



Designation: D3740 – 11

Standard Practice for Minimum Requirements for Agencies Engaged in Testing and/or Inspection of Soil and Rock as Used in Engineering Design and Construction¹

This standard is issued under the fixed designation D3740; the number immediately following the designation indicates the year of original adoption or, in the case of revision, the year of last revision. A number in parentheses indicates the year of last reapproval. A superscript epsilon (ϵ) indicates an editorial change since the last revision or reapproval.

This standard has been approved for use by agencies of the Department of Defense.

1. Scope*

1.1 This practice establishes minimum qualifications for agencies engaged in the testing and inspection of soil and rock. Minimum requirements for field and laboratory personnel are defined. The practice also covers the establishment and maintenance of a quality system.

1.2 Criteria are provided for evaluating the capability of an agency to properly perform designated tests on soil and rock, and for establishing essential characteristics pertaining to an agency's organization, personnel, facilities, and quality system. This practice may be supplemented by more specific criteria and requirements for particular projects.

1.3 This practice can be used as a basis to evaluate testing and inspection agencies, or both, and is intended for use for the qualifying or accrediting, or both, of testing or inspection agencies, public or private, engaged in the testing and inspection of soil and rock as used in engineering design and construction.

1.4 This practice is applicable to all standards which include a reference to Practice D3740.

1.5 *This standard does not purport to address all of the safety concerns, if any, associated with its use. It is the responsibility of the user of this standard to establish appropriate safety and health practices and determine the applicability of regulatory limitations prior to use.*

1.6 *This practice offers a set of instructions for performing one or more specific operations. This document cannot replace education or experience and should be used in conjunction with professional judgment. Not all aspects of this practice may be applicable in all circumstances. This ASTM standard is not intended to represent or replace the standard of care by which the adequacy of a given professional service must be judged, nor should this document be applied without consideration of*

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a project's many unique aspects. The word "Standard" in the title of this document means only that the document has been approved through the ASTM consensus process.

2. Referenced Documents

2.1 ASTM Standards:²

C1077 Practice for Agencies Testing Concrete and Concrete Aggregates for Use in Construction and Criteria for Testing Agency Evaluation

D653 Terminology Relating to Soil, Rock, and Contained Fluids

D3666 Specification for Minimum Requirements for Agencies Testing and Inspecting Road and Paving Materials

D5255 Practice for Certification of Personnel Engaged in the Testing of Soil and Rock

E329 Specification for Agencies Engaged in Construction Inspection, Testing, or Special Inspection

E1187 Terminology Relating to Conformity Assessment³

E1301 Guide for Proficiency Testing by Interlaboratory Comparisons

2.2 Other Standards:

AASHTO R18 Recommended Practice for Establishing and Implementing a Quality System for Construction Materials Testing Laboratories⁴

ISO/IEC 17025 General Requirements for the Competence of Testing and Calibration Laboratories

3. Terminology

3.1 Definitions:

² For referenced ASTM standards, visit the ASTM website, www.astm.org, or contact ASTM Customer Service at service@astm.org. For *Annual Book of ASTM Standards* volume information, refer to the standard's Document Summary page on the ASTM website.

³ Withdrawn. The last approved version of this historical standard is referenced on www.astm.org.

⁴ Available from American Association of State Highway and Transportation Officials (AASHTO), 444 N. Capitol St., NW, Suite 249, Washington, DC 20001, <http://www.transportation.org>.

*A Summary of Changes section appears at the end of this standard.

3.1.1 For definitions of terms used in this practice see Terminologies **D653** and **E1187**.

3.1.2 Soil and Rock — as used in this standard, any test method, practice, specification or guide developed by D18 and listed in volumes 04.08 and 04.09.

3.2 *Definitions of Terms Specific to This Standard:*

3.2.1 *agency*—an organization, or part of an organization, engaged in activities of technically oriented testing or inspection, or both.

3.2.2 *quality manual*—a document stating the quality policy, quality system and quality practices of an organization.

3.2.3 *qualified national authority*—an organization recognized throughout the country, with the capability to assess and monitor the professional and technical activities of an inspection or testing agency, or both.

4. Significance and Use

4.1 This practice provides the basic minimum criteria for use in evaluating the qualifications of a testing or inspection agency, or both, for soil and rock. The criteria may be supplemented by more specific criteria and requirements. An individual user can also use it to judge the qualification of an agency. The existence of a formal accrediting body such as a federal, state, or independent agency is not necessary for the use of this standard.

NOTE 1—Users of this practice should be aware that certain of these requirements may not be achievable and/or applicable to work performed outside of the U.S.A. In such cases, users should ensure that all necessary modifications are made to these requirements such as to render them appropriate to each specific set of circumstances.

4.2 The intent of this practice is to provide a consensus basis for evaluating a testing or inspection agency, or both, with respect to that agency's capability to objectively and competently provide the specific services needed by the user.

4.3 This practice may be used as a basis for accreditation.

4.4 To qualify for accreditation to this standard, the agency must include at least five standards relating to testing methods, inspection methods, or both, from the standards covered under the jurisdictions of Committee D18, in its certificate of accreditation.

4.5 The users of an accredited agency must review the agency's scope of accreditation to ensure the agency has been accredited for its technical competence to perform the tasks requested by the user.

5. Responsibilities and Duties

5.1 The agency shall ensure that only inspections or tests for which it is adequately equipped and staffed are performed.

5.2 The agency shall ensure that personnel perform only inspections and tests for which they are adequately trained, qualified and certified in accordance with applicable specifications.

5.3 The agency shall ensure that all equipment is properly maintained in good operating condition and is calibrated as applicable.

5.4 The agency shall perform all testing and inspection in accordance with appropriate standards and quality control criteria.

6. General Capabilities

6.1 *Laboratory Testing*—The agency performing laboratory testing of soil and rock shall have suitable test equipment and laboratory facilities for storing and testing samples and preparing samples for test.

6.2 *Field Testing and Inspection*—The field services of a soil and rock testing and inspection agency shall include some or all of the following capabilities:

6.2.1 testing of in situ materials,

6.2.2 testing of materials being processed,

6.2.3 checking on adequacy of production equipment or construction equipment used for reworking or processing soil and rock,

6.2.4 observation and inspection of soil or rock placement, and

6.2.5 in-place testing of constructed components.

6.3 *Sampling*—the services of an agency responsible for sampling soil and rock shall include some or all of the following capabilities:

6.3.1 sampling of in situ materials,

6.3.2 sampling of materials which are to be reworked, processed, and reused,

6.3.3 sampling of materials being processed, and

6.3.4 sampling of constructed components.

7. Personnel Qualifications

7.1 *Management and Supervision*—The testing and inspection services of the agency shall be under the direction of a person charged with the engineering managerial or scientific managerial responsibility. The person shall be a licensed registered engineer or other licensed registered professional and a full-time employee of the agency and shall have a minimum of 5 years engineering or scientific experience, as appropriate, in the inspection and testing of soil and rock; or a person with equivalent science-oriented education and experience in having satisfactorily supervised or directed testing or inspection services, or both, of soil and rock is acceptable.

7.2 *Supervising Laboratory Technician*—The supervising laboratory technician shall have at least 3 years experience performing tests on soil and rock.

7.2.1 This person must demonstrate, by written examination(s), the ability to perform the tests in the manner stipulated under ASTM or other governing procedures and shall be capable of evaluating the test results in terms of specification compliance. Current certification by national, regional or state authorities shall be considered as one means of evidence of fulfilling the written examination requirement (**Note 2**). The certification shall be appropriate to the work required. At a minimum, the written examination(s) shall include at least five test methods listed in ASTM Volumes 4.08 and 4.09.

7.2.2 In addition, a performance evaluation reviewing the technician's competency to perform the test method correctly shall be conducted prior to the technician performing the test independently and at least every 36 months thereafter for each test the person is authorized to perform.

7.3 *Supervising Field Technician*—This person shall have at least 3 years experience in inspecting the kind of work involved in the soil and rock construction project.

7.3.1 This person must demonstrate, by written examination(s), the ability to perform the tests and duties in the manner stipulated under ASTM or other governing procedures and shall be capable of evaluating the test results in terms of specification compliance. Current certification by national, regional or state authorities shall be considered as one means of evidence of fulfilling the written examination requirement (Note 2). The certification shall be appropriate to the work required. At a minimum, the written examination(s) shall include at least five of the testing or inspection methods listed in ASTM Volumes 4.08 and 4.09.

7.3.2 In addition, a performance evaluation reviewing the technician's competency to perform the test method correctly shall be conducted prior to the technician performing the test independently and at least every 36 months thereafter for each test the person is authorized to perform.

7.4 *Inspecting or Testing Technician*—This person shall have a high school diploma or equivalent or trade school training and have had sufficient on-the-job training to properly perform the test or inspection to which the person is assigned.

7.4.1 This person must demonstrate, by written examination(s), the ability to perform the tests in the manner stipulated under ASTM or other governing procedures. Current certification by national, regional or state authorities shall be considered as one means of evidence of fulfilling the written examination requirement (Note 2). The certification shall be appropriate to the work required. At a minimum, the written examination(s) shall include at least five of the testing or inspection methods listed in ASTM Volumes 4.08 and 4.09. Technicians that perform fewer than 5 of the applicable testing or inspection methods will meet the written exam requirement provided the examination(s) includes each testing or inspection method performed.

7.4.2 In addition, a performance evaluation reviewing the technician's competency to perform the test method correctly shall be conducted prior to the technician performing the test independently and at least every 24 months thereafter for each test the person is authorized to perform.

7.4.3 A trainee may perform this work while advancing toward certification under the direct physical supervision of a person meeting the requirements above. The trainee cannot independently evaluate test results or sign as responsible for an inspection or testing report.

NOTE 2—Refer to Practice D5255 for other guidance on certification.

7.5 It is satisfactory for a person to fill one or more of the levels of management, supervision, inspector, or technician positions in accordance with 7.1, 7.2, 7.3, and 7.4 provided that person qualifies for the highest level. It is also recognized that frequently a few laboratory control tests or inspections are conducted at small field or peripheral locations. It is not the intent of this practice that the supervisory personnel be directly present at such locations at all times.

8. Quality System Criteria

8.1 The agency shall establish and implement a quality system which meets the following criteria:

8.1.1 *Quality Manual*—The agency shall establish and maintain a quality manual that conforms to the requirements in

Section 9, Quality Manual (Requirements). Each document in the quality manual shall indicate its preparation date. If a document is revised, the date of revision shall be indicated on the document. The quality manual shall be available for use by laboratory staff.

8.1.2 *Quality Management*—The agency shall designate a person(s) having responsibility for determining if quality system implementation activities are being conducted by agency staff in the manner specified in the agency's quality manual. This individual(s) shall have direct access to top management (Note 3).

NOTE 3—This individual(s) may have other responsibilities (for example, laboratory manager).

8.1.3 *Laboratory Procedure Manual*—The agency shall establish and maintain a procedures manual, outlining the customary method or inspection procedures for each test or service performed by the laboratory. Copies of current ASTM, AASHTO, or other national standards used need not to be included in the manual. However, for each procedure, the manual shall include specific references to such standards along with any exceptions to them or any special instructions (such as requirement for forms, calculation programs, checking, review, or combinations thereof, etc.) (or both). The referenced standards shall be readily available for use by personnel performing the test or service.

8.1.4 *Equipment Calibration and Verification*—The agency shall calibrate or verify all significant testing equipment associated with tests covered by the scope of this standard which the agency performs. As a minimum, the equipment listed in Table 1 shall be included if it is associated with tests performed by the agency. Applicable equipment shall be calibrated or verified at the intervals specified in the agency's quality manual. The intervals specified in the quality manual shall be no greater than those indicated in Table 1 (Note 4). Newly acquired equipment without manufacturers certification and equipment that has not been calibrated or verified because it has been removed from service shall be calibrated or verified before being placed in service. The agency shall have detailed written procedures for all in-house calibration and verification activities not addressed in standards. These procedures shall indicate the equipment required to perform the calibration or verification.

NOTE 4—When a maximum calibration or verification interval for a specific piece of test equipment is specified in a standard, the maximum interval specified by this document is intended to be the same as the maximum interval specified by the standard.

8.1.5 *Equipment Calibration and Verification Records*—The agency shall maintain calibration and verification records for all equipment specified in the quality manual. Such records shall include:

8.1.5.1 detailed results of the work performed (dimensions, mass, force, frequency, temperature, time, and the like),

8.1.5.2 description of the equipment calibrated or verified including model and serial number or other acceptable identification (Note 10),

8.1.5.3 date the work was done,

8.1.5.4 identification of the individual performing the work,