To: Regional Engineers
From: Jack A. Elston
Subject: Special Provision for Pay for Performance
Using Percent Within Limits – Jobsite Sampling
Date: April 20, 2018

This special provision was developed by the Bureau of Materials and Physical Research to provide a method of constructing hot-mix asphalt pavements utilizing pay adjustments based on percent within limits statistical calculations. This special provision has been revised to clarify the pay adjustments for unconfined edge densities will not be applied to joints sealed with longitudinal joint sealant (LJS).

This special provision should be inserted into interstate, freeway and expressway resurfacing and full-depth projects having a minimum quantity of 8000 tons (7260 metric tons) per mix. Pay for performance may be considered for smaller projects where a more accurate measure of quality is desired. This special provision should not be used on:

1. Leveling binder
2. Incidental surfacing (e.g. driveways, entrances, minor sideroads)
3. Temporary pavements
4. Shoulders unless they are used as auxiliary lanes
5. Patching
6. Applications where the mixture thickness is less than 3 times the nominal maximum aggregate size.

The districts should include the BDE Check Sheet marked with the applicable special provisions for the August 3, 2018 and subsequent lettings. The Project Coordination and Implementation Section will include a copy in the contract.

This special provision will be available on the transfer directory April 20, 2018.

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Description. This special provision describes the procedures for production, placement and payment for hot-mix asphalt (HMA) under the pay for performance (PFP) program. This special provision shall apply to the HMA mixtures specified in the plans. This work shall be according to the Standard Specifications except as modified herein.

Delete Articles:
- 406.06(b)(1), 2nd paragraph (Temperature requirements)
- 406.06(e), 3rd paragraph (Paver speed requirements)
- 406.07(b) (Rolling)
- 406.07(c) (Density)
- 1030.04, last two sentences of first paragraph (Mix design verification)
- 1030.05(a)(4, 5, 7, 8, 9, & 10) (QC/QA Documents)
- 1030.05(d)(2)a. (Plant Tests)
- 1030.05(d)(2)b. (Dust-to-Asphalt and Moisture Content)
- 1030.05(d)(2)d. (Small Tonnage)
- 1030.05(d)(2)f. (HMA Sampling)
- 1030.05(d)(3) (Required Field Tests)
- 1030.05(d)(4) (Control Limits)
- 1030.05(d)(5) (Control Charts)
- 1030.05(d)(6) (Corrective Action for Required Plant Tests)
- 1030.05(d)(7) (Corrective Action for Field Tests (Density))
- 1030.05(e) (Quality Assurance by the Engineer)
- 1030.05(f) (Acceptance by the Engineer)
- 1030.06(a), 2nd paragraph (Before start-up…)

Definitions.

(a) Quality Control (QC): All production and construction activities by the Contractor required to achieve the required level of quality.

(b) Quality Assurance (QA): All monitoring and testing activities by the Engineer required to assess product quality, level of payment, and acceptability of the product.

(c) Percent Within Limits (PWL): The percentage of material within the quality limits for a given quality characteristic.

(d) Quality Characteristic: The characteristics that are evaluated by the Department for payment using PWL. The quality characteristics for this project are field voids in the mineral aggregate (Field VMA), voids, and density. Field VMA will be calculated using the combined aggregates bulk specific gravity (Gsb) from the mix design.
(e) Quality Level Analysis (QLA): QLA is a statistical procedure for estimating the amount of product within specification limits.

(f) Mixture Sublot: A mixture sublot for Field VMA and voids shall be a maximum of 1000 tons (910 metric tons). If the quantity is less than 8000 tons (7260 metric tons), the sublot size will be adjusted to achieve a minimum of 8 tests.

1. If the remaining quantity is greater than 200 tons (180 metric tons) but less than 1000 tons (910 metric tons), the last mixture sublot will be that quantity.

2. If the remaining quantity is 200 tons (180 metric tons) or less, the quantity shall be combined with the previous mixture sublot.

(g) Density Interval: Density intervals shall be every 0.2 miles (320 m) for lift thicknesses of 3 in. (75 mm) or less and 0.1 miles (160 m) for lift thicknesses greater than 3 in. (75 mm). If a density interval is less than 200 ft (60 m), it will be combined with the previous density interval.

(h) Lot: A lot consists of ten mixture sublots or 30 density intervals. If seven or less mixture sublots or 19 or less density intervals remain at the end of production of a mixture, the test results for these sublots will be combined with the previous lot for evaluation of percent within limits and pay factors.

Lots for mixture testing are independent of lots for density testing.

(i) Density Test: A density test shall consist of a core taken at a random location within each density interval.

When establishing the target density, the HMA maximum theoretical gravity (G_{mm}) shall be based on the running average of four Department test results including the current day of production. Initial G_{mm} shall be based on the average of the first four test results.

(j) Unconfined Edge Density: The unconfined edge density shall be randomly selected within each 1/2 mile (800 m) section for each unconfined edge.

Pre-Production Meeting. The Engineer will schedule a pre-production meeting prior to the start of production. The HMA QC Plan, test frequencies, and responsibilities of all parties involved in testing and determining the PWL will be addressed. The Engineer will provide the random locations and tonnages in a sealed envelope for the Contractor to sign at the pre-production meeting or prior to paving. The random locations and tonnages may be adjusted due to field conditions according to the Department’s Manual of Test Procedures for Materials “PFP and QCP Hot-Mix Asphalt Random Jobsite Sampling” and “PFP and QCP Random Density Procedure”. The signed sealed envelope will be given to the Contractor after paving is complete along with documentation of any adjustments. Personnel attending the meetings may include the following:

(a) Resident Engineer
(b) District Mixture Control Representative

(c) QC Manager

(d) Contractor Paving Superintendent

(e) Any consultant involved in any part of the HMA sampling or testing on this project

**Quality Control (QC) by the Contractor.** The Contractor’s QC plan shall include the schedule of testing for both quality characteristics and non-quality characteristics required to control the product such as asphalt binder content and mixture gradation. The schedule shall include sample location. The minimum test frequency shall be according to the following table.

<table>
<thead>
<tr>
<th>Quality Characteristic</th>
<th>Minimum Test Frequency</th>
<th>Sampling Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mixture Gradation</td>
<td>1/day</td>
<td>per QC Plan</td>
</tr>
<tr>
<td>Binder Content</td>
<td></td>
<td></td>
</tr>
<tr>
<td>( G_{mm} )</td>
<td></td>
<td></td>
</tr>
<tr>
<td>( G_{mb} )</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Density</td>
<td>per QC plan</td>
<td>per QC Plan</td>
</tr>
</tbody>
</table>

The Contractor shall submit QC test results to the Engineer within 48 hours of the time of sampling.

**Initial Production Testing.** The Contractor shall split and test the first two samples with the Department for comparison purposes. The Contractor shall complete all tests and report all results to the Engineer within two working days of sampling. The Engineer will make Department test results of the initial production testing available to the Contractor within two working days from the receipt of the samples.

**Quality Assurance (QA) by the Engineer.** The Department’s laboratories which conduct PFP testing will participate in the AASHTO re:source’s (formerly AMRL) Proficiency Sample Program. The Engineer will test each mixture sublot for Field VMA, voids, and dust/AC ratio; and each density interval for density to determine payment for each lot. A sublot shall begin once an acceptable test-strip has been completed and the AJMF has been determined. All Department testing will be performed in a qualified laboratory by personnel who have successfully completed the Department HMA Level I training.

(a) Voids, Field VMA, and Dust/AC Ratio. For each sublot, the Engineer will determine the random tonnage for the sample and the Contractor shall be responsible for obtaining the sample according to the Department’s Manual of Test Procedures for Materials “PFP and QCP Hot-Mix Asphalt Random Jobsite Sampling Procedure”. The Engineer will not disclose the random location of the sample until after the truck containing the random tonnage has been loaded and en-route to the project.
(b) Density. The Engineer will not disclose the random location of the sample until after the final rolling.

The Contractor shall cut the 4 in. (100 mm) diameter cores within the same day and prior to opening to traffic unless otherwise approved by the Engineer. All core holes shall be filled immediately upon completion of coring. All water shall be removed from the core holes prior to filling. All core holes shall be filled with a rapid hardening mortar or concrete which shall be mixed in a separate container prior to placement in the hole. Any depressions in the surface of the filled core holes greater than 1/4 in. (6 mm) at the time of final inspection will require removal of the fill material to the depth of the lift thickness and replacement.

The Engineer will witness and secure all mixture and density samples. The Contractor shall transport the secured sample to a location designated by the Engineer.

Test Results. The Department’s test results for the first mixture sublot and density interval, of every lot will be available to the Contractor within three working days from the receipt of secured samples. Test results for remaining sublots will be available to the Contractor within ten working days from receipt of the secured sample that was delivered to the Department’s testing facility or a location designated by the Engineer.

The Engineer will maintain a complete record of all Department test results. Copies will be furnished upon request. The records will contain, at a minimum, the originals of all Department test results and raw data, random numbers used and resulting calculations for sampling locations, and quality level analysis calculations.

Dispute Resolution. Dispute resolution testing will only be permitted when the Contractor submits their split sample test results prior to receiving Department split sample test results and meets the requirements listed in the Department’s Manual of Test Procedures for Materials “Pay for Performance Dispute Resolution”. If dispute resolution is necessary, the Contractor shall submit a request in writing within four working days of receipt of the results of the quality index analysis for the lot. The Engineer will document receipt of the request. The request shall specify Method 1 (pay parameter dispute) or Method 2 (individual parameter dispute) as defined in the Department’s Manual of Test Procedures for Materials “Pay for Performance Dispute Resolution”. The Central Bureau of Materials laboratory will be used for dispute resolution testing.

Acceptance by the Engineer. All of the Department’s tests shall be within the acceptable limits listed below:

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Acceptable Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Field VMA</td>
<td>$-1.0 \text{ – } +3.0 %$ $^{1/}$</td>
</tr>
<tr>
<td>Voids</td>
<td>2.0 – 6.0 %</td>
</tr>
</tbody>
</table>

$^{1/}$
Density:
IL-19.0, IL-9.5 90.0 – 98.0 %
SMA 92.0 – 98.0 %

Dust / AC Ratio 0.4 – 1.6

1/ Based on minimum required Field VMA from mix design
2/ Does not apply to SMA

In addition, the PWL for any quality characteristic shall be 50 percent or above for any lot. No visible pavement distress shall be present such as, but not limited to, segregation, excessive coarse aggregate fracturing or flushing.

Basis of Payment. Payment will be based on the calculation of the composite pay factor for each mixture according to the Department’s Manual of Test Procedure for Materials “PFP Quality Level Analysis” document. Payment for full depth pavement will be based on the calculation of the Full Depth Pay Factor according to the “PFP Quality Level Analysis” document.

Additional Pay Adjustments. In addition to the composite pay factor for each mix, monetary deductions will be made for dust/AC ratios and unconfined edge densities as shown in Tables 3 and 4 as follows.

### Table 3

<table>
<thead>
<tr>
<th>Range</th>
<th>Deduct / sublot</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.6 ≤ X ≤ 1.2</td>
<td>$0</td>
</tr>
<tr>
<td>0.5 ≤ X &lt; 0.6 or 1.2 &lt; X ≤ 1.4</td>
<td>$1000</td>
</tr>
<tr>
<td>0.4 ≤ X &lt; 0.5 or 1.4 &lt; X ≤ 1.6</td>
<td>$3000</td>
</tr>
<tr>
<td>X &lt; 0.4 or X &gt; 1.6</td>
<td>Shall be removed and replaced</td>
</tr>
</tbody>
</table>

1/ Does not apply to SMA.

### Table 4

<table>
<thead>
<tr>
<th>Density</th>
<th>Deduct / 0.5 mile (800 m)</th>
</tr>
</thead>
<tbody>
<tr>
<td>≥ 90%</td>
<td>$0</td>
</tr>
<tr>
<td>89.0% to 89.9%</td>
<td>$1000</td>
</tr>
<tr>
<td>88.0% to 88.9%</td>
<td>$3000</td>
</tr>
<tr>
<td>&lt; 88.0%</td>
<td>Outer 1.0 ft (300 mm) will require remedial action acceptable to the Engineer</td>
</tr>
</tbody>
</table>
1/ When a longitudinal joint sealant (LJS) is applied, the additional pay adjustments for unconfined edge density will not apply to the joint(s) sealed.