

## 1. Policy

It is the policy of XAIS-PTS Ltd to operate its certification/ assessment services in a non-discriminatory manner. XAIS-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 XAIS-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. XAIS-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 XAIS-PTS Product Acceptance Scheme (XAIS-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.XAIS-PTS.co.uk](http://www.XAIS-PTS.co.uk) and through presentations at selected industry events.

The assessment and certification as part of the XAIS-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 XAIS-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 XAIS-PTS Technical Panel (XAIS-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 required in line with XAIS-PTSPAS requirements.

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

The XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS) in accordance with MCHW SHW Volume 1 Clauses 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. Related Documents

BS EN ISO/IEC 17021-1:2015  
BS EN ISO/IEC 17065:2012  
BS EN ISO/IEC 17067:2013  
BS EN ISO 19011:2011  
BS EN ISO 9001:2015  
EA-1/22 A-AB:2020

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

XAIS-PTSPAS Guideline and Criteria Documents

Applicable Reference Publication(s)

Code of Practice(s)

Specification for Highway Works

Department for Transport – New Roads and Street Works Act 1991 Specification for the Reinstatement of Openings in Highways

Specification for the Reinstatement of Openings in Roads

Design Manual for Roads and Bridges

National Highway Sector Schemes

XAIS-PTS Terms of Business

XAIS-PTS Technical Supervisory Panel Instructions

Visit Plan

M4 Contract Review

M4F1 Contract Review Form

M7 Client Transfer

V3 Design & Development

V4 Audit Plan

V5 Audit programme

W1 Competency Criteria

W3 On Site Audit

W4 Certification process

W6 Record of Applicants & Clients

W6F Client Information form

W8 Committee for Safeguarding Impartiality

W9 Committee for Certification

W9F Certification Decision

W9F1 SG Guidelines and Criteria Acceptance Review

W17 Remote Assessments

### **3. General**

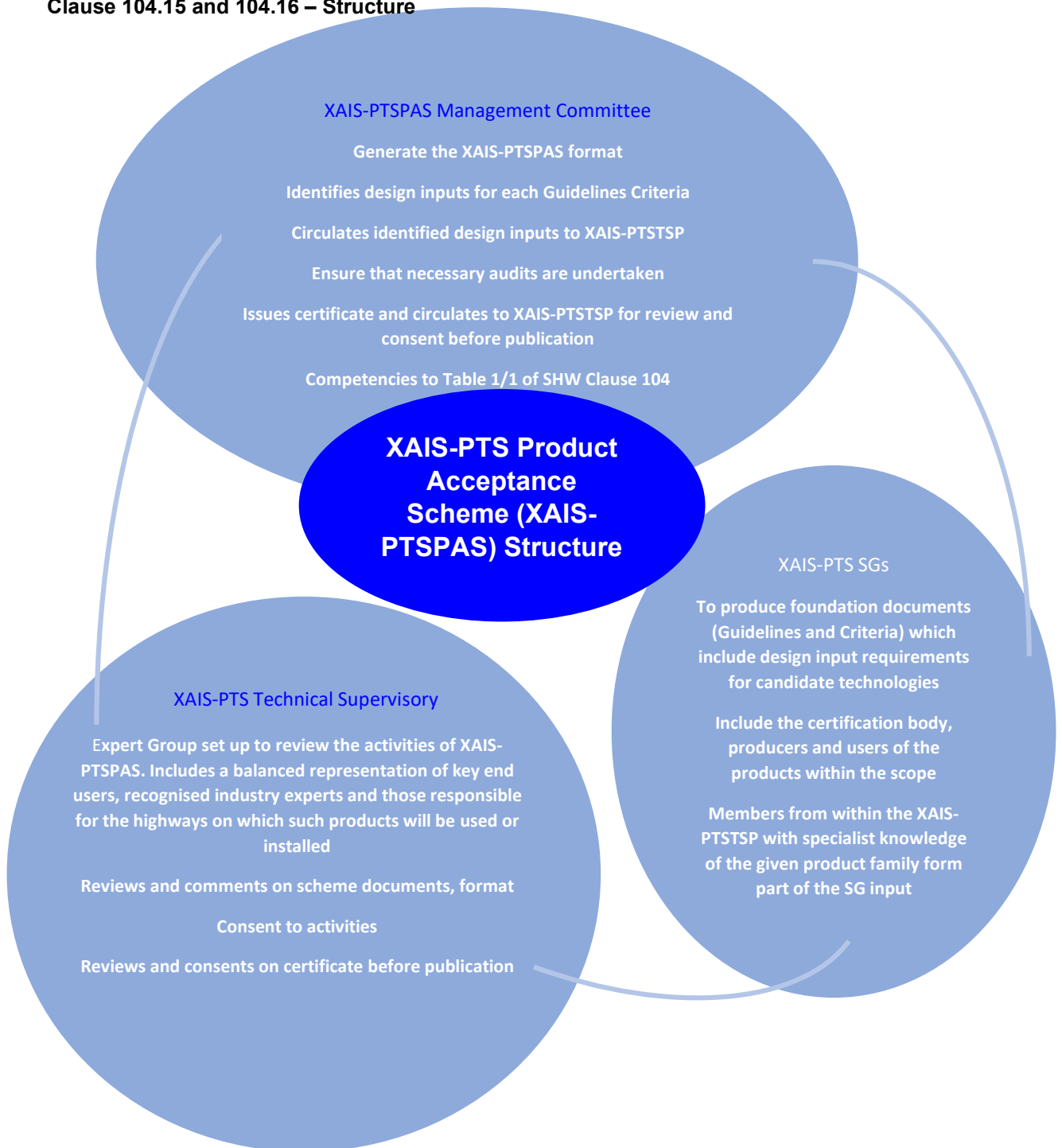
The XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS) in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 Guidance and Criteria documents are the provision of assessment and impartial attestation to ensure fulfilment of specified requirements for products. XAIS-PTS Product Acceptance Scheme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

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

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

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



Issue 6 17.06.24

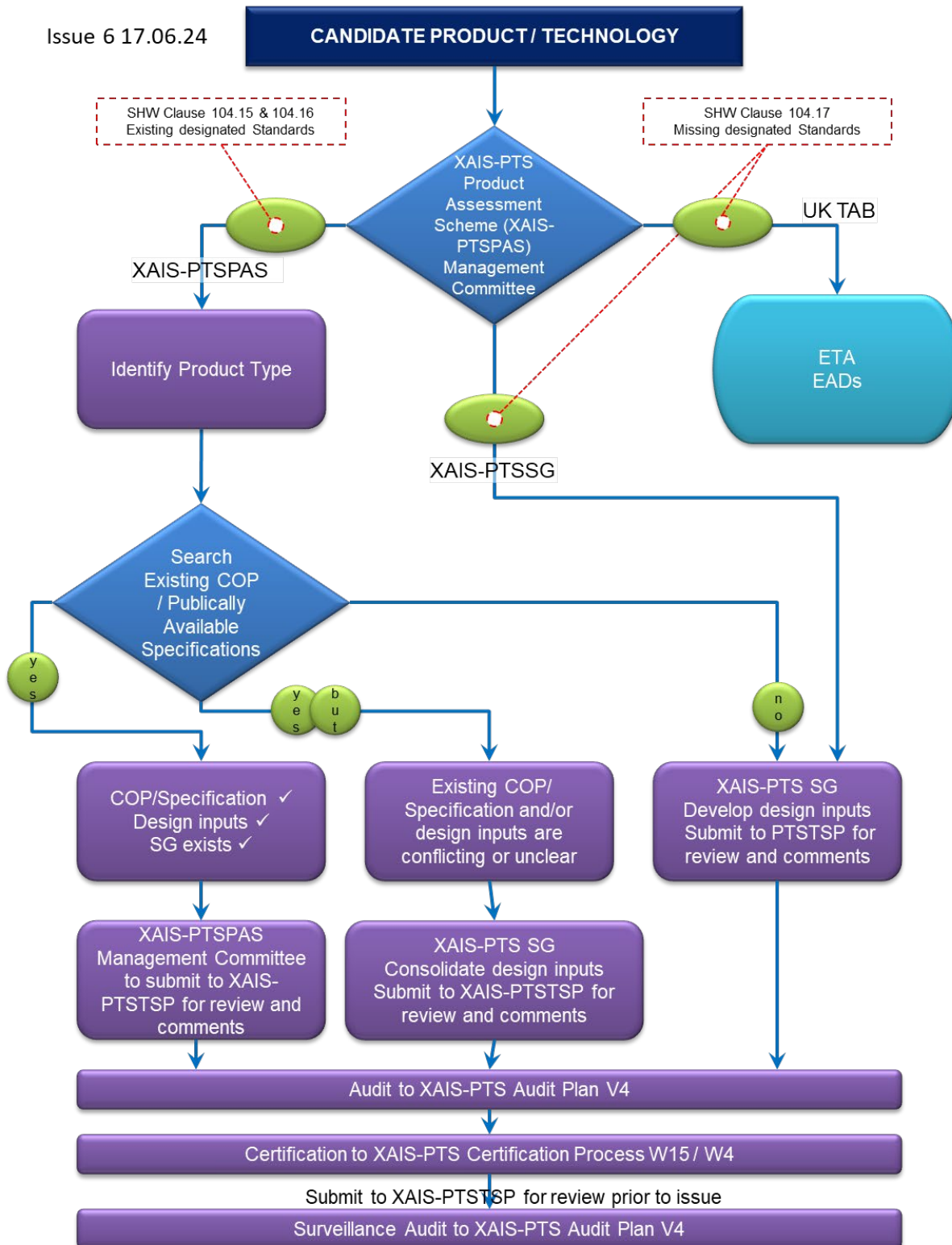


Figure 1 illustrates the structure of the XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS)

Figure 2 illustrates the structure of the XAIS-PTSPAS Specialist Groups

Figure 3 illustrates the individual product/system assessment route

**4. Objectives**

The objectives of XAIS-PTS Product Acceptance Scheme are to:

- Successfully carry out product assessment and certification as part of XAIS-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 XAIS-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.

**5. XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS) Requirements**

XAIS-PTSPAS shall implement the functional approach as:

- Development of scheme documents / stakeholder groups where the stakeholder group for the XAIS-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 XAIS-PTSPAS activities. These may be formed by XAIS-PTS or may be adopted by the XAIS-PTSPAS.
- Scheme documents shall be approved by the Technical Supervisory Panel (TSP) prior to being published on XAIS-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 XAIS-PTSTSP as frequently as deemed necessary by XAIS-PTS and XAIS-PTSTSP.

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

XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS) Functions and Activities		
I	<p><b>Selection</b> – including planning and preparation activities, specification of requirements, e.g. normative documents and sampling, as applicable</p> <p>Documents: M4, M4F1, W4, W6F, W15. XAIS-PTSPAS Guidelines &amp; Criteria (M7 if certificate transfer)</p>	✓

XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS) Functions and Activities		
ii	<b>Determination of Characteristics</b> – 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, W15, W17, XAIS-PTSPAS Guidelines & Criteria	✓
iii	<b>Review</b> – Examining the evidence of conformity obtained during the determination stage(s) to establish whether specified requirements have been met Documents: M4, M4F1, W4, W15, XAIS-PTSPAS Guidelines & Criteria	✓
iv	<b>Decision on Certification</b> – Granting, maintaining, extending, reducing, suspending, withdrawing certification Documents: M4, M4F1, W4, W9F, W15, XAIS-PTSPAS Guidelines & Criteria	✓
v	<b>Attestation</b> – 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, W15, XAIS-PTSPAS Guidelines & Criteria	✓
vi	<b>Surveillance</b> – 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, W15, W17, XAIS-PTSPAS Guidelines & Criteria	✓

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

## 6. XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS) Competence of Personnel and Impartiality

### • Competence of Personnel

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

### • Impartiality

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

## 7. XAIS-PTS Product acceptance Scheme (XAIS-PTSPAS) Ownership

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

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

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

XAIS-PTS shall document the content of the XAIS-PTSPAS.

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

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

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

XAIS-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.

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

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

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

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

XAIS-PTS has set up its XAIS-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 XAIS-PTSPAS

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

- Roads Authorities
- Statutory Undertakers
- Professional Institutions and Trade Bodies
- Patching and Reinstatement Contractors
- Material Suppliers
- System Providers

XAIS-PTS shall ensure that information about the XAIS-PTS Product Assessment XAIS-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.

#### **8. Content of XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS)**

The XAIS-PTS Product Acceptance Scheme (XAIS-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 XAIS-PTSPAS
- Other requirements to be met by the Applicant (e.g. 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 XAIS-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 XAIS-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 XAIS-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 XAIS-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 XAIS-PTSPAS and for the access of Clients to the XAIS-PTSPAS
- Content, conditions, and responsibility for publication of the directory of certified products by XAIS-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 XAIS-PTSPAS
- The way in which the clients refer to the XAIS-PTSPAS in the publicity material
- Retention of records by XAIS-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 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 XAIS-PTS Management Committee
Stage 7	Draft Certificate Submission to XAIS-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 XAIS-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.

#### 9. Surveillance

Surveillance activities are required by XAIS-PTSPAS, these activities are carried out in accordance with the specific Guidelines and Criteria Document, Stage 12. XAIS-PTS shall follow internal procedures and processes, V4 procedure at the Certificate Holders production location(s) W15 XAIS-PTSPAS Certification process, W3 On Site Audit process 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 XAIS-PTSPAS requirements as above with a 3-year re-certification, unless specified within the stage 12 / Appendix specific Guidelines and Criteria Document.

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.

Witnessed installation is carried out in accordance with the Guidelines and Criteria document Appendix 1, stage 12.

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 XAIS-PTS for the named product and where necessary, taking account of the product having its performance declared under a UKCA / CE mark.

#### **10. General Conditions**

XAIS-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.

XAIS-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, normative documents and XAIS-PTS internal procedures and processes.

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

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

#### **11. Client Transfer**

Any prospective client enquiring with XAIS-PTS to transfer a certificate, XAIS-PTS shall follow procedure M7 Client Transfer.

Any certifications which are known to have been suspended / withdrawn or under threat of suspension / withdrawal shall not be accepted for transfer. If XAIS-PTS is not able to verify the true status of certification, the prospective client is required to confirm that the certificate is not suspended / withdrawn or under the threat of suspension / withdrawal.