance with PTS Process W4 Certification, available for reference on PTS website.

Stage 7

Draft Certificate Submission to PTSTSP

The draft certificate is raised and submitted to PTSTSP in line with the PTSPAS processes. PTSTSP role is to provide governance and technical oversight on the submitted evidence, to review and comment on the draft certificate to ensure compliance with the Guidelines and Criteria Document requirements and those specified in associated standards / normative documents.

On completion of evaluation each panel member either accepts the content of the draft certificate as a non-response to PTS Ltd or forwards their response / comments to PTS Ltd, for addressing prior to publication of the certificate.

Stage 8

Consolidation of Amendments / Approval

PTS Ltd shall collate all the information, review the details and assess whether a consensus meeting is required to complete the evaluation or if additional information is required / or minor wording amendment. If a consensus meeting is required, the PTSTSP will meet and agree the requirements to satisfy the Guidelines and Criteria Document requirements.

Certification Decision

On the completion of stage 8, PTS Ltd shall be given approval for the proposed certificate by the PTSTSP, following completion of all necessary requirements and acceptance of notification of the proposed publication date.

Stage 9

Assessment Certificate Authorisation

Prior to issue and publication, provided that no concerns were raised about the conduct of the certificate generation, the Certificate shall be endorsed by PTS Ltd Management Committee and subsequently consented by the PTSTSP.

Stage 10

Certification Documentation

The formal Certification documentation issued by PTS Ltd shall clearly convey:

- Accreditation Authority (name and address)
- Date certification is granted and expiry date of certification
- Annual surveillance audit date
- Specialist Group (SG) Reference and certificate number
- Name and address of the Applicant organisation
- Material's designation
- Assessment of relevant Installed properties
- Assessment of relevant in-service properties
- Any other information required by the certification scheme
- Signature or other defined authorisation of the person(s) of PTS Ltd assigned such responsibility

PTS Ltd reserves the right to amend or supplement the tests required for the Assessment and Certification at any time if deemed as required after consultation with PTSTSP. The cost of all further tests will be borne by the Applicant.

The PTSPAS will be described on the published certificates as 'PTS Product Assessment and Certification as part of Product Acceptance Scheme MCHW SHW Volume 1 Clause 104.15 and 104.16'.

The Certificate issued will be subject to the PTS Terms of Business, which can be found on the PTS Ltd website: www.ptsinternational.co.uk.

Stage 11

Publication of Certification Documentation

Assessment Certificates are published on the PTS Ltd website: www.ptsinternational.co.uk.

Stage 12

Annual Surveillance Requirements / Agreement and Implementation of Validation

PTS Ltd shall conduct annual surveillance audits of the Certificate Holder's processes, procedures and production controls defined at the outset continue to apply. Any certificate changes and how change is managed in accordance with this Guidelines and Criteria Document, relevant standards and normative documents are also assessed. PTS Ltd shall also review the installers third-party National Highway Sector Scheme audit reports, to ensure ongoing validation of the demonstration of fulfilment of product and installation requirements. If not available, relevant Specific Competency Scheme training evidence on installation of the product is required.

Annual surveillance audits cover the PTSPAS requirements as above with 3-year re-certification audit. Specific visual inspection, data and any additional surveillance requirements are required in accordance with Appendix 1 and Stage 4 respectively.

During the validity of any Certificate, the Certificate Holder is responsible for the Quality Assurance / control of the production and performance monitoring at the manufacturing location(s) as declared to PTS Ltd.

[Review of Validation Methodology to be adopted during the future annual surveillance audits](#)

Annual surveillance assessments are carried out in accordance with PTS Assessment and Certification System, MCHW SHW, Codes of Practice, Guidelines and Criteria Document, associated specifications, standards and normative documents, PTS Ltd policies, procedures, and processes.

The annual assessment report as compiled by the lead auditor / technical expert, comments, non-conformities and where applicable, the correction and corrective actions taken together with any conditions or observations are reviewed by the PTS Management Committee for content and accuracy in line with the Certificate.

PTS Ltd shall be responsible for, and shall retain authority for, its decisions relating to the assessment and certification process. Data storage /accessibility will be retained in line with Legislation, regulatory, standard, and PTS Ltd policy, and procedure requirements.

[Suspension / Withdrawal of Certificate](#)

PTS Ltd shall suspend or withdraw the certificate if the Certificate Holder's management system / process / product(s) has persistently or seriously failed to meet PTS Ltd Terms of Business requirements, if the Certificate Holder does not allow surveillance or recertification assessments to be conducted at the required frequencies or if the Certificate Holder has voluntarily requested a suspension.

The Certificate Holder shall be notified in writing of such a decision in writing by a member of the PTS Ltd Certification Management team. The letter shall state whether it is intended for suspension or withdrawal, the reason(s) and any additional actions required. PTS Ltd shall allow 30 days for the Certificate Holder to respond before suspension is implemented. The Certificate Holder provide appropriate corrective action that is acceptable to PTS Ltd, accept the suspension or withdrawal or appeal the decision.

When a decision on suspension / withdrawal has been made, that suspension / withdrawal shall remain effective until the appeal process is completed, and a decision has been reached. PTSTSP shall be informed. If the Certificate Holder fails to act within the 30 days, withdrawal of the certification shall be immediate.

Suspensions are intended to be temporary. Suspensions shall be processed as withdrawals if re-certification is not completed by the next assessment date or within a 6 months period, whichever comes first.

Whilst suspended, the Certificate Holder loses the privilege of delivering the certified products / processes under the Certificate. The letter of suspension details the restrictions imposed on the Certificate Holder as a result of the suspension.

The Certificate Holder must refrain from promoting its certification status during suspension / withdrawn activities in any promotional materials, letterhead, or any other documents or media. The Certificate Holder shall also remove any displayed certificate on its premises or media format.

PTS Ltd shall make the suspension or withdrawal status of the Certificate Holder publicly accessible and in addition where other parties are involved such as regulatory bodies, those shall also be notified by PTS Ltd of the changes in the certification scope and shall take any other measures it deems appropriate during Certificate Holder suspension / withdrawal.

Failure to resolve issues that caused the Certificate to be suspended in the established time frame shall result in withdrawal of the Certificate.

A PTS Ltd Certificate Holder may voluntarily suspend or withdraw its certificate at any time by providing written notice to PTS. Requests must clearly state the reason. Requests will normally be processed within 10 days. Any fees / monies due shall be payable to PTS at this time.

PTS Ltd shall take necessary actions and modifications to formal certificate documents, public information, authorisations for use of marks etc, to ensure the suspension / withdrawal is clearly communicated and details clearly specified in its documentation and public information.

An immediate suspension of the Certificate Holder's Certificate shall be imposed by PTS Ltd when there is evidence to support that one or any number of critical non-conformances have been found or the Certificate Holder has declined any additional surveillance by PTS Ltd. The Certificate Holder can appeal the decision for an immediate suspension according to the appeal process, available on request.

Bibliography

BS EN ISO/IEC 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services

BS EN ISO/IEC 17067:2013 Conformity assessment – fundamentals of product certification and guidelines for product certification schemes

BS EN ISO 17025:2005 / 2005 General requirements for the competence of testing and calibration laboratories

BS EN ISO 17025:2005 / 2017 General requirements for the competence of testing and calibration laboratories

BS EN ISO/IEC 9001:2015 Quality Management System Requirements

National Highway Sector Scheme Document 16 Particular Requirements for the Application of ISO 9001: 2015 for Quality Management of the Laying of Asphalt Mixes, May 2017

National Highway Sector Scheme Document 23 Particular Requirements for the Application of ISO 9001: 2015 for Quality Management of Small-Scale Repairs, March 2017

Manual of Contract Documents for Highways Works (MCHW)

Volume 1 Specification for Highway Works, July 2019

Volume 2 Notes for Guidance on the Specification for Highway Works, May 2018

Department for Transport – New Roads and Street Works Act 1991

Specification for the Reinstatement of Openings in Highways (SROH), Fourth Edition (England), May 2020

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Mastic Asphalt Council Technical Guides

RSTA ADEPT HE Code of Practice for Ironwork Systems Installation and Refurbishment, May 2017

BS 594987:2015 + A1:2017 Asphalt for Roads and Other Paved Areas. Specification for Transport, Laying, Compaction and Product Type Testing Protocols

BS EN 13108-1:2006/AC:2008 Bituminous mixtures — Material specifications Part 1: Asphalt Concrete

BS EN 13108-4:2006/AC:2008 Bituminous mixtures — Material specifications Part 4: Hot Rolled Asphalt

BS EN 13108-5:2006/AC:2008 Bituminous mixtures — Material specifications Part 5: Stone Mastic Asphalt

BS EN 13108-6:2006/AC:2008 Bituminous mixtures — Material specifications Part 6: Mastic Asphalt

BS EN 13108-8:2006/AC:2008 Bituminous mixtures — Material specifications Part 8: Reclaimed Asphalt

BS EN 12697-1:2012 / 2020 Bituminous mixtures – Test methods Part 1: Soluble binder content

BS EN 12697-2:2015:2015+A12019 Bituminous mixtures — Test methods Part 2: Determination of particle size distribution

BS EN 12697-8:2018 Bituminous mixtures - Test methods Part 8: Determination of void characteristics of bituminous specimens

BS EN 12697-12:2018 Bituminous mixtures — Test methods for hot mix asphalt Part 12: Determination of the water sensitivity of bituminous specimens

BS EN 12697-20:2012 / 2020 Bituminous mixtures — Test methods Part 20: Indentation using cube or Marshall specimens

BS EN 12697-21:2012 / 2020 Bituminous mixtures — Test methods for hot mix asphalt Part 21: Indentation using plate specimens

BS EN 12697-22:2020 Bituminous mixtures - Test methods Part 22: Wheel tracking

BS EN 12697-26:2018 Bituminous mixtures - Test methods Part 26: Stiffness

PD 6691:2015 + A1:2016 Guidance on the use of BS EN 13108, Bituminous Mixtures – Material Specifications

BS EN 13036-1:2010 Road and Airfield Surfacing Characteristics – Test Methods Part 1 Measurement of Pavement Surface Macrotexture Depth using a Volumetric Patch Technique

BS EN 13036-4:2011 incorporating corrigendum March 2013 Road and Airfield Surface Characteristics – Test Methods Part 4 Method for Measurement of Slip / Skid Resistance of a Surface: The Pendulum Test

Design Manual for Roads and Bridges CD236 Surface Course Materials for Construction

PTS Technical Supervisory Panel Instructions

W15 PTS Product Assessment and Certification as part of Product Acceptance Scheme in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16

V4 PTS Procedure Audit Plan

W3 PTS Process - On Site Audit

Appendix 1 – Guidelines and Criteria Requirements

PTS PRODUCT ASSESSMENT AND CERTIFICATION (PTSPAS)

AS PART OF PRODUCT ACCEPTANCE SCHEME MCHW SHW VOLUME 1 CLAUSE 104.15 AND 104.16

PTSSG946R Asphalt Materials for Potholes Repairs, Ironworks, Utility Reinstatements, Airfield Repairs, Patching, Local Repairs, and other similar use including narrow and micro trenches (proprietary materials)

Relevant Documents	
Specification	<p>Manual of Contract Documents for Highway Works Volume 1 Specification for Highway Works, July 2019 Clause 946 Local Repairs</p> <p>Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways (SROH), Fourth Edition (England), May 2020</p> <p>Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways (SROH), Third Edition (England), April 2010</p> <p>Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways (SROH), Second Edition (Northern Ireland and Wales), 2002</p> <p>Specification for the Reinstatement of Openings in Roads (SROR), Fourth Edition (Scotland), May 2019</p>
Code of Practice	<p>RSTA ADEPT HE Code of Practice for Ironwork Systems Installation and Refurbishment, May 2017</p> <p>Mastic Asphalt Council Technical Guides</p>
Installation	<p>BS 594987:2015 + A1 2017 Asphalt for roads and other paved areas. Specification for transport, laying, compaction, and product type testing protocols.</p> <p>Areas of defectiveness greater than 1m² shall be repaired by inset replacement in accordance with Manual of Contract Documents for Highway Works Volume 1 Specification for Highway Works, Clause 702.10 (iv), Clause 903.21.</p> <p>Areas of defectiveness up to 1m² in surface area may be repaired with hot or cold asphalt materials using an inset patch. Manual of Contract Documents for Highway Works Volume 1 Specification for Highway Works, Clause 946.</p> <p>Reinstatements may also be carried out in accordance with Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways (SROH), Fourth Edition (England), May 2020</p>

Stage 1 Documentation Review

BS EN ISO 9001:2015

Quality Management System (QMS)

Review of existing certification to BS EN ISO 9001: 2015, latest QMS Audit Report, non-conformities (if any) close-out, observations, and any identified opportunities for improvement.

In addition to the surveillance audit report, PTS Ltd will also require information to be provided to satisfy the QMS details as required in the Quality Plan (SHW Clause 104.6), demonstration of leadership engagement, competencies, and continuous improvement.

If external installers are used, the most recent third-party applicable National Highways Sector Scheme Audit Report, comprising non-conformities (if any), close-out, observations, and any identified opportunities for improvement, is also required or training evidence on installation provided by the manufacture / installer (NRSWA Competence certificate).

Installation Method Statement, as detailed in Stage 3, is also required for review.

Stage 2

BS EN ISO 9001: 2015 SECTION 8.3 – Design and Development

Planning evidence

Evidence that the design and development was a planned process. This means an objective development of a project plan, identification of resources required and a close out report detailing stages including verification, validation, and change management.

Design inputs

Extracted from MCHW SHW Clause 946.15 and 946.16

Performance criteria shall be tested in accordance with the latest versions of the standards/normative references

Laboratory Evaluation

- Stiffness: ≥ 1 GPa after 28 days when tested in accordance with BS EN 12697-26 (ITSM method 20 °C)
- Resistance to permanent deformation: Classification No. 2 as defined in Table D.2 of BSI PD 6691

Additional Laboratory Evaluation

- Tests carried out by the Applicant in support of their design process

Data from Representative Area of material ($>2m^2$)

- Initial surface texture shall be not less than 0.9mm when measured using the volumetric patch method described in BS EN 13036-1
- Minimum wet Skid, Resistance value shall not be less than 60 when determined using the portable skid resistance tester (pendulum) in accordance with BS EN 13036-4

Additional Performance monitoring

- Air voids content in accordance with Table S10.1 (SROH)
- Thickness in accordance with Table A2.1 (SROH) [for hot laid]
- Durability

<p>Stage 2 BS EN ISO 9001: 2015 SECTION 8.3 – Design and Development cont..</p>	
<p>Design inputs cont.</p>	<p>Performance requirements shall be in accordance with the latest versions of the SROH and SROR relevant for the part of the UK where performance requirements are specified and other standards/normative references</p> <p>Performance Requirements (in accordance with S2 of SROH)</p> <ul style="list-style-type: none"> • Surface profile • Fixed features • Surface regularity • Structural integrity • Skid resistance
<p>Stage's 3 and 4 Installation Method Audit and Case Study Review</p>	
<p>Verification</p>	<p>As detailed in the main document</p> <p>Stage 3 Verification method by which the design requirements of product, installation requirements, in-service requirement and installation method statement fitness for purpose are established Laboratory test data/ evidence to demonstrate that the design and developments outputs meet the inputs requirements.</p> <ul style="list-style-type: none"> • Installer competence and training <p>Installation must be carried out in accordance with –</p> <ul style="list-style-type: none"> • BS 594987:2015 + A1 2017 Asphalt for roads and other paved areas. Specification for transport, laying, compaction, and product type testing protocols. • Manual of Contract Documents for Highway Works Volume 1 Specification for Highway Works, Clause 946. • Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways (SROH), Fourth Edition (England), May 2020 • Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways (SROH), Third Edition (England), April 2010 • Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways (SROH), Second Edition (Northern Ireland and Wales), 2002 • Specification for the Reinstatement of Openings in Roads (SROR), Fourth Edition (Scotland), May 2019 • Mastic Asphalt Council Technical Guidance

Stage's 3 and 4
Installation Method Audit and Case Study Review cont.

Verification cont.	<p>Stage 4 Product Performance / Visual Condition Inspection of existing sites - selected case studies / Acceptance of data / consolidation of technical support information.</p> <p>Where innovation allows and following consultation and approval from PTSTSP, simulative testing can be adopted instead of 2 year trial by means of a carousel with HGV loaded wheel which applies shear force, with the purpose of assessing the rate of aggregate and texture loss after various cycles of loading. The data is compared with existing control database at a recognised research or UKAS testing laboratory.</p> <p>Performance requirements criteria shall be tested in accordance with the latest versions of the SROH and SROR relevant for the part of the UK where testing requirements are specified and other standards/normative references</p>
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Stage 12
Annual Surveillance Requirements / Agreement and Implementation of Validation

	<p>As detailed in the main document</p> <p>To ensure that the product meets the requirements for its intended use in service. This process is vital, to support the claims made via the verification and simulative testing. Verification and validation should be robust to provide the Overseeing Organisation with confidence that the risks have been identified, addressed, and mitigated accordingly.</p> <p>These are the elements which will constitute surveillance auditing activities:</p> <ul style="list-style-type: none"> QMS third party audit reviews Non-conformity of Product Installation Method Statement Review Installer competency documented Customer Feedback / Complaints <p>In the case of production only – the product shall be designed to be installed by a competent installer experienced with that type of product.</p> <ul style="list-style-type: none"> Evidence of Third Party NHSS Registration or Installation Training provided by manufacturer Control of Non-conforming Product Customer Feedback / Complaints Durability Retained texture <p>Note: Potentially other properties to be assessed depending on the product/application</p> <p>Wet skid Resistance - EN13036-4</p>
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Stage 12

Annual Surveillance Requirements / Agreement and Implementation of Validation cont.

Change management	Competent individual identified and authorised to manage change precipitated by the following causes: Components changes Installation Method Statement changes Corrective Action based changes Specification changes
Certificate checklist	System Name System Type Road Type(s) / Road Category Installation Method Statement Installer competency ISO 9001 QMS ISO 9001:2015:8.3 Verification method Verification measurements Validation methodology Case Studies Referenced reports