

Geotechnical Services ISO Team Charter

The Geotechnical Services (GS) ISO Team has been chartered to create and implement a quality management system (QMS) and supporting QMSs for GS which follows the ISO 9001:2015 Standard, and aligns with the Structure Policy Board's Strategic QMS (Strategic QMS) and Structures Policy Directive (SPD) 1-4. The GS-QMS (Quality Manual) will establish how the Geotechnical Design Offices, the Office of Geotechnical Design Policies and Procedures (OGDP&P) and the Office of Geotechnical Support (OGS) will function independently and as a whole and will continually improve established processes as new needs are identified. The supporting GS QMS manuals (e.g. a quasi-QMS, Quality Management Plan, Quality Manual, Policies & Procedures manual, etc.) are specific to each unique GS function at the Office and/or Branch level.

BACKGROUND

The 2014 California Bridges & Structures Strategic Direction (CB&SSD) was created to provide Californians with bridges and structures that are safe, well built and maintained in compliance with all laws and statutes and in a manner that enhances sustainability and quality in California. The plan states that, "Through an integrated management approach, Caltrans and its partners can more effectively address California's bridge and structure needs to best serve the travelling public."

In the CB&SSD, Objective # 6 - *Assure Quality* requires that Caltrans "Improve, standardize and align quality management for all stakeholders and ensure consistent application of quality standards."

Soon after, the Structure Policy Board (SPB) issued Structure Policy Directive (SPD) 1-4 establishing the expectation and framework for the Quality Management System (QMS) to be used to manage bridge and transportation structure quality in California. SPD 1-4 established the International Organization for Standardization (ISO) 9001 – Quality Management System Requirements as the standard to be used in this effort.

SPD 1-4 identifies SPB responsibilities as:

- Development and adoption of a plan and timeline for the establishment and execution of the QMSs for bridges and transportation structures
- Development and implementation of a Strategic QMS conforming to ISO 9001
- Publishing Quarterly Reports on progress towards the goal of full implementation by 2020 and progress on strategic Key Performance Indicators (KPIs)

In choosing ISO 9001, the Structures Policy Board has decided to implement an internationally-recognized management system which provides for more efficient working practices and focuses on business objectives, while providing a system that continually improves and builds upon itself.

Using the Strategic QMS as a guide, Geotechnical Services will:

- Adopt the guidelines established by the Strategic QMS
- Develop and implement a Geotechnical Services QMS conforming to ISO 9001
- Regularly communicate progress on KPIs to Geotechnical Services' top management

ISO TEAM OBJECTIVES

The Geotechnical Services ISO Team will create the GS-QMS Quality Manual (and supporting QMSs) per Strategic QMS (dated May 2, 2016) and the SPB QMS Implementation Plan (dated June 1, 2015), with a final implementation deadline date of June 30, 2018.

The objectives for the GS ISO Teams are as follows:

The Geotechnical Design (GD) ISO Team:

- Develop an operational GS-QMS Quality Manual using the QMS Template and QMS Guidance provided by SPB
- Create and implement GD supporting QMS manual for Bridge and Roadway designs
 - Create a GD Office quality policy, objectives and KPIs
 - Conform GD Bridge and Roadway processes and guidance to the ISO Standard
 - Update/create Geotechnical Manual (GM) manual/modules as needed

The Office of Geotechnical Design Policies & Procedures (OGDP&P) ISO Team:

- Assist in the development of the GS-QMS Quality Manual
- Create and implement an OGDP&P QMS manual(s)
 - Create a OGDP&P Office quality policy, objectives and KPIs
 - Conform OGDP&P processes & guidance to the ISO Standard
 - Update/create OGDP&P practices and procedures manuals and technical manuals as needed

The Office of Geotechnical Support (OGS) ISO Team:

- Assist in the development of the GS-QMS Quality Manual
- Create and implement OGS QMS manual(s)
 - Create a OGS Office and Branch quality policies, objectives and KPIs
 - Conform OGS processes and guidance to the ISO Standard
 - Update/create Practices & Procedure manuals for each unique OGS branch

Charter Deliverables: See Attachment A for ISO Team Charter Deliverables

PROJECT SPONSORS

- Roberto LaCalle – (Acting) Deputy Division Chief – METS/GS
- Mark De Salvatore, Office Chief – OGDP&P

PROJECT SUPPORT

- GS Office Chiefs

GEOTECHNICAL SERVICES ISO TEAM MEMBERS

- Chris Riden - OGDW
- David Jang - OGDS
- Shawn Wei – OGDN
- Erich Neupert – OGDP&P
- Hector Valencia – OGDP&P
- Tom Song – FT&I
- Craig Hannenian – OGDP&P
- Gem Yue-Ma – OGDP&P

ISO TEAM SUPPORT

- Susanna Aaltonen – OGDP&P

ROLES & RESPONSIBILITIES

Project Sponsors

- Provide overall project leadership
- Ensure the deliverables meet the SPB's needs for implementation in accordance with SPD 1-4
- Champion the final products
- Take ownership of the overall GS QMS once developed
- Take responsibility for responding to progress reports

Project Support

- Provide overall project support
- Champion the final products
- Take ownership of the overall GS QMS once developed
- Take responsibility for responding to progress reports

Project Team Members

- Create a Geotechnical Services QMS Quality Manual (GS QMS) by June 30, 2018 that includes:
 - Identifying the appropriate processes within the Geotechnical Services Offices' that must be analyzed
 - Creating a QMS Quality Manual and QMSs that incorporates the Geotechnical Services processes and conforms to ISO 9001:2015
- Provide final review and approval of deliverables (see Attachment A)
- Provide input into key issues
- Propose additional team members, as needed
- Engage Geotechnical Services' staff in the manual process, as needed
- Update and receive feedback from Geotechnical Services' Office staff regarding the manual process and contents
- Identify internal/external key stakeholders, as applicable, and obtain their input
- Implement Gap Analysis to identify products and service areas that lack documented processes for management of activities
- Identify how processes for cross-functional consistency review of standards and guidance will be integrated or referenced within the manual
- Identify risks and alternatives to mitigate them
- Identify industry trends and best practices that could be adopted
- Educate staff on the final product

ISO Team Support

- Assist in the creation of the GS QMS Quality Manual and GS QMSs
- Provide progress reports to the Project Sponsors (and Project Support, as needed)

GOVERNANCE STRUCTURE

The Geotechnical Services ISO Team will make decisions by consensus of the members. Consensus is defined as a decision that you can live with and support outside of the group. If the group cannot come to consensus on a particular issue, they may elevate it to the Project Sponsors for resolution.

GS ISO TEAM MEMBER SIGNATURES

Chris Risten - Office of Geotechnical Design-West

David Jang - Office of Geotechnical Design-South

Shawn Wei - Office of Geotechnical Design-North

Erich Neupert – Office of Geotechnical Design Policies & Practices (OGDP&P)

Hector Valancia – Office of Geotechnical Design Policies & Practices (OGDP&P)

Tom Song – Foundation Testing & Instrumentation (FT&I)

Craig Hannenian - Office of Geotechnical Design Policies & Practices (OGDP&P)

Gem Yue-Ma – Office of Geotechnical Design Policies & Practices (OGDP&P)

Susanna Aaltonen – Office of Geotechnical Design Policies & Practices (OGDP&P)

PROJECT SPONSOR SIGNATURES

Roberto LaCalle, METS/GS Deputy Division Chief (Acting)

Mark De Salvatore, Office of Geotechnical Design Policies & Practices (OGDP&P),
Office Chief

Attachment: Appendix A – Geotechnical Services ISO Team Deliverables

Cc: Project Support members

ATTACHMENT A
Geotechnical Services ISO Team Charter Deliverables

GS ISO Team Charter Deliverables are as follows:

OGD ISO Team Deliverables		Due Date (Tentative)	Status
1	Team Charter, Deliverables & Timeline	6/30/16	In-progress
2	GS Design Quality Policy, Objectives & KPIs	9/25/15	Complete
3	Customer Survey Summary	9/14/15	Complete
4	Updated QMP within Geotechnical Manual	12/31/16	In-progress
5	Updated "Bridges" design P&P manuals	6/30/17	In-progress
6	Updated "Roadway" design P&P manuals	3/31/18	Future
7	ISO Procedures (Document Control, etc.)	4/1/18	Future
8	Gap Analysis Summary	5/1/18	Future
9	GS QMS Implementation Training Plan	5/1/18	Future
10	Finalized GS-QMS (Quality Manual)	6/30/18	Future

OGDP&P Team Deliverables		Due Date (Tentative)	Status
1	Create Team Charter, Deliverables & Timeline	9/30/16	Future
2	Create OGD&P Quality Policy, Objectives & KPIs	10/28/16	Future
3	Create Structure Foundation Design P&P manuals	6/30/18	In-progress
4	Create Roadway Geotechnical Design P&P manuals	6/30/18	Future
5	Create OGD&P P&P manuals	6/30/18	Future

OGS Team Deliverables		Due Date (Tentative)	Status
1	Create Team Charter, Deliverables & Timeline	8/31/16	In-progress
2	Create OGS Quality Policy, Objectives & KPIs	9/30/16	Future
3	Customer Survey Summary	8/31/16	In-progress
4	Updated QMPs within Geotechnical Manual	12/15/16	Future
5	Update / Create Branch Processes/Procedures Manuals		
5.1	• Foundation Testing and Instrumentation P&P Manual	6/30/17	In-progress
5.2	• Geophysics and Geology P&P Manual	6/30/17	In-progress
5.3	• Geotechnical Lab, and Engineering Graphic P&P Manuals	6/30/17	In-progress
5.4	• Drilling Services P&P Manual	6/17/18	In-progress
6	Finalize OGS - QMS	7/31/17	Future

ATTACHMENT A
Geotechnical Services ISO Team Charter Deliverables

ISO Team Support Deliverables		Due Date (Tentative)	Status
1	Quarterly progress reports (to Sponsor(s))	Ongoing	Current
2	Final Progress Report (to Sponsors)	5/31/18	Future
3	Confirmation of Sponsor Buy-off on Final GS-QMS	5/31/18	Future

DRAFT