SECTION 200.00 – IDAHO TRANSPORTATION DEPARTMENT LABORATORY QUALIFICATION PROGRAM

The Idaho Transportation Department (Department) Laboratory Qualification Program was developed under the guidelines of 23 CFR Part 637, Construction Inspection and Approval. This program outlines the requirements necessary for qualification of a laboratory by the Department. To ensure that laboratories consistently provide valid test results, they must be qualified according to this program. As used in this program, the term "laboratory" means an individual test facility, fixed or mobile (i.e., a trailer or building temporarily located at a project site to test materials for Department projects is a laboratory and must be individually qualified under the program).

In all cases, an annual Department laboratory inspection is required for qualification under this program. The program recognizes four categories of laboratories that will test materials for Department construction projects:

1. Quality Control (QC)
2. Quality Assurance (QA)
3. Dispute Resolution
4. Design of Concrete and Asphalt Mixes.

Laboratories will either be owner occupied or those owned by others.

200.01 Laboratory Owner Occupied. All 3 of the following criteria must be satisfied in order to test materials for Department construction projects:

- The laboratory must develop and implement a quality management system (e.g., AASHTO R 18)
- Individuals performing the tests must be qualified
- Testing equipment must be calibrated

200.02 Laboratory Owned by Others. The following criteria must be satisfied in order to test materials for Department construction projects.

- The laboratory owner must develop and implement a quality management system (e.g., AASHTO R 18). See Table A-3.
- Testing equipment must be calibrated by the owner
- The operator is responsible for supplying qualified technicians.

200.03 Quality Management System (QMS). The Quality Management System and associated documentation must be developed and implemented whether it is for an individual laboratory or multiple laboratories owned by the same company. When multiple laboratories are owned by the same company, the quality system must include each separate laboratory and a companywide quality system.

200.03.01. Non-Calibrated, Non-Standardized, or Broken Equipment. Non-calibrated, non-standardized, or broken equipment must be tagged. No testing will be performed with non-calibrated or tagged equipment. Documentation on the disposition of all non-calibrated, non-standardized or tagged equipment shall be supplied to the Department.

200.04 AASHTO Accreditation. Non-Department laboratories preparing asphalt mix designs, independent assurance sampling and testing, and providing dispute resolution tests for Department projects must be AASHTO accredited for all tests performed.

SECTION 210.00 QUALITY CONTROL LABORATORIES

QC laboratories are laboratories under the direct control of the Contractor. QC of construction materials is the responsibility of the Contractor and is performed during the production of the material. Laboratories performing QC testing may be the following type:

- Owned and operated by the contractor
- Owned and operated by a material or product supplier
- Owned and operated by an independent testing laboratory hired by the contractor
- Owned by others and operated by the contractor

All levels of testing by the contractor or the contractor's designated laboratories to control the quality of a product are considered QC testing. When properly verified by QA testing, QC test results may be used for acceptance of material when specified in the contract.

210.01 Quality Control Laboratory Inspection Duties. ITD District Materials Engineer or their representative will inspect QC Laboratories for compliance to perform the QC tests used for acceptance of material in Department construction projects. Central Laboratory personnel are available to assist in qualifying independent testing laboratories when qualification is required for test methods the District personnel do not typically perform.

The inspection and qualification requirements for QC Laboratories are outlined in Section 230.01.

SECTION 215.00 QUALITY ASSURANCE LABORATORIES

QA is the responsibility of the Department. QA is planned and systematic actions that provide confidence the acceptance test results are reliable. Quality Assurance Laboratories are laboratories under the control of the Department and generally perform one or more of the following for Department construction projects:

- State acceptance testing
- Verification testing
- Independent Assurance (IA) testing

QA Laboratories will generally be the following types:

- ITD Field Laboratories
- ITD District Laboratories
- ITD Central Laboratory
- A local Highway District Laboratory
- A Department-contracted independent testing laboratory
- Owned by others and operated by the Department or its agent

215.01 Quality Assurance Laboratories Inspection Duties. The ITD District Materials Engineer or his/her representative will inspect Department field laboratories and IA laboratories located in Idaho in accordance with Section 230.01 for test methods necessary to perform QA tests of construction materials for Department construction projects. Central Laboratory personnel are available to assist in qualifying independent testing laboratories when qualification is required for test methods the District personnel do not typically perform.

If a laboratory is located in another state, qualification under the program of that state's transportation department or AASHTO accreditation may be accepted provided requirements of this program are met. Such a laboratory must furnish evidence of current qualified status for the applicable testing. The annual Department laboratory inspection is still required. HQ Central Laboratory personnel are available to assist in qualifying out-of-state laboratories.

The inspection and qualification of ITD District Main Laboratories and Local Highway District Laboratories are detailed in Section 230.02. Section 230.03 describes the qualification of the HQ Central Laboratory.

SECTION 220.00 DISPUTE RESOLUTION LABORATORIES

When QC and acceptance test results conflict and the conflict cannot be resolved, a neutral Dispute Resolution Laboratory may test the material in question provided the conditions of Section 106.07 of the Standard Specifications are met. The Dispute Resolution Laboratory will be either the Central Laboratory or an independent testing laboratory not currently testing on the project.

Dispute Resolution Laboratories must be AASHTO accredited for the test methods in dispute, if accreditation is offered by AASHTO for those methods. If AASHTO does not offer accreditation for the test methods in dispute, then other measures of proficiency will be reviewed. These might include other accreditation programs and/or participation in cooperative testing programs.

220.01 Dispute Resolution Laboratory Inspection Duties. Central Laboratory personnel will inspect and qualify all dispute resolution laboratories. The laboratory manager must contact ITD Central Laboratory Manager 60 days prior to testing dispute samples, and request inspection and qualification for those test methods where dispute resolution will be performed.

The qualification process will follow the procedures outlined in Sections 230.01.01 to 230.01.04, except the representative performing the inspection will be Central laboratory personnel and the qualification will be the ITD-926 HQ Issued Laboratory Qualification form.

SECTION 225.00 CONCRETE AND ASPHALT MIX DESIGN LABORATORIES

Non-Department laboratories submitting Asphalt Mixture (Hot Mix Asphalt (HMA), Warm Mix Asphalt (WMA)) designs, and Concrete Mix designs must be accredited and qualified under the Department's Laboratory Qualification Program.

The qualification process will follow the procedures outlined in Sections 230.01.01 to 230.01.04. The representative performing the inspection for Asphalt Mix Design Laboratories will be ITD Central Laboratory personnel and the qualification will be the ITD-926 form. The representative performing the inspection for Concrete Mix Design Laboratories will be ITD District Materials personnel and the qualification will be the ITD-922 form.

225.01 Asphalt Mix Design Laboratory Inspection. Central Laboratory personnel will inspect and qualify all Asphalt Mix design laboratories. The laboratory manager must contact ITD Central Laboratory Manager, and request inspection and qualification for those test methods needed to perform the mix design.

If a laboratory is located in another state, qualification under the program of that state's transportation department may be accepted provided requirements of this program are met. Such a laboratory must furnish evidence of current qualified status for the applicable testing to the Central Laboratory Manager. In addition to the state qualification, the testing laboratory must also hold a current AASHTO qualification for the tests needed to design mixes.

225.02 Concrete Mix Design Laboratory Inspection. Department Laboratory personnel will inspect and qualify all Concrete Mix design laboratories. The laboratory manager must contact the ITD District Materials Engineer and request inspection and qualification for those test methods needed to perform the mix design.

If a laboratory is located in another state, qualification under the program of that state's transportation department may be accepted provided requirements of this program are met. Such a laboratory must furnish evidence of current qualified status for the applicable testing to the Department. In addition to the state qualification, the testing laboratory must also hold a current AASHTO qualification for the tests needed to design mixes.

SECTION 230.00 LABORATORY QUALIFICATION PROCESS

The ITD Laboratory Qualification Program has a process to qualify all laboratories used for Department construction projects. Qualification is required for testing equipment used in materials acceptance decisions.

The following types of laboratories have different inspection and qualification requirements:

- The District Laboratories are responsible for inspection and qualification of QC Laboratories and ITD Field Laboratories.
- The Central Laboratory is responsible for annual inspection and qualification of ITD District Laboratories and Local Highway District Laboratories.

230.01 Inspection and Qualification Requirements for Quality Control Laboratories and ITD Field Laboratories. At the request of the laboratory manager, the ITD District Materials Engineer or representative will inspect the laboratory for qualification. The laboratory manager is responsible for requesting inspection at least 60 calendar days in advance of the date the qualification is needed to allow the ITD District personnel to conduct the inspection and issue the qualification prior to testing materials for Department construction projects. The laboratory manager is required to coordinate with the ITD District Materials Engineer in the inspection and qualification process. The laboratory manager will use Table A-1 of Appendix A to provide the list of test methods the laboratory is requesting for inspection and qualification.

The Department representative will inspect and assess the laboratory as detailed in the On-site Inspection Report of Appendix A. The Department representative may verify equipment calibrations, standardizations, and checks during the inspection in accordance with Section 260.00.

230.01.01 Preliminary Report. The Department representative will prepare a Preliminary On-site Inspection Report (Appendix A, ITD-921) following the inspection. The test methods for which the laboratory is requesting qualification will be listed on the report. The report will list any deficiencies identified during the inspection and the associated test method(s). The Department representative will discuss each deficiency noted in the preliminary report with the laboratory manager in sufficient detail so the laboratory manager understands the scope of the deficiency and what corrective action is required. Both parties will sign the preliminary report. These signatures indicate both parties have read and understand the report. The original Preliminary On-site Inspection Report is retained by the laboratory owner or manager and a copy is retained for the District file.

The Department does not issue partial, provisional, or stipulated laboratory qualifications. All requirements must be met for all test methods the laboratory intends to perform prior to qualification.

When deficiencies are identified in the preliminary report, the Department representative will, upon request of the laboratory manager, perform a re-inspection to confirm that all deficiencies were corrected.

230.01.02 Final Report. If there are no deficiencies identified during the inspection, or re-inspection, the Department representative will prepare a Final On-site Inspection Report (Appendix A; ITD-921) and submit it to the District Materials Engineer for review.

230.01.03 Certificate of Annual Laboratory Qualification. The District Materials Engineer will review the Final On-site Inspection Report to ensure all conditions for qualification have been satisfied and deficiencies have been corrected and will then prepare and issue the Certificate of Annual Laboratory Qualification (Appendix A, ITD-922).

The laboratory will be assigned a permanent ITD Laboratory Qualification Number that will be written on the Certificate of Annual Laboratory Qualification. The permanent ITD Laboratory Qualification Number will be a four-digit number beginning with the number of the district that qualifies the laboratory (e.g., District 1 will use 1000 series, District 2 will use 2000 series, District 3 will use 3000 series, etc).

The Department will affix a number plate to the qualified QC Laboratory. When the laboratory is moved to a different district, the original ITD Laboratory Qualification Number will be retained and the number plate will remain affixed to the laboratory. The number plate will remain affixed if the laboratory is sold. The only situation for removal of the number plate is when the laboratory is retired or disposed of. The number plate remains the property of the Department and must be returned to the Department when removed. The ITD Laboratory Qualification Number will be used in a central database to list qualified laboratories.

The Certificate will include the laboratory name and the test methods the laboratory has been qualified to perform, and will be signed by the Department representative and the District Materials Engineer. The Certificate of Annual Laboratory Qualification is proof of a laboratory's Department qualification for the listed test methods. Unless otherwise noted, the laboratory qualification will be valid for one year from the date on the qualification certificate. The Final Onsite Inspection Report and the Certificate of Annual Laboratory Qualification will be sent to the laboratory within 21 calendar days following the final inspection.

Copies of the Final Onsite Inspection Report and the Certificate of Annual Laboratory Qualification will be distributed to Central Laboratory and to the District Materials file. Distribution to the District Regional/Resident Engineer is recommended when the laboratory is scheduled to be used for testing on an identified project.

230.01.04 Follow Up On-site Inspections. The Central Laboratory or district personnel at the Department may perform an on-site inspection of a qualified laboratory at any time. Scheduled IA evaluations are considered on-site inspections on testing equipment and testing personnel. Deficiencies identified will be handled as described in Section 270.00, Laboratory Disqualification.

230.02 ITD District Laboratories and Local Highway District Laboratories. The Central Laboratory is responsible for annual inspection and qualification of ITD District Laboratories and Local Highway District Laboratories. Qualification is required for those test methods used in the acceptance decision for materials used for Department construction projects.

230.02.01 Inspection and Qualification Requirements for ITD District Laboratories and Local Highway District Laboratories. Central Laboratory personnel will perform the following functions annually for each laboratory:

Inspect the laboratory for the requirements of Appendix A including conformation that equipment calibrations, standardizations, or checks have been performed and documented as outlined in the program for all tests the laboratory performs.

Spot evaluate equipment calibrations, standardizations, and checks in accordance with Section 260.00.

Qualify the laboratory personnel performing test methods not covered by a recognized testing technician qualification program (e.g., WAQTC, ACI.) as shown in Section 250.00. Observe other test methods not shown in Section 250.00 to ensure proper procedures.

Observe the laboratory personnel performing selected WAQTC or other test methods as identified (OPTIONAL)

- For ITD District Laboratories, Central Laboratory personnel will inspect and conduct an audit for QMS compliance at a minimum annually. Including a review of AASHTO AASHTO re:source Proficiency Sample files for conformance with program requirements

230.02.01.01 Laboratory Inspection Report. Following laboratory inspection, a detailed inspection report including noted deficiencies will be forwarded to the District Engineer and the District Materials Engineer (or laboratory manager for Local Highway District Laboratories).

The laboratory will have 45 days after the date of the report to notify the Central Laboratory of the resolution of the deficiencies. When deficiencies are not corrected or the requirements of the program are not met, they will be handled as described in Section 270.00, Laboratory Disqualification. A notice of disqualification will be sent to the District Engineer and the District Materials Engineer (or Laboratory Manager for Local Highway District Laboratories).

230.02.01.02 Headquarters Issued Laboratory Qualification. Once all deficiencies are adequately addressed, the Central Laboratory Manager will issue the Certificate of HQ Issued Laboratory Qualification (Appendix A, ITD-926). The certificate will show broad categories of qualification rather than list every test method; however, the inspection report must document each test method qualified. An intranet website listing the test methods the districts are qualified to perform will be maintained by Central Laboratory. Laboratory Qualification for ITD District and Local Highway District Laboratories are valid for one year.

230.02.02 ITD District Laboratory Operations. The District Materials Engineer is responsible for ensuring the requirements of the program are met for laboratory qualification, including ensuring equipment calibrations, standardizations, and checks are completed and documented at the frequencies required in this program.

The Central Laboratory will coordinate annual statewide calibration/standardization contracts as required.

The District Materials Engineer must ensure laboratory testing technicians are qualified per Section 250.00. The District Materials Engineer should periodically evaluate the laboratory testing technician's performance. Testing technician qualification and evaluations must be documented.

ITD District laboratories are required to participate in the AASHTO AASHTO re:source proficiency sample program based on the testing performed by the individual District Laboratory.

Participation in the AASHTO re:source Proficiency Sample program is required for ITD District Laboratory Qualification. The District Materials Engineer will monitor the proficiency sample reports to ensure reliability of laboratory testing. The District Materials Engineer will maintain a file of all AASHTO re:source sample test reports submitted to AASHTO re:source and the preliminary and final AASHTO re:source Reports. Any result that is beyond two standard deviations from the average is deemed poor. Proficiency sample reports are rated on a scale from 0-5 and scores of 0, 1 and 2 require a written Corrective Action Report (AASHTO re:source provided on-line) response to the file. When poor results are reported, the District Materials Engineer will do the following within 60 days of the date of the final report:

- Investigate to determine the reason(s) for the poor results
- Document the results of the investigation and any corrective actions taken
- Maintain records of the investigation and the corrective action report
- Provide copies of AASHTO re:source test results including ratings, investigation, and corrective action report to the Central Laboratory Manager.

230.02.03 Local Highway District Laboratory Operations. The Local Highway District Laboratory manager is responsible for ensuring the requirements of the program are met for laboratory qualification, including ensuring that equipment calibrations, standardizations, and checks are completed and documented at the frequencies required in this program.

The Local Highway District Laboratory manager must ensure laboratory testing technicians are qualified per Section 250.00. The Local Highway District Laboratory manager should periodically evaluate the laboratory testing technician's performance. Testing technician qualification and evaluations must be documented.

230.03 Central Laboratory. The Central Laboratory is accredited through the AASHTO Accreditation Program (AAP)and participates in the AASHTO re:source and CCRL proficiency sample programs. The specifics of the Central Laboratory accreditation are contained in the Laboratory QC Binder at Central Laboratory. AASHTO accreditation is in accordance with the AAP Procedures Manual and AASHTO R 18 "Standard Recommended Practice for Establishing and Implementing a Quality System for Construction Materials Testing Laboratories". The Central Laboratory Manager must ensure laboratory testing technicians are qualified per Section 250.00.

SECTION 240.00 CONFLICT OF INTEREST

In order to avoid an appearance of a conflict of interest, any non-Department laboratory is allowed to perform only one of the following types of testing on the same project:

- Quality Assurance (Verification and/or Acceptance)
- Quality Control
- Independent Assurance
- Dispute Resolution

All levels of testing by the Contractor or Contractor's designated laboratories to control the quality of a product are considered QC testing. When properly verified by QA testing, QC test results may be used for acceptance of material when specified in the contract.

The laboratory performing QC testing is allowed to prepare mix designs for the same project as long as they meet the requirements of Section 225.00 of the Laborataory Operations Manual.

The laboratory performing QA testing is allowed to prepare mix designs for the same project as long as they do not perform QC testing, IA testing, or dispute resolution testing, and meet the requirements of Section 225.02 of the Lab Operations Manual.

The Federal law specifies no laboratory may perform both QC and QA testing for the same construction project.

SECTION 250.00 Qualification Requirements for Personnel Who Perform Sampling and Testing

Refer to the QA Manual, Section 590.

SECTION 260.00 CALIBRATION, STANDARDIZATION, AND CHECK REQUIREMENTS FOR TESTING EQUIPMENT

All Laboratories are required by the provisions in AASHTO R 18 to maintain a list giving a general description of equipment that requires calibration, standardization, or checks. For equipment not specifically addressed in AASHTO R 18, use AASHTO R 61. This section, Appendix A, and Appendix B provide the information necessary to comply with the provisions of AASHTO R 18.

260.01 Equipment Requirements. Equipment used to test materials for Department construction projects must be calibrated, standardized, and checked at the frequencies required in Table A-2 of Appendix A. These terms are defined in the following sections. Table A-1 of Appendix A lists each test method and the equipment associated with performing the test method. The equipment shown in bold for each test method on Table A-1 requires calibration, standardization, or check under this program. Appendix B provides the required procedures and sample worksheets for documenting this process.

260.01.01 Calibration. A set of operations that establish, under specified conditions, the relationship between values of quantities indicated by a measuring instrument or measuring system, or between values represented by a material measure or a reference material, and the corresponding values realized by standards. Calibration allows equipment adjustment to an exact standard (e.g., scales and balances).

260.01.02 Standardization. A process that determines:

1. The correction or correction factor to be applied to the result of a measuring instrument, measuring system, material measure, or reference materialwhen its values are compared to the values realized by standards.
2. The adjustment to be applied to a piece of equipment when its performance is compared with that of an accepted standard or process. Standardization creates a correction for equipment to a known standard (e.g., thermometers, unit weight buckets, ovens).

260.01.03 Check. A specific type of inspection and/or measurement performed on the physical properties of equipment and materials to determine compliance or otherwise with stated criteria. Checks are performed on equipment that cannot be adjusted, altered, or modified to meet a standard (e.g., sieves, slump cones, sand equivalent shaker).

260.01.04 Other Considerations. Equipment for which there is not an established procedure or frequency for calibration, standardization, but that requires a certain precision (e.g., graduated cylinder or strike off plate.), must be evaluated (checked) for meeting the precision requirements upon placing the equipment into service and routinely thereafter, but does not require documentation. Newly purchased equipment or equipment acquired from other sources without existing records must be calibrated, standardized, or checked before being placed in service per the requirements of Table A-2.

In some cases equipment calibration or standardization by a commercial calibration service is required. This means the calibration or standardization is performed by hiring a company that has certified standard measuring devices and has qualification from a recognized laboratory accreditation program (e.g.,ISO, ANSI, NIST) to perform this process. Measuring equipment used in equipment standardization and calibration must be checked annually using NIST-traceable standards.

Equipment calibration, standardization, and checks must be performed by properly qualified personnel or by a commercial calibration service.

Each piece of laboratory test equipment must be permanently marked or labeled to clearly identify the piece of equipment for the laboratory's inventory record.

If laboratory test equipment is overloaded, mishandled, giving results that are suspect, or is not meeting specification tolerances, the lab supervisor will remove it from service and mark it by attaching a clearly visible tag or ribbon. The equipment will be returned to service only after appropriate repairs are made and calibration, standardization, or check shows the equipment to function satisfactorily or to meet specification tolerances.

As a requirement for Laboratory Qualification under this program, every testing laboratory must:

- Maintain an equipment inventory (ITD-920) of all the equipment, including the date when the calibration, standardization, or check was performed, and the date the equipment was placed and removed from service.
- Use calibration, standardization, or check worksheets to document each step of the associated procedure and record any associated measurement and/or calculations. See Appendix B for procedures and worksheets.
- Maintain the documented record from the commercial calibration service of any equipment they calibrated, standardized, or checked. Documentation includes the name and date of the person who performed the procedure as well as the name of the accredited organization where the person received their qualification to perform calibrations, standardizations, and checks.
- Keep up-to-date equipment inventory (ITD-920) and calibration, standardization, and check worksheets on the premises of the laboratory at all times for inspection.
- Include IA test reports (copy of ITD-857) in the laboratory records.

260.02 Laboratory Equipment Documentation. Every testing laboratory must have complete documentation as outlined above available on the premises of the laboratory at all times. Usually this consists of a binder containing all the required documents organized as indicated above (e.g., equipment inventory, calibration, standardization, and check worksheets and IA evaluations). The current Department-issued laboratory qualification certificate and final inspection report must also be included.

SECTION 270.00 Laboratory Disqualification

270.01 Disqualification. Disqualification can occur when any or all of the following deficiencies are found:

- Lack of compliance with the laboratory QMS
- Use of non-qualified samplers/testers,
- Use of non-calibrated, non-standardized, non-checked or tagged equipment
- Fraud, and/or misconduct.

270.02 Disqualification Process. The Idaho Sampler/Tester Qualification Committee (STQC) may disqualify a laboratory at any time. All actions taken by the STQC may be applied to an individual laboratory or all laboratories operated under the same QMS.

The process for disqualification will start with a written submittal to the STQC chairman. Such a request should contain information regarding who was involved, when the incident happened (date), what was observed, and the name, address, and telephone number of the person making the report.

Within 100 days of receipt of the request, the STQC will review for merit. If the information has merit, the STQC will perform an investigation. A letter detailing the incident will be sent to the laboratory in question. The laboratory will be given an opportunity to respond in writing within 15 working days. The STQC will review the laboratory's response and may conduct additional interviews. At any point in the process if the STQC determines that insufficient evidence exists to continue the investigation, the matter will be dismissed.

Upon receipt of all information and responses as outlined above, the STQC will make a determination as to whether the violation falls under the definition of either Negligence or Abuse.

> *Negligence* is defined as unintentional deviations from approved procedures or the unintentional failure to follow the requirements of the ITD Laboratory Qualification Program (e.g., unintentional use of damaged or non-calibrated, non-standardized, non-checked equipment, unintentional expiration of annual qualification, or untidy laboratories).
>
> *Abuse* is defined as intentional deviations from approved procedures or the intentional failure to follow the requirements of the ITD Laboratory Qualification Program. This would include habitual negligence, and not correcting deficiencies as outlined in Section 270.01.

Once a determination has been reached on the category of the violation, the appropriate process outlined below will be followed.

270.02.01 General Procedures Applicable to Both Categories of Violations. A letter of determination will be mailed to the laboratory in question. The notice will also contain an explanation of the laboratory's right to appeal the decision, the procedure for an appeal, and the time frames within which the appeal must be filed.

A disqualification is effective upon mailing of the notice to the laboratory and is effective unless modified or vacated following an appeal.

270.02.01.01 Process for Neglect. Neglect is less severe than abuse and should be resolved in a positive fashion so that learning and increased knowledge can happen. The complaint process for neglect is intended primarily to allow a means of tracking the types of problems and issues being encountered.

A single incident of neglect may be resolved through intervention by the District Independent Assurance Inspector (IAI). The IAI will supply clarification to the laboratory on proper testing, equipment calibration, standardization, and check techniques per the QA Manual. A copy of the District Independent Assurance Inspectors Report Field Evaluation (ITD-857) will be sent to the STQC. The STQC will maintain a file containing those incidents.

If an incident of neglect is found to be significant in nature, the STQC will issue a letter requiring a corrective action plan be developed by the laboratory to help avoid further incidents. The STQC will send out a notice to all the District IAIs of the issue. This notification is intended to help make the IAIs aware of particular problems being encountered.

Cases of repeated incidents of neglect or multiple incidences of the same type of neglect may be determined as habitual in nature, raising the current incident to the abuse category.

270.02.01.02 Process for Abuse. The STQC will determine the merits of the complaint and also the severity level of the abuse. Abuse will be identified as one of two different levels of severity.

The first level of abuse is the least severe. This level would typically be identified as intentional deviations from approved procedures with no evidence of intent to misrepresent the quality of material being incorporated in the project. This level of abuse could result in up to a 180-day disqualification. The exact duration of the disqualification will be set by the STQC depending on the circumstances encountered. A second incident of this level of abuse within a three-year period would result in a minimum one-year disqualification.

The second level of abuse is much more severe and is identified by intentional deviations from approved procedures with the intent to misrepresent the quality of material being tested. This level of abuse will be dealt with by a minimum of one-year disqualification and up to a permanent disqualification. A second instance of this level of abuse will result in permanent disqualification of the laboratory.

270.02.01.03 Process of Appeal. After receiving notification of disqualification, the laboratory will be given an opportunity to appeal in writing within 15 working days of the date of the decision letter. Such an appeal must state the factual basis for the appeal and the reasons the appellant believes the decision was in error. Written appeals shall be directed to the ITD Division of Engineering Products & Plans Administrator.

A copy of the notice of appeal will be delivered to the STQC Chairman upon receipt. Within 15 days of the receipt of the notice of appeal, the STQC Chairman or his/her designee will file a reply to the appeal to the Division of Engineering Products & Plans Administrator.

A decision will be sent within 45 days of the receipt of the notice of appeal. The decision of the Division of Engineering Products & Plans Administrator will be final.

SECTION 280.00 ACCESS

Laboratory facilities, equipment calibration, standardization, check records, and test data applicable to Department projects and the laboratory Quality Management System documents will be accessible to Department personnel at all times. Failure to produce records may constitute disqualification.

SECTION 290.00 – APPENDIX CONTENT

Appendix A: The forms and references found in Appendix A are as follows:

Table A-1: **Test Methods & Equipment.**

This table lists test methods covered under the program and lists the equipment associated with each test method. Equipment that requires calibration, standardization, or check under this program is shown in bold.

The table has a column to indicate the required qualification for Sampler and Tester personnel.

Table A-2: Equipment, Calibration, Standardization, or Check Procedures & Frequency.

This table lists the equipment requiring calibration, standardization, or check; the required calibration, standardization, and check procedure, and the required calibration, standardization, and check frequency.

Table A-3: Procedure Checklist AASHTO R-18 Quality Systems Manual.

This table lists the requirements outlined in AASHTO R-18 for the Quality Systems Manual.

Table A-4: Forms. This table lists the Forms used in Section 200.

Appendix B: The forms and references found in Appendix B are as follows:

Table B-1: **Calibration, Standardization, and Check Procedures & Worksheets.**

This table listed the calibration, standardization and check procedures the associated sample worksheets.

The laboratory is required to use the calibration, standardization, and check procedures shown for the equipment but the actual worksheet is optional as long as the same information is documented when performing the calibration, standardization, and check procedures.