



**PAVEMENT TESTING SERVICES LIMITED
PTS PRODUCT ASSESSMENT AND CERTIFICATION**

**PRODUCT ACCEPTANCE -
EQUIVALENT SCHEME MCHW SHW VOLUME 1
CLAUSE 104.15 AND 104.16**

**PTSSG 946
GUIDELINES AND CRITERIA DOCUMENT**

**FOR THE ASSESSMENT AND CERTIFICATION OF ASPHALT SURFACING
MATERIAL FOR POTHOLE REPAIRS, IRONWORKS, UTILITY
REINSTATEMENTS, AIRFIELD REPAIRS, PATCHING, LOCAL REPAIRS
AND OTHER SIMILAR USE INCLUDING NARROW TRENCHES**

Acknowledgements

This document is published under the PTS Ltd Product Assessment and Certification Scheme (PTSPAS). This document has been compiled by PTS Ltd.

This current version of the PTS Guidelines and Criteria Document 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 etc and 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 of Use

This Guideline has to 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 Guideline is permitted only in accordance with these Terms and Conditions.

References in this Guideline 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 Guideline.

PTS Ltd shall undertake and certify product assessment in accordance with its Internal Process W15 – PTS Product Assessment and Certification in accordance with PTS Product Acceptance - Equivalent Scheme in accordance with MCHW 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 Guideline. 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.

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1. Scope

The purpose of this Guideline and Criteria Document is to set out the criteria for the Assessment and Certification of asphalt surfacing material for potholes repairs, ironworks, utility reinstatements, airfield repairs, patching, local repairs and any other similar use including narrow trenches under the PTS Assessment and Certification System, in line with PTS Process W15 PTS Product Assessment and Certification in accordance with PTS Product Acceptance - Equivalent 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 document, appropriate extracts from MCHW SHW Series 900 will be known as the *Specification*.

The adopted test methods and laboratory test results shall be derived from UKAS accredited laboratories to ISO/IEC 17025, recognized research bodies and Universities and/or data supplied by the Overseeing Organisation. Contained in this document are for certification purposes only and are 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 specified in this document shall be structured and implemented to provide assurance to PTS Ltd (Certifying Body) 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.

PTS Ltd is seeking UKAS accreditation Certification Body status for BS EN ISO/IEC 17065 for product certification. 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 as a Notified Body (2448) can award CE Marking under Regulation (EU) No 305/2011.

PTS Ltd are now 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 'BBA Certificates, Road and Bridges Certificates, HAPAS Certificates, CARES certificates or equivalent 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 Volume 1 SHW, Volume 2 Notes for Guidance on the SHW and any normative reference documents and can offer assessment and certification for road construction materials, in accordance with MCHW SHW Clause 104.15 and Clause 104.16.

Assessment Stages

The sequence for assessment is carried out in stages and the process is based on PTS Process W15 PTS Product Assessment and Certification in accordance with PTS Product Acceptance - Equivalent 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.

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/documentated information shall be handled with utmost confidentiality in accordance with PTS Process W3 On Site Audit.

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, they might have no current risk to the functioning of the system, but could 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 / CoP / 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 NC raised shall be recorded against a specific requirement of the audit criteria and contain a clear statement in the report of the category of the nonconformity and identify in detail the objective evidence on which the nonconformity is based.

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

Nonconformities shall be discussed with the Client to ensure that the evidence is accurate and that the nonconformities are understood. The Client shall analyse the cause of the nonconformity 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 as required.

The audit team leader shall attempt to resolve any diverging opinions between the audit team and the Client, concerning audit evidence or findings, any unresolved points shall be recorded.

Audit Report

PTS shall provide a written report for each audit to the client. 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 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 clients 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 client 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 nonconformities shall be recorded.

The client 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 client, or where necessary, through verification onsite. This activity would be carried out by a member of the audit team.

Application Submission

Clients will already be certified to BS EN ISO 9001 and any necessary National Highway Sector Scheme requirements.

Client's details and acceptance shall be provided by completing the relevant forms prior to proceeding.

- Client submits Application comprising:
 - Application, purchase order and Client Information Forms
 - Product Assessment Documentation
 - Certificate for existing QMS / FPC / NHSS certification
- The Contract Review process commences to ensure PTS Ltd can accommodate the Client's requirements. The review is an ongoing process throughout the certification progression.

Optional Pre Assessment

Clients may choose to opt for a "pre-assessment" to provide them with a preliminary evaluation of their product assessment documentation, enabling them to identify opportunities for improvement and potential non-conformances before beginning the Product Assessment and Certification process.

Stage 1

Documentation Review

Stage 1 audit is performed by a lead auditor, following receipt of Client's application and authorisation to proceed either by submitting information and documentation to PTS Ltd head office, or a PTS Lead Auditor shall visit the Client's premises.

This stage reviews the most recent third party BS EN ISO 9001 Quality Management System (QMS) Audit Report, non-conformities (if any) close-out, observations and any identified opportunities for improvement, demonstration of leadership engagement, competencies and continuous improvement and the Quality Plan.

The Quality Plan, including details of the "hold points" - SHW 104.6 and the product to be assessed and production procedures:

- The Contractor shall ensure the Quality Plan and associated quality documentation are made available to all parties involved with the works
- 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 and scheduling of Quality Plans required
Details of registration to any quality management systems
- Document Control – controls relevant to the Works, including materials and workmanship certification, quality records in accordance with SHW 104.7
The control and scheduling of all documentation as required by the specification 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.
The adopted test methods and laboratory test results shall be derived from UKAS accredited laboratories to BS EN ISO/IEC 17025, recognized research bodies and Universities and/or data supplied by the Overseeing Organisation contained in this document are for certification purposes only and are 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'.
- 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

- 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)
- Method statement for installation
- Limitations in respect to weather and substrate conditions
- General installation procedures
- On site storage and handling of materials
- On site quality control / assurance procedures and associated documentation

The lead auditor shall submit their findings and recommendations in a written report. The report provides a focus for planning Stage 2 by gaining a sufficient understanding of your 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 Client to resolve areas of concern identified during the Stage 1 audit. PTS 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 and Technical Expert as necessary at the Client's premises.

- Audit of the supporting the technology with specific respect to the BS EN ISO 9001 Section 8.3 process 'Design and development of products and services' and how that interacts with leadership, resources and contract review at the clients 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 consistent product to confirm the Quality Plan for the Factory Production Control.

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 shall submit their findings and recommendations in a written report. The report provides current status of your activities in line with BS EN ISO 9001 Section 8.3 process '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 approval trial, details of:

- Start date(s) of the approval trial
- Site address(s) road type/category
- Site / location plan
- Product Health and Safety data sheet

The trial will be witnessed and assessed by PTS Ltd to cover the installation procedures as defined in the Applicant's Installation Method Statement along with the assessment of CE / DoP of product and process control and evidence of approved suppliers / contractors.

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

Stage 4

Review of Technical Data Relating to Design Inputs Verification and Consolidate Case Studies

- Product performance trial (if required) / Visual Condition Inspection of selected case studies
No history of use
 - A 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.
- *History of use - retrospective process*
 - Where a product already has approval, or where an installation trial has been carried out, then existing data relating to the trial, if suitable, may be used for assessment purposes under this stage. Fully traceable details of any existing sites and product used shall be submitted. Representative sites must be available for review by PTS Ltd either through inspections or from information gathered from users or specifiers of the product. The suitability of the data will be decided by PTS Ltd.
- Acceptance of Data / Consolidation of technical support information
PTS Ltd will accept test data from laboratories with UKAS accreditation to ISO/IEC 17025 or a PTS approved laboratory for the specific tests referred to provided they are performed on samples that can be traced to the manufacturing location and the site identified. PTS Ltd requires the UKAS test laboratory to submit a copy of their "UKAS schedule" or the test method procedure when a PTS Ltd approved laboratory is employed.

Test data from overseas, external, independent testing laboratories that have the equivalent national accreditation for the specific tests may be accepted if there is a reciprocal agreement between UKAS and the national accreditation authority of the country in question.

Other data supplied in support of the assessment (eg. background information, test data relating to generic materials), where the above conditions are not met, will only be accepted after having been individually assessed and approved as being suitable by PTS Ltd.

The Technical Expert will review all the technical information available including information gained from the site visit of selected sites (to be agreed with the Client). All the information will be consolidated to form a factual report which is submitted to the Client and is referenced within the Assessment Certificate.

Stage 5

Review of Details

Reports generated from Stages 1 to 4, 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 Management Committee.

Stage 6

Submission to PTS Ltd Management Committee

The PTS Ltd Management Committee shall conduct a review of all submitted detail for content and accuracy. PTS Ltd shall assign person(s) who have not been involved in the evaluation process to review 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 person(s) or group of persons that have not been involved in the evaluation process for submission to PTSTSP.

Stage 7

Draft Certificate Submission to PTSTSP

A 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 enable review and comments on the draft certificate's 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 forwards their response / comments to PTS Ltd, for addressing prior to publication of the certificate or it is understood that PTSTSP members confirm their consent for publication if they do not respond with any comments.

Stage 8

Consolidation of Amendments as appropriate / 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 requirements.

Certification Decision

Certification documentation shall be amended as necessary by PTS Ltd.

Approval for issue shall be granted if no issues are raised with regard to the conduct of the certificate generation by the PTSTSP.

On completion PTS Ltd shall be given approval and authorisation to issue the Assessment Certificate.

Stage 9

Authorised Signature Sign Off

Prior to issuing and publication, the Certificates shall be endorsed by a PTS Management Committee authorised signatory and subsequently the consent from the PTSTSP and no issues were raised with regard to the conduct of the certificate generation.

Stage 10

Certification Documentation

The formal Certification documentation issued by PTS Ltd shall be provided which shall clearly convey, or permits identification of

- 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 Client organisation
- Material's Designation
- Installed Properties
- 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

After consultation, PTS Ltd reserves the right to amend or supplement the tests required for the Assessment and Certification at any time if required. 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 Equivalent Scheme MCHW SHW Volume 1 Clause 104.15 and 104.16'.

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

Stage 11

Publication of Certification Documentation

Certificates will be published and the Client / product / service shall be included on the PTS directory of certified / approved Clients, which is available to the public via the PTS website: www.ptsinternational.co.uk.

Stage 12

Annual Surveillance Requirements / Agreement and implementation of validation

PTS Ltd shall initiate annual surveillance audits at the Client's office and/or production location(s) (where appropriate) to ensure that the procedures and controls defined at the outset continue to apply to ensure ongoing validation of the demonstration of fulfillment of product requirements, any certificate changes and how change is managed as in accordance with this Guidelines and Criteria document, relevant standards and normative documents. Annual surveillance audits cover the PTSPAS requirements as above with a 5 year re-certification audit.

During the validity of any Certificate, the Applicant is responsible for the Quality Assurance / control of the production at the manufacturing location(s) 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, Guidelines and Criteria documents, associated specifications, standards and normative documents, PTS Ltd policies, procedures and processes.

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

PTS Ltd Management Committee shall assign person(s) who have not been involved in the annual assessment to review all the information. The decision for continuing certificate shall be made by person(s) or group of persons that have not been involved in the assessment.

PTS Ltd shall be responsible for, and shall retain authority for, its decisions relating to the assessment and certification process.

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 General requirements for the competence of testing and calibration laboratories

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

BS EN 13108-21:2016 Bituminous Mixtures – Material Specifications - Part 21 Factory Production Control

BS EN 13108-20:2016 Bituminous Mixtures – Material Specifications - Part 20 Type Testing

BS EN 13108

MCHW SHW Series 100 Preliminaries

MCHW Volume 1 SHW Series 900 Road pavements - bituminous bound materials

Specification for the Reinstatement of Openings in Highways (SROH)

C171 Visual Assessment

Definitions and Acronyms

PTS Ltd	Pavement Testing Services Ltd
PTSPAS	Pavement Testing Services Product Assessment
PTSTSP	Pavement Testing Services Technical Supervisory Panel
PTS Approved Laboratory	A laboratory approved by PTS to carry out test work on behalf of PTS, ie sub-contracted by PTS, 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 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
NHSS	National Highways Sector Scheme
CoP	Code of Practice
COSHH	Control of Substances Hazardous to Health
UKAS	The United Kingdom Accreditation Service
Visual Assessment	A procedure for assessing the visual condition of trial sites
ADEPT	Formerly the County Surveyors' Society
Authority	As defined in the New Roads and Streetworks Act 1991. Normally the Street Authority responsible for the works
SROH	<i>Specification</i> for the Reinstatement of Openings in Highways
HE	Highways England (also representing other Overseeing Organisations including; The Scottish Office Industry Department, The Welsh Office and The Department of the Environment for Northern Ireland)
Surfacing	The upper layers of a pavement designed to carry traffic directly. This includes surface course and binder course.