Designation: D3740 – 23

Standard Practice for Minimum Requirements for Agencies Engaged in Testing and/or Inspection of Soil and Rock as Used in Engineering Design and Construction[1]

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 U.S. 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 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.

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

1.6 *The text of this standard references notes and footnotes that provide explanatory material. These notes and footnotes (excluding those in tables and figures) shall not be considered as requirements of the standard.*

1.7 *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, health, and environmental practices and determine the applicability of regulatory limitations prior to use.*

1.8 *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 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.*

1.9 *This international standard was developed in accordance with internationally recognized principles on standardization established in the Decision on Principles for the Development of International Standards, Guides and Recommendations issued by the World Trade Organization Technical Barriers to Trade (TBT) Committee.*

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

[1] This practice is under the jurisdiction of ASTM Committee D18 on Soil and Rock and is the direct responsibility of Subcommittee D18.99 on Quality Control.

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[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.

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

E1187 Terminology Relating to Conformity Assessment (Withdrawn 2006)[3]
E1301 Guide for Proficiency Testing by Interlaboratory Comparisons (Withdrawn 2012)[3]

2.2 *Other Standards:*
AASHTO R18 Recommended Practice for Establishing and Implementing a Quality System for Construction Materials Testing Laboratories[4]
ISO/IEC 17025 General Requirements for the Competence of Testing and Calibration Laboratories

3. Terminology

3.1 *Definitions:*

3.1.1 For definitions of common terms used in this standard, refer to Terminologies D653 and E1187.

3.2 *Definitions of Terms Specific to This Standard:*

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

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

3.2.3 *qualified national authority, n*—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 United States of America (U.S.A.). In such cases, users should make sure 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 The users of an accredited agency must review the agency's scope of accreditation to make sure 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 make sure that only inspections or tests for which it is adequately equipped and staffed are performed.

5.2 The agency shall make sure 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 make sure 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 agency performing field testing and inspection services of soil and rock 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 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 engineering 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

[3] 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.