

1. Policy

It is the policy of Pavement Testing Services Ltd (hereafter PTS) to operate its certification/ assessment services in a non-discriminatory manner. PTS shall not use procedures / processes to impede or inhibit access by applicants other than the requirements as specified by BS EN ISO/IEC 17021-1:2015 / BS EN ISO/IEC 17065:2012 / BS EN ISO/IEC 17067:2013 / MCHW SHW Volume 1 Clause 104.15 and 104.16 / Construction Products Regulation 2011 (retained EU law EUR 305/2011) as amended by the Construction Products (Amendment etc.) (EU Exit) Regulations 2019 and the Construction Products (Amendment etc.) (EU Exit) Regulations 2020/ other normative documents.

All certification / assessment services shall be accessible to all applicants whose activities fall within PTS scope of operations.

Access to the certification / assessment process is not conditional upon the size of the client or membership of any association or group, nor is certification conditional upon the number of certifications already issued.

PTS shall confine its requirements, evaluation, review, decision, and surveillance in line with its policy, procedures and processes as required by its scope of certification.

The PTS Product Acceptance Scheme (PTSPAS) in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 details and certificates issued will be publicised as appropriate through www.ptsinternational.co.uk and through presentations at selected industry events.

The assessment and certification as part of the PTS Product Acceptance Scheme in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 shall be implemented by competent personnel and shall be managed in a way that ensures generic application without conflict with other bodies assessing and certifying similar products.

To do this the design inputs will be derived from PTS who shall produce Guidelines and Criteria documents for candidate technologies which include inputs from producers and users of the product. Members from within the PTS Technical Panel (PTSTSP) with specialist knowledge of the given product family will form part of the Specialist Group (SG) input, developing industry best practice specification clauses, product standards and codes of practice.

By means of an example, 10mm, 14mm & 20mm thin surface course systems (TSCS) all fall within the scope of SG942, thus they are considered to be part of the 942 “family” of products.

The Specialist Groups (SG’s) will be convened as deemed necessary by the PTSTSP. PTS are to operate the scheme as current pending the review and subsequent revision of MCHW SHW 104.

The PTSTSP shall provide technical oversight on the operation of the PTSPAS and formerly consents to the issue of Assessment and Certification requirements.

The PTS Product Acceptance Scheme (PTSPAS) in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 will operate within the United Kingdom jurisdiction or where Product Acceptance Scheme in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 certification is accepted by the industry.

2. General

The PTS Product Acceptance Scheme (PTSPAS) in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 Guidance and Criteria documents are the provision of assessment and impartial attestation to ensure fulfilment of specified requirements for products. PTS Product Acceptance

Scheme (PTSPAS) in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 documents use defined rules, procedures and management relating to a particular set of specified requirements within the scheme document.

The system is operated in conjunction with PTS certification management system.

MCHW SHW Volume 1 Clause 104 sets out the requirements for a Product Acceptance Scheme owner:

- ❖ PTS Ltd registered on the UKMCAB (UK Market Approved Body) Database for Technical Assessment as a Technical Assessment Body (TAB).
- ❖ Constitution of the PTS PAS and PTS TSP
- ❖ Formation of the specific scheme documents

PTS Product Acceptance Scheme (PTSPAS) in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 - Structure

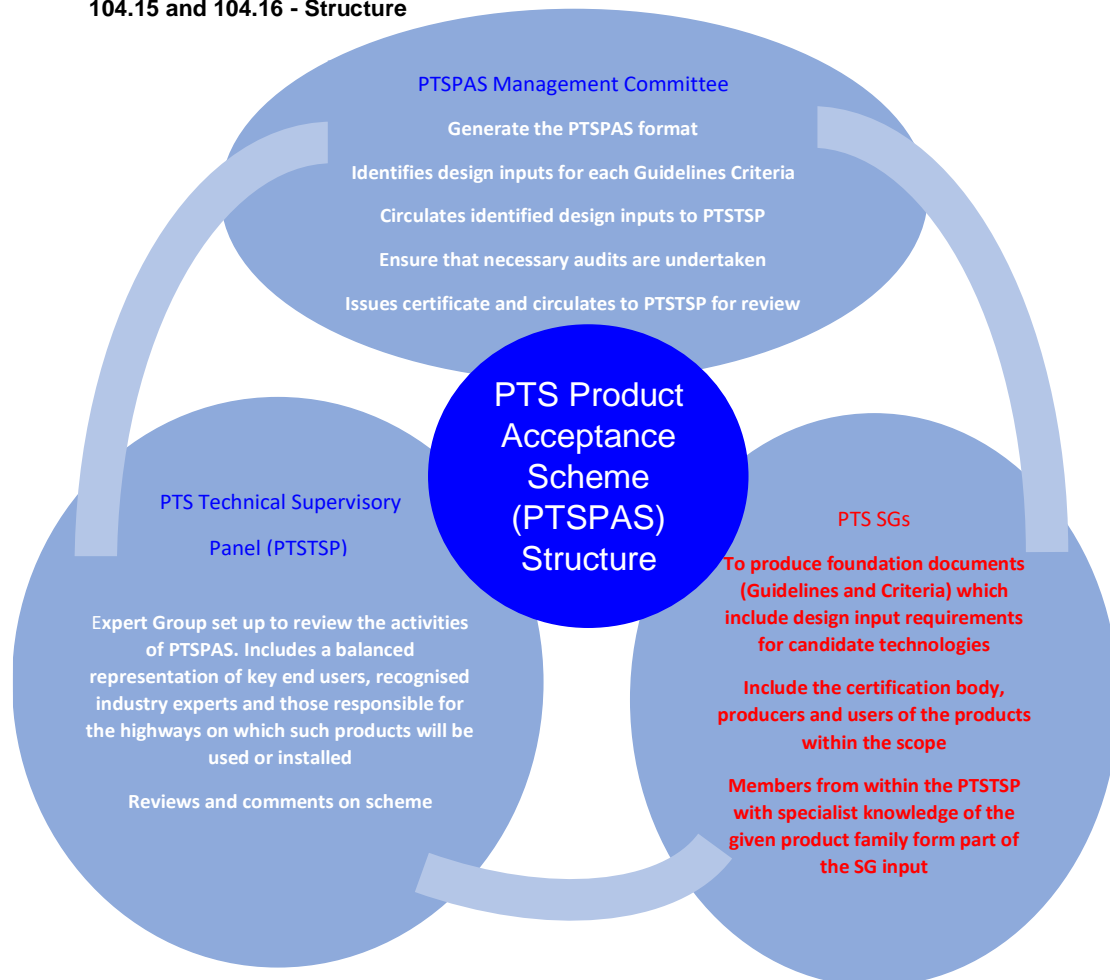


Figure 1: The PTS Product Acceptance Scheme (PTSPAS) Structure

PTS PRODUCT ACCEPTANCE SCHEME (PTSPAS) PRODUCT FAMILY SPECIALIST GROUPS

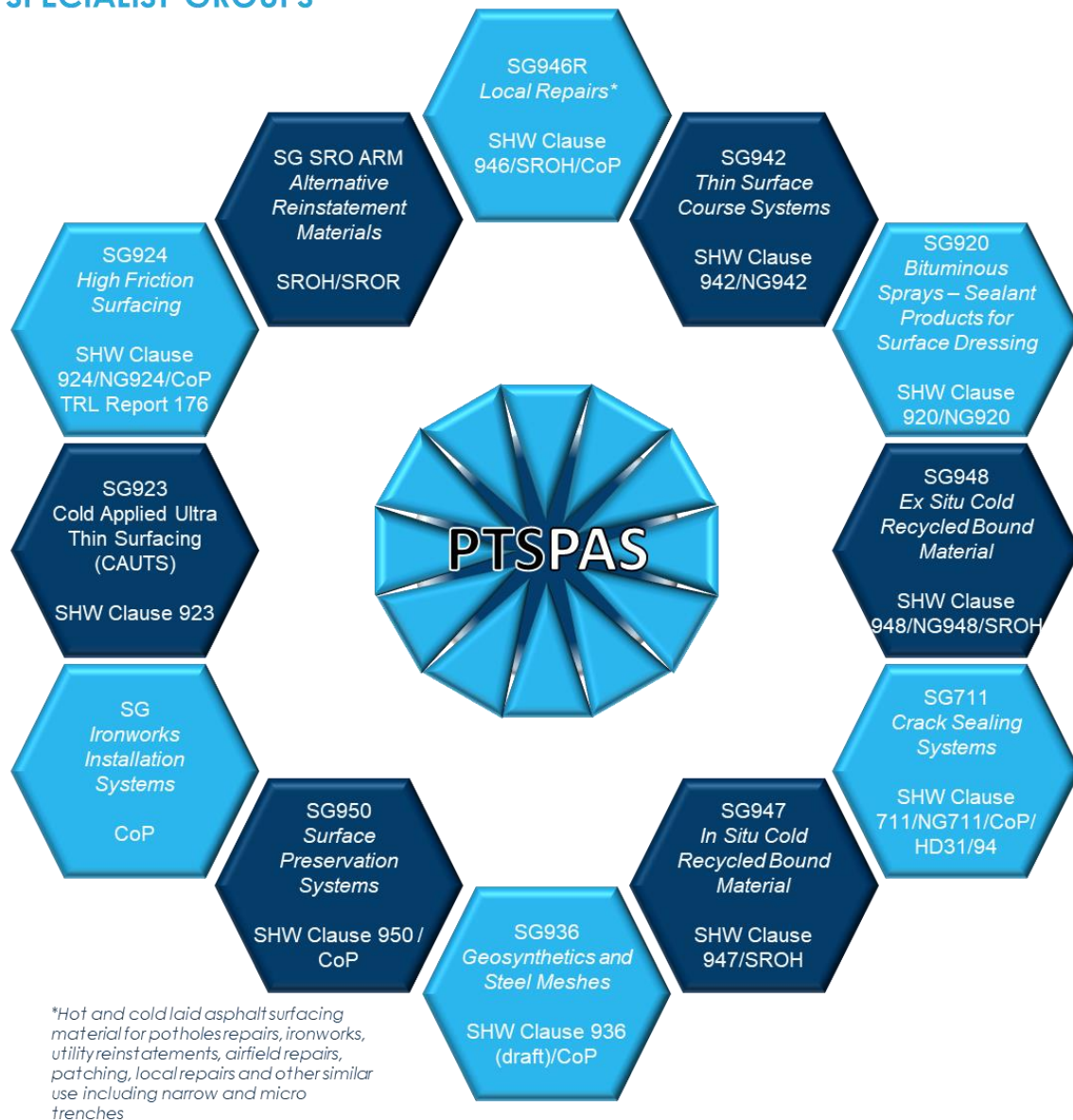


Figure 2: The PTS Product Acceptance Scheme (PTSPAS) Specialist Groups

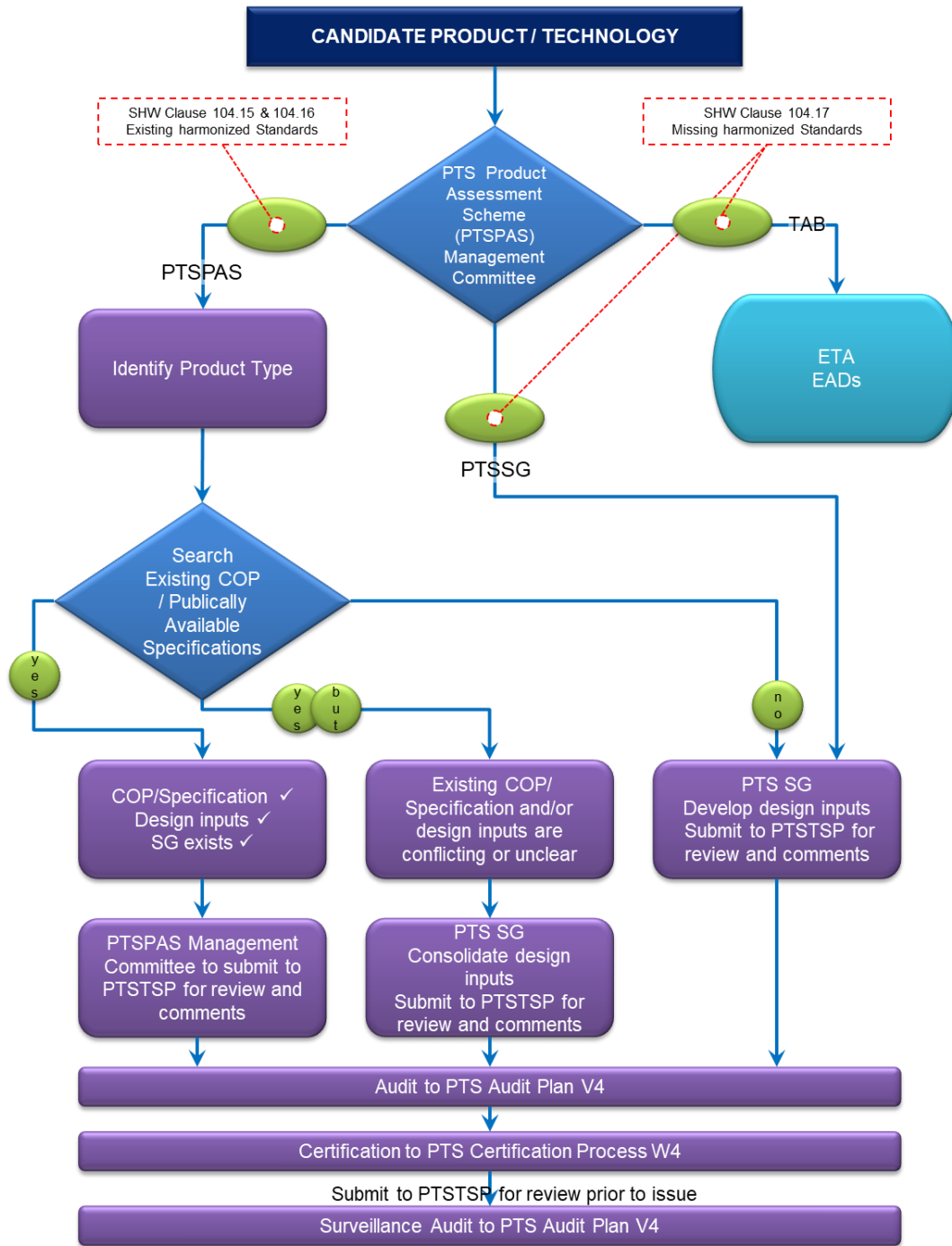


Figure 3: The PTS Product Acceptance Scheme (PTSPAS) Assessment Route

Figure 1 illustrates the structure of the PTS Product Acceptance Scheme (PTSPAS)

Figure 2 illustrates the structure of the PTSPAS Specialist Groups

Figure 3 illustrates the individual product/system assessment route

3. Objectives

The objectives of PTS Product Acceptance Scheme are to:

- Successfully carry out product assessment and certification as part of PTS Product Acceptance Scheme in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16.
- Address the needs of customers, users and, more generally all interested parties by giving confidence regarding fulfilment of specified requirements.
- To allow suppliers to demonstrate to the market that their product has been attested to fulfil specified requirements by PTS as an impartial third-party body.

To provide confidence for those with an interest in fulfilment of requirements and sufficient value so that suppliers can effectively market products.

4. PTS Product Acceptance Scheme (PTSPAS) Requirements

PTSPAS shall implement the functional approach as:

- Development of scheme documents / stakeholder groups where the stakeholder group for the PTSPAS is specifically described as Technical Supervisory Panel (TSP) which is in line with the requirements of MCHW SHW Clause 104.16. The TSP has the roles of governance of the scheme in respect to certification and to consent to the terms of reference. Specialist Groups may be initiated for PTSPAS activities. These may be formed by PTS or may be adopted by the PTSPAS.
- Scheme documents shall be approved by the Technical Supervisory Panel (TSP) prior to being published on PTS website (W9F1 SG Guidelines and Criteria Acceptance Review)
- Determination of requirements – scheme documents - conformity activities such as assessment of services / processes, testing and auditing to provide information regarding the product requirements as input to the review and certification functions. This with specific respect to the requirements of BS EN ISO 9001:2015 Section 8.3 where planning, identification of design inputs, verification of design outputs, validation process for monitoring and measurement and change process are all clearly defined and audited.
- Review – verification of the suitability, adequacy and effectiveness of selection and determination activities, and their results regarding fulfilment of the specified requirements.
 - Decision on certification
- Attestation statement based on a decision following review, that fulfilment of specified requirements has been demonstrated
- Surveillance – continuing conformity assessment of activities as a basis for maintaining the validity of the conformity. This to be undertaken through an audit schedule appropriate to the product and its use which will be detailed on the assessment certificate. The governance of this process is reviewed by the PTSTSP as frequently as deemed necessary by PTS and PTSTSP.

PTS Product Acceptance Scheme (PTSPAS) defines specific activities for each applicable function, related documents** are identified for each function

PTS Product Acceptance Scheme (PTSPAS) Functions and Activities		
I	Selection – including planning and preparation activities, specification of requirements, eg normative documents and sampling, as applicable Documents: M4, M4F1, W4, W6F. PTSPAS Guidelines & Criteria (M7 if certificate transfer)	✓

PTS Product Acceptance Scheme (PTSPAS) Functions and Activities		
ii	Determination of Characteristics – as applicable by: a. Testing b. Inspection c. Design Appraisal d. Assessment of services or processes e. Other determination activities eg verification Documents: Visit Plan, V4, V5, W3, W4, W17, PTSPAS Guidelines & Criteria	✓
iii	Review – Examining the evidence of conformity obtained during the determination stage(s) to establish whether specified requirements have been met Documents: M4, M4F1, W4, PTSPAS Guidelines & Criteria	✓
iv	Decision on Certification – Granting, maintaining, extending, reducing, suspending, withdrawing certification Documents: M4, M4F1, W4, W9F, PTSPAS Guidelines & Criteria	✓
v	Attestation – a. Issuing a certificate b. Granting the right to use certificates c. Granting the right to use marks of conformity (licence) is based on surveillance or certification of a batch Documents: M4, M4F1, W4, W9, PTSPAS Guidelines & Criteria	✓
vi	Surveillance – via: a. Assessment of the production, the delivery of the service or the operation of the process b. Management system audits combined with random tests or inspections Documents: M4, M4F1, V3-V5, W3, W4, W17, PTSPAS Guidelines & Criteria	✓

*** this list is only indicative of the documents that may be required to complete a generic certification process, refer to the relevant PTSPAS Guidelines & Criteria document.*

5. PTS Product Acceptance Scheme (PTSPAS) Competence of Personnel and Impartiality

- **Competence of Personnel**

PTS ensures competence in line with Document W1. This is applied to both those undertaking the PTS PAS Assessment roles as well as for member of the PTS TSP (PTS Technical Supervisory Panel, Document W8).

- **Impartiality**

PTS is committed to safeguarding impartiality, this is undertaken in line with Document V1 (Management of Impartiality) and this process.

6. PTS Product acceptance Scheme (PTSPAS) Ownership

PTS as a legal entity take full responsibility for the objectives, the content, and the integrity of the PTS Product Acceptance Scheme (PTSPAS) documents.

PTSPAS shall be maintained by PTS and guidance shall be provided when required.

PTS shall set up a structure for the operation and management of the PTSPAS.

PTS shall document the content of the PTSPAS.

The PTSPAS shall be developed by persons competent in both technical and conformity assessment aspects.

PTS shall make arrangements to protect the confidentiality of information provided by parties involved in the PTSPAS.

PTS shall evaluate and manage the risks/liabilities arising from its activities.

PTS shall ensure adequate arrangements (insurance or reserves) to cover liabilities arising from its range of activities carried out in the United Kingdom geographical region in which the scheme is operated.

PTS shall provide financial stability and resources required to fulfil its role in operation of the PTS Product Acceptance Scheme (PTSPAS).

PTS understands the assumptions, influences and consequences involved in establishing, operating, and maintaining the PTSPAS on an ongoing basis.

PTS has a clear understanding of the objectives of the scheme and the assumptions for its need and acceptance of the PTSPAS. To assist in this, Technical Supervisory Panel (TSP) opinions and participation has been used in the PTSPAS development.

PTS Ltd makes no warranties, representations, or undertakings in respect of Guidelines and Criteria Documents. 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

PTS has set up its PTSPAS structure, which is agreed among TSP members through the operation of its Technical Supervisory Panel (TSP), and includes confirmation of:

- Ownership
- The governance and decision-making mechanisms that may or may not provide for direct involvement of Technical Supervisory Panel (TSP)
- Underlying business and funding model and
- Providing an outline for monitoring and periodic review of the PTSPAS

PTS Technical Supervisory Panel is made up of interested parties from:

- Roads Authorities
- Statutory Undertakers
- PTS
- Stakeholders

PTS shall ensure that information about the PTS Product Assessment PTSPAS is made publicly available to ensure transparency, understanding and acceptance. A periodic review, including confirmation that it is fulfilling its objectives in accordance with a process that includes Technical Supervisory Panel (TSP), shall be carried out.

7. Content of PTS Product Acceptance Scheme (PTSPAS)

The PTS Product Acceptance Scheme (PTSPAS) shall include:

- The (scope) Product Acceptance Scheme in accordance with Manual for Contract Documents for Highway Works Specification for Highway Works (MCHW SHW) Volume 1 Sub-Clause 104.15 and 104.16 including the type of product(s) covered
- The requirements against which the products are evaluated
- The selection of activities appropriate to the purpose and the scope of the PTSPAS
- Other requirements to be met by the Applicant (eg management system or process control activities)
- The requirements for information from other conformity assessment bodies
- The requirements for information from other bodies as required by the PTSPAS (eg testing laboratories etc)

- The methods and procedures to be used to assure the integrity and consistency of the assessment process
- The information to be supplied to PTS by an applicant for certification
- The content of the Certificate (statement of conformity) which unambiguously identifies the product to which it applies
- The conditions under which the Certificate Holder may use the statement of conformity or marks of conformity
- Where marks of conformity may be used, the ownership, use and control of the marks
- The resources required for the operation of the PTSPAS, including impartiality and competence of the personnel (internal and external), the evaluation resources, and the use of sub-contractors
- How the results of the determination (evaluation) and surveillance stages are to be reported and used by PTS
- The question of how non-conformities are to be dealt with and resolved
- Surveillance procedures
- The criteria for access of conformity assessment bodies to the PTSPAS and for the access of Clients to the PTSPAS
- Content, conditions, and responsibility for publication of the directory of certified products by PTS
- The need for, and content of, contracts, the rights, responsibilities, and liabilities
- General conditions for granting, maintaining, continuing, extending the scope of, reducing the scope of, suspending, and withdrawing certification; including requirements for discontinuation of advertising and return of certification documents and any other action if the certification is suspended, withdrawn, or terminated
- The way in which the Client's complaints records are to be verified if such verification is part of the PTSPAS
- The way in which the clients refer to the PTSPAS in the publicity material
- Retention of records by PTS

Assessment and certification follow assessment stages as detailed in each Guidelines and Criteria document:

Application Submission

Stage 1	Documentation Review
Stage 2	Audit of BS EN ISO 9001: 2015 Section 8.3 process 'Design and Development of Products and Services'
Stage 3	Installation Method Statement Audit
Stage 4	Review of Technical Data Relating to Design Inputs Verification and Consolidate Case Studies
Stage 5	Review of Details
Stage 6	Submission to PTS Management Committee
Stage 7	Draft Certificate Submission to PTSTSP
Stage 8	Consolidation of Amendments / Approval
Stage 9	Assessment Certificate Authorisation
Stage 10	Certification Documentation
Stage 11	Publication of Certification Documentation
Stage 12	Annual Surveillance Requirements / Agreement and Implementation of Validation

Stages 1 - 5 must be successfully completed before a draft certificate is prepared and the submission of information to PTS Management Committee. A written report is provided for each of the Stages 1 - 5.

Stages 3 and 4 may be undertaken at the request of the applicant whilst undergoing stages 1 and 2 if the availability of access to witness installation / visual assessment is accepted by parties concerned. The applicant has the option of withdrawing from the assessment at any stage should the product under assessment fail to comply with the requirements.

8. Surveillance

Surveillance activities are required by PTSPAS, these activities are carried out in accordance with the specific Guidelines and Criteria Document, Stage 12. PTS shall follow internal procedures and processes, V4 procedure at the Certificate Holders production location(s) and Process W3 On Site Audit and the Visit Plan.

Assessments are carried out remotely at times where access to locations are not permitted, W17 process must be followed.

Checks are carried out on records to ensure that the procedures and controls defined at the outset continue to apply at periodic intervals (annually), to ensure ongoing validity of the demonstration of fulfilment of product requirements as in accordance with the appropriate Guidelines and Criteria Document, relevant standards, and normative documents. Surveillance audits cover the PTSPAS requirements as above with a 3-year re-certification.

The onsite visual condition survey is carried out in accordance with the Guidelines and Criteria document Appendix 1, stage 12 which identifies any specific assessment criteria.

During the validity of any Certificate, the Certificate Holder is responsible for the quality assurance in maintaining their ISO9001:2015 registration, with control of the production at the manufacturing location(s) as declared to PTS for the named product and where necessary, taking account of the product having its performance declared under a UKCA / CE mark.

9. General Conditions

PTS follow the criteria as specified in International Standards for a Certification Body and Technical Assessment Body recognised as competent and reliable in the operation of Management Systems.

PTS through its policies and arrangements undertakes the assessment and certification of product and management systems operated by the client in line with the appropriate Guidelines and Criteria Document, relevant standards, and normative documents.

The Applicant agrees to supply all necessary information to PTS as required by individual PAS.

Both the Client and PTS shall operate in accordance with PTS terms and conditions of business