



Section 9 – Procedure for issuing a UK TA

Procedure for issuing a UK Technical Assessment

9.1 Introduction

A construction product with a UK Technical Assessment (UKTA), satisfying the Attestation of Conformity provisions, can carry UKCA marking and can be placed on the market in the UK only.

The Authority is an Observer status member of EOTA and a member of the group of UK TAB's and is nominated by the UK Government to grant UKTAs. The issuing of UKTA will be conducted primarily under the rules of the Department of Levelling Up, Housing and Communities (DLUHC), using the relevant UK Designated Assessment Document (UKAD**) and applying the certification principles of the United Kingdom Accreditation Service (UKAS) as appropriate.

** UKAD's are those EAD's which have been cited in the OJEU before the Brexit date of 31.12.2020. Permission to use any amended EAD's or new EAD's has not been granted by the European Commission

The following procedure is based on EOTA's Common Procedural Rules.

9.2 Project Manager

The Project Manager for each UK Technical Assessment project shall be the Scheme Manager Construction or their designate and will have the necessary authority to manage the project and ensure that it complies with this procedure.

9.3 Enquiry

The manufacturer or an agent of the manufacturer established in the Community may request information concerning:

- The approval procedure,
- The estimate of time necessary to complete the approval procedure,
- An estimate of cost for the handling of the approval procedure and the method of payment.

This information shall be provided by the Project Manager. Where necessary, a meeting will be held with the applicant to clarify any application details.

9.4 Application.

The manufacturer or agent shall submit an application form. The application shall be accompanied by a description of the construction product, specifications, drawings, and test reports, explaining in detail the subject under application and its intended use.

In the application form the applicant shall give details of all the places of manufacture. The manufacturer shall ensure that the Authority or its representative can visit these places during working hours, in view of the issuing of the UKTA. The applicant shall also declare that he pays all the costs of arising from the approval procedure and the establishment of the supporting documents.

If the applicant does not meet the obligations contained in the CPR, the application may be cancelled.



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9.5 Review of Application

Each application for an UKTA shall be reviewed to determine the feasibility of the project and ensure that the manufacturer's requirements are adequately defined. The review shall establish whether the product is within or related to the Authority's UKAS scope and whether an appropriate UKAD exists.

The review shall determine the following product related information:

- a) The product family and range of product details to be considered.
- b) The product name and specification for the proposed product and product range.
- c) The use categories for the product including any limitations and restrictions on the product use.
- d) Relevant production data including production processes, materials and material sources, location of production facilities, quality system certification.
- e) Applicable installation procedures
- f) Test data that have been produced to support the suitability of the product and its durability.
- g) Product ownership i.e., the company's right to produce and market the products under consideration.

9.6 Review of the Authority's Resource Requirements

The type and quantity of resources required to undertake the Assessment, e.g., technical experts and test facilities, shall be determined.

9.7 Scope of Assessment

The scope of the product assessment and FPC assessment shall be agreed with the manufacturer and shall be based on the information derived from section 9.5 above.

9.8 Service /Confidentiality Agreement

Following the preparation of the estimate of costs of Approval by the Scheme Manager and subsequent approval by the General Manager and Technical Development Manager, the estimate is sent to the applicant. On acceptance of same a Service / Confidentiality Agreement may be set up as per guidelines laid down by EOTA.

9.9 Assessment

The assessment programme shall comprise the assessment of the product and the assessment of the manufacturer's factory production control (FPC) specified in the appropriate UKAD

9.10 Assessment: Product

The product shall be assessed in accordance with the requirements specified in the UKAD and shall comprise the following elements:

- a) An initial full evaluation of the product to prove the product or system and determine the product characteristics specified in the UKAD,



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- b) Periodic evaluation of material or product characteristics specified in the UKAD.

Any historical test data held by the manufacturer may be considered when producing the assessment programme.

9.11 Assessment: Factory Production Control

The manufacturer shall exercise permanent internal control of the production (including subcontract facilities where appropriate). All the elements, requirements and provisions adopted by the manufacturer shall be documented in a systematic manner in the form of written policies and procedures. This control system shall ensure that the product is in conformity with the UKTA.

FPC systems which comply with EN ISO 9001, and which address the requirements of the UKAD, are recognised as satisfying the FPC requirements of the Directive.

The manufacturer's FPC system shall be assessed in accordance with the Attestation of Conformity (AC) requirements defined in the UKAD and shall comprise the following elements as appropriate:

- a) A Preliminary Inspection (optional).
- b) An evaluation of the manufacturer's FPC.
- c) Surveillances at a predetermined frequency.

Any existing quality system certification held by the manufacturer may be considered when producing the assessment programme.

9.12 Assessment Reports

The personnel responsible for each of the assessment activities, e.g., technical expert(s) and FPC assessor(s), shall report the assessment activities in accordance with the requirements of the UKAD.

9.13 UK Technical Approval

The project manager shall produce a draft UKTA in accordance with the "general format" requirements agreed by EOTA and with the content required by the UKAD.

A copy of the draft Technical Approval Report shall be circulated to the Supplier and technical experts within the CARES Construction Products Technical Committee for comment and initial agreement.

9.14 CARES Review of UKTA

The project manager shall prepare a summary report of the project covering the assessment reports, draft UKTA, and any necessary supporting data, which shall be reviewed by the Project Manager in conjunction with the Executive Director (and technical experts if required).

The review shall ensure that:

- a) The assessments have been conducted in accordance with the requirements of the UKAD.



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- b) The manufacturer's FPC system complies with the AC requirements of the UKAD.
- c) The UKTA complies with the format and content requirements of the UKAD.

9.15 Approval

Once any issues raised during the Technical Committee have been resolved, the UKTA will be issued.

9.19 Certificate of FPC

A Certificate of FPC will be issued in conjunction with the UKTA to the manufacturer.

9.20 Maintenance of UKTA

The UKAD is considered valid for an indefinite period during which the manufacturer shall demonstrate to the satisfaction of the Authority that it continues to comply with the requirements of the UKAD and that no design changes have been made which could invalidate the original product assessment carried out.

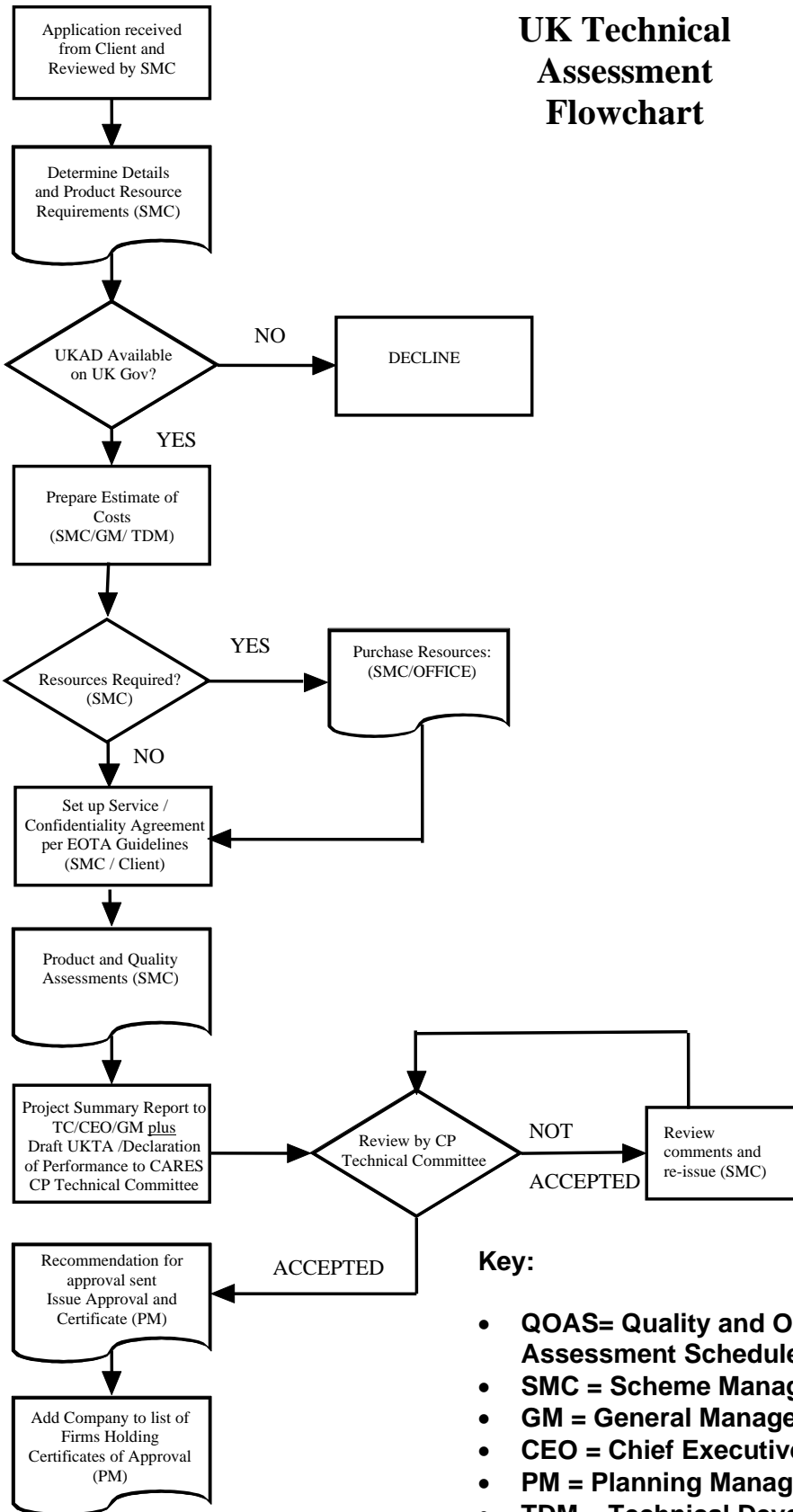
9.22 Withdrawal of UKTA.

Where, in the opinion of the Authority, the UKTA holder or the product fails to meet the requirements of the UKTA, the Authority shall notify the UK authorities (DLUHC) of the need to withdraw the UKTA. The UKTA shall be withdrawn if the DLUHC agrees under the requirements of the CPR.



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UK Technical Assessment Flowchart



Key:

- **QOAS= Quality and Operations Assessment Schedule.**
- **SMC = Scheme Manager Construction**
- **GM = General Manager**
- **CEO = Chief Executive Officer**
- **PM = Planning Manager**
- **TDM = Technical Development Manager**



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CARES Organisational Chart – May 2022

