



**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 920**

**FOR THE ASSESSMENT AND CERTIFICATION OF BITUMINOUS SPRAYS**

**SEALANT PRODUCTS FOR SURFACE DRESSING**

## 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 PTSSG920 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 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 line with its Internal 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 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.

## Revisions

Issue	Details / Revision Changes	By	Reviewed / Approved By	Date
1	Formation of Guidelines and Criteria Document	CH	PTS/TSP	16.02.18
2	Further development of Guidelines and Criteria Document	CH	PTS	06.04.18
3	Further development of Guidelines and Criteria Document	CH	PTS	12.04.18
4	Review of SHW 900 Series Issue May 2018 and consolidate PTSTSP/ Applicant comments	CH	TSP	27.09.18
5	Guidelines and Criteria Document PTS SG920	CD/VS	PTS/TSP	31.10.18

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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 Sealant Products for Surface Dressing applications under the PTS Assessment and Certification System, 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.

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. The content of this document is for 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 specified in this document shall be 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.

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 and are in process of expanding the UKAS schedule by seeking accreditation for the Product Assessment as part of the Product Acceptance Scheme in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16.

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 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 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.

### **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.

### **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, 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 / 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 and Terms of Business.

### **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 any necessary National Highway Sector Scheme (NHSS) requirements.

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

- Application, Purchase Order and Client Information Forms
- Product Assessment Documentation as detailed in Stage 1 Documentation Review
- Certificate for existing Quality Management System (QMS) to BS EN ISO 9001: 2015 / Factory Production Control (FPC) / NHSS certification

The Contract Review process commences to ensure PTS Ltd can accommodate the Applicant'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 Applicant's documentation and authorisation to proceed, either by desk study review of the documentation 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). If external installers are used, the most recent third-party applicable Sector Scheme Audit Report comprising non-conformities (if any), close-out, observations and any identified opportunities for improvement, is also required.

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 and scheduling of Quality Plan required by relevant NHSS or other QMS schemes  
Details of registration to relevant NHSS or 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
    - On site storage and handling of materials
    - On site quality control / assurance procedures and associated documentation

**Note:** Method Statement – Please refer to Stage 3 and Appendix A 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 process '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 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 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 planned works
- Site address(s) road type/category
- Site / location plan
- Product Health and Safety data sheet
- Installation Method Statement (comprising substrate condition and suitability assessment, surface preparation, installation, after-care)
- Installer competencies (relevant Sector Scheme). The installer shall provide the most recent third-party relevant Sector Scheme audit comprising non-conformities (if any), close-out, observations and any identified opportunities for improvement. In the case of production only – the product shall be designed to be installed by a competent installer experienced with that type of product.

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 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

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.
- Where innovation allows and following engagement with PTSTSP, if agreement has been granted, laboratory simulative testing with additional surveillance requirements may be considered. In this case, the testing and additional surveillance program should be carefully developed with engagement from the Applicant and PTSTSP.

*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 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.

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 Management Committee.

## Stage 6

### Submission to PTS Management Committee

The PTS 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 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**

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 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 comment, as specified in the PTS Technical Supervisory Panel instructions.

## **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 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.

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

## **Stage 9**

### **Assessment Certificate Authorisation**

Prior to issuing and publication, provided that no concerns were raised with regard to the conduct of the certificate generation, the Certificates shall be endorsed by PTS Management Committee and subsequently consented by the PTSTSP.

## **Stage 10**

### **Certification Documentation**

The formal Certification documentation issued by PTS Ltd shall be provided which 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
- 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

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 Terms and Conditions of the relevant PTS Ltd Contract, which can be found on the PTS website: [www.ptsinternational.co.uk](http://www.ptsinternational.co.uk).

## **Stage 11**

### **Publication of Certification Documentation**

Assessment Certificates are published on the PTS website: [www.ptsinternational.co.uk](http://www.ptsinternational.co.uk).

## **Stage 12**

### **Annual Surveillance Requirements / Agreement and Implementation of Validation**

PTS Ltd shall conduct annual surveillance audits of the production to ensure that the procedures and controls defined at the outset continue to apply. PTS Ltd shall also review the installers third-party Sector Scheme audit reports, to ensure ongoing validation of the demonstration of fulfillment of product and installation requirements, any certificate changes and how change is managed in accordance with this Guidelines and Criteria Document, relevant standards and normative documents.

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 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, Codes of Practice, 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 / 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.

### **Suspension / Withdrawal of Certificate**

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

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

fails to take action 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 Applicant loses the privilege of delivering the certified products / processes under the Certificate. The letter of suspension details the restrictions imposed on the Applicant as a result of the suspension.

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

PTS shall make the suspension or withdrawal status of the Applicant publicly accessible and in addition where other parties are involved such as regulatory bodies, those shall also be notified by PTS of the changes in the certification scope and shall take any other measures it deems appropriate during Applicant 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 certified Applicant 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 shall take necessary actions and modifications to formal certificate documents, public information, authorisations for use of marks etc, in order to ensure the suspension / withdrawal is clearly communicated and details clearly specified in its documentation and public information.

An immediate suspension of the Applicant's Certificate imposed by PTS when there is evidence to support that one or a number of critical non-conformances have been found or the Applicant has declined any additional surveillance by PTS. The Applicant 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 General requirements for the competence of testing and calibration laboratories

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

Manual of Contract Documents for Highways Works

Volume 1 Specification for Highway Works, 2008

Volume 2 Notes for Guidance on the Specification for Highway Works, 2008

PTS Technical Supervisory Panel Instructions

W15 PTS Product Assessment and Certification in accordance with PTS 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

## Definitions, Abbreviations 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 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	Specification for the Reinstatement of Openings in Highways
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
FPC	Factory Production Control
SG	Specialist Group
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
Lead Auditor	A recognized 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 recognized 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
Technical Supervisory Panel	Panel consisting of a balanced representation of key end users, recognized industry experts and those responsible for the highways on which such products will be used or installed. The Panel provides technical oversight on the operation of the scheme and formally consents to the issue of assessment and certification requirements of the Specialist Groups developing the assessment and certification requirements
PTS Management Committee	Management team to generate and operate the PTSPAS. Consults with PTSTSP. Management Committee members competencies to Table 1/1 of SHW Clause 104.16
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.

## **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**

**PTSSG920 Bituminous Sprays**  
**Sealant Products for Surface Dressing**

Stage 1 Documentation Review BS EN ISO 9001: 2015	
Quality Management System (QMS)	Review of the existing certification, latest QMS audit report, non conformities close-out, observations, opportunities for improvement identified; demonstration of leadership engagement, competencies and continuous improvement
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, determination of a project plan, identification of resources required and a close out report detailing stages including verification, validation and change management
Design inputs	Quality Plan Visual assessment of the existing surface dressing (determines go / no-go) Installation Method Statement (IMS) Installer competence and training Rate of spread Skid Resistance
Verification	This constitutes Stage 3 and Stage 4 of the audit process, as detailed in the main document
	Verification method by which the design requirements of product, installation requirements, in-service requirement and installation method statement fitness for purpose are established  Case studies (1,3,5 year old sites)
Validation	This constitutes Stage 12 of the audit process, as detailed in the main document
	These are the elements which will constitute surveillance auditing activities: QMS third party audit reviews

	<p>Visual assessment – pass/fail criteria:</p> <ul style="list-style-type: none"> <li>- Min %-age chip loss after 1 year = max 10%</li> </ul> <p>Installer competency documented</p> <p>Durability</p>
Change management	<p>Competent individual identified and authorised to manage change precipitated by the following causes:</p> <ul style="list-style-type: none"> <li>Components changes</li> <li>Installation Method Statement changes</li> <li>Corrective Action based changes</li> <li>Specification changes</li> </ul>
Certificate checklist	<ul style="list-style-type: none"> <li>System Name</li> <li>System Type</li> <li>Road Type(s) / Road Category</li> <li>Rate of spread</li> <li>IMS</li> <li>Approval of installers (ISO 9001 and NHSS13), if any external</li> <li>ISO 9001 QMS</li> <li>ISO 9001:2015:8.3</li> <li>Verification method</li> <li>Verification measurements</li> <li>Validation methodology</li> <li>Case Studies</li> <li>Referenced reports</li> </ul>