Section 39 QC/QA STG Meeting

Group Memory

May 27, 2015

39-4 QUALITY CONTROL/QUALITY ASSURANCE CONSTRUCTION PROCESS

39-4.01 GENERAL

Section 39-4 includes specifications for HMA produced and constructed under the Quality Control / Quality Assurance construction process.

The QC/QA construction process consists of:

1. Establishing, maintaining, and changing if needed a quality control system providing assurance the HMA complies with the specifications
2. Sampling and testing at specified intervals, or sublots, to demonstrate compliance and to control the process
3. Department sampling and testing at specified intervals to verify the testing process and HMA quality
4. Engineer using test results, statistical evaluation of verified quality control tests, and inspection to accept HMA for payment

A lot is a quantity of HMA. The Engineer designates a new lot when:

1. 20 sublots are complete
2. JMF changes
3. Production stops for more than 30 days

(Feb 25, 2015) Industry comment: Should we revise this requirement?
(Feb 28, 2015) CT comment: If you stop production for longer than 30 days, a production start-up evaluation is required.

(March 17, 2015) CT/Industry comment: change “30” to “45”. Waiting to be changed in QC/QA specs.

(April 17, 2015) CT) Industry concerned with the amount of aggregate testing and requirement for Tensile strength and HWT needed in start-up evaluation.

Can we combine mix verification and start-up evaluation under JMF mix verification under certain conditions? Kee will look at what test the contractor needs to run in the start-up evaluation and report back by next meeting. If changes are made they will be reflected in Section 39 committee work.

(May 27, 2015) CT: Plan/Submit JMF verification to be completed within X days from first day of paving. A high volume of JMF verification during the summer – aggravate testing turn-around time and increased claims.

(May 27, 2015) CT: If production start-up evaluation is not required, the opportunity to compare Contractor/Engineer test results on split sample is lost (and resolve any testing issues beginning of the projects).

(May 27, 2015) IN: If JMF verification and production start-up verification is within 30 days the RE may waive production start-up evaluation(s).

Each lot consists of no more than 20 sublots. A sublot is 750 tons, except a quantity of HMA paved at day's end greater than 250 tons is a sublot. If a quantity of HMA paved at day's end is less than 250 tons, you may either make this quantity a sublot or include it in the previous sublot's test results for statistical evaluation.

39-4.02 CONTRACTOR QUALITY CONTROL

39-4.02A General

Use a composite quality factor, QF_C, and individual quality factors, QF_{QCi}, to control your process and evaluate the quality control program. For quality characteristics without quality factors, use your QC plan's action limits to control your process.

Control HMA quality including:

1. Materials
2. Proportioning
3. Spreading and compacting
4. Finished roadway surface (what does this entail can we regulate?)

Develop, implement, and maintain a quality control program that includes:

1. Inspection (should this say plant and field inspection?)
2. Sampling
3. Testing

39-4.02B Quality Control Plan

With the JMF submittal, submit a QC plan. The QC plan must comply with the Department's *Quality Control Manual for Hot Mix Asphalt Production and Placement*. Discuss the QC plan with the Engineer during the prepaving conference.

The Engineer reviews each QC plan within 5 business days from the submittal. Do not produce HMA until the Engineer authorizes the QC plan.

The QC plan must include the name and qualifications of a QC manager. The QC manager administers the QC plan and during paving must be at the job site within 3 hours of receiving notice. The QC manager must not be any of the following on the project:

(Feb 25, 2015) Industry comment: Can we have a QC Manager have a designated assistant? Let's look at having two sets of requirements for "standard" and QC/QA.

(Feb 28, 2015) CT comment: Is designated qualified and authorized to perform QC Manager's functions as described in the QC/QA manual?

(March 17, 2015) CT/Industry comment: List alternate in the QC Plan. Alternate must "qualified and authorized to perform QC Manager's functions as described in the QC/QA manual".

~~(March 17, 2015) Industry comment: One guy on the field one guy in the plant for projects greater than 2000 tons. Must follows new (to be created) current section 39's QC manual.~~

~~(April17, 2015) This is for the Section 39 committee.~~

1. Foreman
2. Production or paving crewmember
3. Inspector
4. Tester

The QC plan must include action limits and details of corrective action you will take if a test result for any quality characteristic falls outside an action limit.

As work progresses, you must submit a QC plan supplement to change quality control procedures, personnel, tester qualification status, or laboratory accreditation status.

39-4.02C Quality Control Inspection, Sampling, and Testing

Sample, test, inspect, and manage HMA quality control.

Provide a roadway inspector while HMA paving activities are in progress. Provide a plant inspector during HMA production.

Inspectors must comply with the Department's *Quality Control Manual for Hot Mix Asphalt Production and Placement*.

Provide a testing laboratory and personnel for quality control testing. Provide the Engineer unrestricted access to the quality control activities. Before providing services for the project, the Engineer reviews, accredits, and qualifies the testing laboratory and personnel under the Department's Independent Assurance Program.

For HMA at production start-up and every 5,000 tons, sample and test under California Test 371 (AASHTO T 283) Submit the test results to the Engineer and to:

Moisture_Tests@dot.ca.gov

The Department does not use results from California Test 371 to determine specification compliance.

(Feb 25, 2015) Industry comment: Should this be removed?

(Feb 28, 2015) CT comment: Yes. Modify to AASHTO T 283 for spec compliance.

(Feb 28, 2015) CT comment: Test frequency for Hamburg and moisture should be every 10,000 tons

(Feb 25, 2015) Industry comment: We need to review 283 data to determine the need for continued use of CT 371.

(Feb 28, 2015) CT comment: Audrie is tracking all Superpave projects. We can look at those available test results.

(March 17, 2015): Industry/CT comment: Continue to monitor Hamburg and T 283. Continue to collect enough data/info to make a decision.

(April 17, 2015) Venkata will look at TSR and HWT data to see if there is a need for continued requirement for AASHTO T 283. Will try to report back by next meeting.

(May 27, 2015) CT: Don't have sufficient data/information to make a recommendation. Compare Hamburg versus TSR. All passed except one test where Hamburg passed and TSR failed (wet strength). Need to look at production data to verify the findings of the verification data.

For HMA at production start-up and once during production, submit samples split from your HMA production sample for California Test 371 (AASHTO T 283) to the Engineer and the Transportation Laboratory, Attention: Moisture Test. Comply with the values for the HMA quality characteristics and minimum random sampling and testing for quality control shown in the following table:

(Feb 25, 2015) Industry comment: Replace table with superpave Section 39 and modify as necessary.

(April 17, 2015) Tony will insert current Section 39 Table for Type A and RHMA into this document

(April 20, 2015) See attached testing tables for Method Standard and QC/QA process

(May 27, 2015) IN: Purpose of reviewing tables is to evaluate Superpave versus Hveem requirements.

(May 27, 2015) IN: Industry will confirm PWL specification are valid for lopsided specifications (binder content).

Within the specified reporting time, submit test results including:

1. Sampling location, quantity, and time
2. Testing results
3. Supporting data and calculations

If test results for any quality characteristic are beyond the action limits in the QC plan, take corrective actions. Document the corrective actions taken in the inspection records under section 39-4.02E.

Stop production, notify the Engineer, take corrective action, and demonstrate compliance with the specifications before resuming production and placement if:

(Feb 25, 2015 Industry comment: May require hot drop or production start-up. Is this problematic?

(Feb 28, 2015) CT comment: What is the purpose of continuing production when materials are clearly failing?.

(March 17, 2015) Action Item: Al Ochoa and Tim Denlay to propose alternative language.

(April 17, 2015) Industry proposal: Allow 750 tons of production or hot drop to demonstrate compliance.

(April 17, 2015) Kee will consider proposal and get back to industry by next meeting.

(May 27, 2015) CT: "Stop production, notify the Engineer, take corrective action, and demonstrate compliance with the specifications before resuming production and placement." will remain in the specs.

Provide a second option for the Engineer to choose.

> Engineer review documented corrective actions, Engineer determine the corrective actions are "reasonable" move to production start-up evaluation. If production start-up evaluation fails, materials is removed.

~~(May 27, 2015) IN: Proposed by industry – The Engineer reviews the documented corrective actions. The Engineer determines if the corrective actions are reasonable. The Engineer determines if the contractor moves to production start-up or resume normal production. If production fails the engineer evaluates the material and determines acceptance which may result in removal. (wordsmith?)~~

(May 27, 2015) IN: Engineer review documented corrective actions, Engineer determine the corrective actions are "reasonable" move to production start-up evaluation or resume normal production. If production start-up evaluation fails, materials is subject to removal.

1. A lot's composite quality factor, QF_C, or an individual quality factor, QF_{QCi} for i = 3, 4, or 5, is below 0.90 determined under section 39-4.02F using quality control data

2. An individual quality factor, QF_{QCi} for i = 1 or 2, is below 0.75 using quality control data
3. Quality characteristics for which a quality factor, QF_{QCi}, is not determined has 2 consecutive quality control tests not in compliance with the specifications

39-4.02D Charts and Records

Record sampling and testing results for quality control on forms provided in the *Quality Control Manual for Hot Mix Asphalt Production and Placement*, or on forms you submit with the QC plan. The QC plan must also include posting locations and submittal times for forms.

Submit quality control test results using the Department's statistical evaluation program, HMAPay. For HMAPay, go to the Department's Construction Web site.

(Feb 25, 2015) Industry comment: For ease of use and consistency consider specifying specific software to be provided by the contractor for use by Caltrans and Contractor. This requirement would be similar to the

requirement to provide Primavera P6 software for all CT projects. Primavera is paid for as a lump sum bid item.

(March 17, 2015) Action Item: Tony to provide Primavera software language. (Done!!) Legal problem for CT? key language change from the first and second memo seems to be “or its equivalent”

(April 17, 2015) CT will check to see if they can specify a specific HMA Pay software “or equivalent”. Also, would the contractor be required to provide copy of software to CT?

(May 27, 2015) CT: Have to use “or equivalent”?

(May 27, 2015) IN: Industry will provide QC raw data in the format specified by CT to be used as HMA Pay input.

39-4.02E Records of Inspection and Testing

During HMA production, submit a daily:

1. *HMA Construction Daily Record of Inspection*. Also make this record available at the HMA plant and job site each day.
2. *HMA Inspection and Testing Summary*. Include in the summary:
   - 2.1. QC worksheet with updated test results from the HMAPay program
   - 2.2. Test forms with the testers' signatures and QC manager's initials
   - 2.3. Inspection forms with the inspectors' signatures and QC manager's initials
   - 2.4. List and explanation of deviations from the specifications or regular practices
   - 2.5. Signed statement by the QC manager that says:

     "It is hereby certified that the information contained in this record is accurate, and that information, tests, or calculations documented herein comply with the specifications of the Contract and the standards set forth in the testing procedures. Exceptions to this certification are documented as part of this record."

Retain for inspection the records generated as part of quality control, including inspection, sampling, and testing for at least 3 years after final acceptance.

39-4.02F Statistical Evaluation

39-4.02F(1) General

Determine a lot's composite quality factor, QF_C, and the individual quality factors, QF_{QCi}. Perform statistical evaluation calculations to determine these quality factors based on quality control test results for:

1. Aggregate gradation (action/suspension?)
2. Asphalt binder content
3. Percent of maximum theoretical density

(Feb 25, 2015) Industry comment: Do we want to add any other Quality Characteristics here? IRI Smoothness?
(Feb 25, 2015) Industry comment: Should gradation become an action/suspension limit item and replaced with an air voids pay item?
(Feb 28, 2015) CT comment: CT is looking at keeping #200 (if not then DP)

(April 17, 2015) Industry will discuss gradation requirements and make proposal)

(April 17, 2015) Incentive/Disincentive Smoothness will be discussed in Section 39 STG.

(May 27, 2015) CT: Will provide comments by next Section 39 meeting (June 25th) in SRL

The Engineer grants a waiver and you must use 1.0 as the individual quality factor for percent of maximum theoretical density, QF_{QC5}, for HMA paved in:

1. Areas where the total paved thickness is less than 0.15 foot
2. Areas where the total paved thickness is less than 0.20 foot and 3/4-inch grading is specified and used
3. Dig outs
4. Leveling courses
5. Areas where compaction or compaction measurement by conventional methods is impeded
6. Other areas where method specification for density is required. (IN recommendation on May 27, 2015)

(Feb 25, 2015) Industry comment: possible change language to "areas where method specification for density is required"

(Feb 28, 2015) CT comment: OE opposed "ambiguous" term ie: what are these area?

(April 17, 2015) This issue is complete

39-4.02F(2) Statistical Evaluation Calculations

Use the Variability-Unknown / Standard Deviation Method to determine the percentage of a lot not in compliance with the specifications.

Determine the percentage of work not in compliance with the specification limits for each quality characteristic as follows:

1. Calculate the arithmetic mean ($\overline{X}$) of the test values

$$\overline{X} = \frac{\Sigma x}{n}$$

where:

x = individual test values
n = number of test values

2. Calculate the standard deviation

$$s = \sqrt{\frac{n\,(\Sigma x^2)-(\Sigma x)^2}{n(n-1)}}$$

where:

$\sum(x^2)$ = sum of the squares of individual test values
$(\sum x)^2$ = sum of the individual test values squared
n = number of test values

3. Calculate the upper quality index (Qu)

$$Q_u = \frac{USL - \overline{X}}{s}$$

where:

USL = TV plus the production tolerance or upper specification limit
s = standard deviation
$\overline{X}$ = arithmetic mean

4. Calculate the lower quality index (QL);

$$Q_L = \frac{\overline{X} - LSL}{s}$$

where:

LSL = TV minus production tolerance or lower specification limit
s = standard deviation
$\overline{X}$ = arithmetic mean

5. From the table, Upper Quality Index Q_U or Lower Quality Index Q_L, determine P_U ;

where:

P_U = estimated percentage of work outside the USL
P_U = 0, if USL is not specified

6. From the table, Upper Quality Index Q_U or Lower Quality Index Q_L, determine P_L;

where:

P_L = estimated percentage of work outside the LSL
P_L = 0, if LSL is not specified

7. Calculate the total estimated percentage of work outside the USL and LSL, percent defective

Percent defective = PU + PL

The P_U and P_L are determined from the following:

P_U or P_L	**Upper Quality Index Q_U or Lower Quality Index Q_L**												
	Sample Size (n)												
	5	6	7	8	9	10-11	12-14	15-17	18-22	23-29	30-42	43-66	>66
0	1.72	1.88	1.99	2.07	2.13	2.20	2.28	2.34	2.39	2.44	2.48	2.51	2.56
1	1.64	1.75	1.82	1.88	1.91	1.96	2.01	2.04	2.07	2.09	2.12	2.14	2.16
2	1.58	1.66	1.72	1.75	1.78	1.81	1.84	1.87	1.89	1.91	1.93	1.94	1.95
3	1.52	1.59	1.63	1.66	1.68	1.71	1.73	1.75	1.76	1.78	1.79	1.80	1.81
4	1.47	1.52	1.56	1.58	1.60	1.62	1.64	1.65	1.66	1.67	1.68	1.69	1.70
5	1.42	1.47	1.49	1.51	1.52	1.54	1.55	1.56	1.57	1.58	1.59	1.59	1.60
6	1.38	1.41	1.43	1.45	1.46	1.47	1.48	1.49	1.50	1.50	1.51	1.51	1.52
7	1.33	1.36	1.38	1.39	1.40	1.41	1.41	1.42	1.43	1.43	1.44	1.44	1.44
8	1.29	1.31	1.33	1.33	1.34	1.35	1.35	1.36	1.36	1.37	1.37	1.37	1.38
9	1.25	1.27	1.28	1.28	1.29	1.29	1.30	1.30	1.30	1.31	1.31	1.31	1.31
10	1.21	1.23	1.23	1.24	1.24	1.24	1.25	1.25	1.25	1.25	1.25	1.26	1.26
11	1.18	1.18	1.19	1.19	1.19	1.19	1.20	1.20	1.20	1.20	1.20	1.20	1.20
12	1.14	1.14	1.15	1.15	1.15	1.15	1.15	1.15	1.15	1.15	1.15	1.15	1.15
13	1.10	1.10	1.10	1.10	1.10	1.10	1.11	1.11	1.11	1.11	1.11	1.11	1.11
14	1.07	1.07	1.07	1.06	1.06	1.06	1.06	1.06	1.06	1.06	1.06	1.06	1.06
15	1.03	1.03	1.03	1.03	1.02	1.02	1.02	1.02	1.02	1.02	1.02	1.02	1.02
16	1.00	0.99	0.99	0.99	0.99	0.98	0.98	0.98	0.98	0.98	0.98	0.98	0.98
17	0.97	0.96	0.95	0.95	0.95	0.95	0.94	0.94	0.94	0.94	0.94	0.94	0.94
18	0.93	0.92	0.92	0.92	0.91	0.91	0.91	0.91	0.90	0.90	0.90	0.90	0.90
19	0.90	0.89	0.88	0.88	0.88	0.87	0.87	0.87	0.87	0.87	0.87	0.87	0.87
20	0.87	0.86	0.85	0.85	0.84	0.84	0.84	0.83	0.83	0.83	0.83	0.83	0.83
21	0.84	0.82	0.82	0.81	0.81	0.81	0.80	0.80	0.80	0.80	0.80	0.80	0.79
22	0.81	0.79	0.79	0.78	0.78	0.77	0.77	0.77	0.76	0.76	0.76	0.76	0.76
23	0.77	0.76	0.75	0.75	0.74	0.74	0.74	0.73	0.73	0.73	0.73	0.73	0.73
24	0.74	0.73	0.72	0.72	0.71	0.71	0.70	0.70	0.70	0.70	0.70	0.70	0.70
25	0.71	0.70	0.69	0.69	0.68	0.68	0.67	0.67	0.67	0.67	0.67	0.67	0.66
26	0.68	0.67	0.67	0.65	0.65	0.65	0.64	0.64	0.64	0.64	0.64	0.64	0.63
27	0.65	0.64	0.63	0.62	0.62	0.62	0.61	0.61	0.61	0.61	0.61	0.61	0.60
28	0.62	0.61	0.60	0.59	0.59	0.59	0.58	0.58	0.58	0.58	0.58	0.58	0.57
29	0.59	0.58	0.57	0.57	0.56	0.56	0.55	0.55	0.55	0.55	0.55	0.55	0.54
30	0.56	0.55	0.54	0.54	0.53	0.53	0.52	0.52	0.52	0.52	0.52	0.52	0.52
31	0.53	0.52	0.51	0.51	0.50	0.50	0.50	0.49	0.49	0.49	0.49	0.49	0.49
32	0.50	0.49	0.48	0.48	0.48	0.47	0.47	0.47	0.46	0.46	0.46	0.46	0.46
33	0.47	0.48	0.45	0.45	0.45	0.44	0.44	0.44	0.44	0.43	0.43	0.43	0.43
34	0.45	0.43	0.43	0.42	0.42	0.42	0.41	0.41	0.41	0.41	0.41	0.41	0.40
35	0.42	0.40	0.40	0.39	0.39	0.39	0.38	0.38	0.38	0.38	0.38	0.38	0.38
36	0.39	0.38	0.37	0.37	0.36	0.36	0.36	0.36	0.36	0.36	0.36	0.36	0.36
37	0.36	0.35	0.34	0.34	0.34	0.33	0.33	0.33	0.33	0.33	0.33	0.33	0.32
38	0.33	0.32	0.32	0.31	0.31	0.31	0.30	0.30	0.30	0.30	0.30	0.30	0.30
39	0.30	0.30	0.29	0.28	0.28	0.28	0.28	0.28	0.28	0.28	0.28	0.28	0.28
40	0.28	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25
41	0.25	0.23	0.23	0.23	0.23	0.23	0.23	0.23	0.23	0.23	0.23	0.23	0.23
42	0.23	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20
43	0.18	0.18	0.18	0.18	0.18	0.18	0.18	0.18	0.18	0.18	0.18	0.18	0.18
44	0.16	0.15	0.15	0.15	0.15	0.15	0.15	0.15	0.15	0.15	0.15	0.15	0.15
45	0.13	0.13	0.13	0.13	0.13	0.13	0.13	0.13	0.13	0.13	0.13	0.13	0.13
46	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
47	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08	0.08
48	0.05	0.05	0.05	0.05	0.05	0.05	0.05	0.05	0.05	0.05	0.05	0.05	0.05
49	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03
50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

NOTES:

1. If the value of Q_U or Q_L does not correspond to a value in the table, use the next lower value.

2. If Q_U or Q_L are negative values, P_U or P_L is equal to 100 minus the table value for P_U or P_L. (revisit rounding question or increasing maximum pay factor)

39-4.02F(3) Quality Factor Determination

Determine individual quality factors, QF_{QCi}, using percent defective = $P_U + P_L$ and the following:

Quality Factors

Quality factor	Maximum allowable percent defective ($P_U + P_L$)												
	Sample size (n)												
	5	6	7	8	9	10-11	12-14	15-17	18-22	23-29	30-42	43-66	>66
1.05				0	0	0	0	0	0	0	0	0	0
1.04			0	1	3	5	4	4	4	3	3	3	3
1.03		0	2	4	6	8	7	7	6	5	5	4	4
1.02		1	3	6	9	11	10	9	8	7	7	6	6
1.01	0	2	5	8	11	13	12	11	10	9	8	8	7
1.00	22	20	18	17	16	15	14	13	12	11	10	9	8
0.99	24	22	20	19	18	17	16	15	14	13	11	10	9
0.98	26	24	22	21	20	19	18	16	15	14	13	12	10
0.97	28	26	24	23	22	21	19	18	17	16	14	13	12
0.96	30	28	26	25	24	22	21	19	18	17	16	14	13
0.95	32	29	28	26	25	24	22	21	20	18	17	16	14
0.94	33	31	29	28	27	25	24	22	21	20	18	17	15
0.93	35	33	31	29	28	27	25	24	22	21	20	18	16
0.92	37	34	32	31	30	28	27	25	24	22	21	19	18
0.91	38	36	34	32	31	30	28	26	25	24	22	21	19
0.90	39	37	35	34	33	31	29	28	26	25	23	22	20
0.89	41	38	37	35	34	32	31	29	28	26	25	23	21
0.88	42	40	38	36	35	34	32	30	29	27	26	24	22
0.87	43	41	39	38	37	35	33	32	30	29	27	25	23
0.86	45	42	41	39	38	36	34	33	31	30	28	26	24
0.85	46	44	42	40	39	38	36	34	33	31	29	28	25
0.84	47	45	43	42	40	39	37	35	34	32	30	29	27
0.83	49	46	44	43	42	40	38	36	35	33	31	30	28
0.82	50	47	46	44	43	41	39	38	36	34	33	31	29
0.81	51	49	47	45	44	42	41	39	37	36	34	32	30
0.80	52	50	48	46	45	44	42	40	38	37	35	33	31
0.79	54	51	49	48	46	45	43	41	39	38	36	34	32
0.78	55	52	50	49	48	46	44	42	41	39	37	35	33
0.77	56	54	52	50	49	47	45	43	42	40	38	36	34
0.76	57	55	53	51	50	48	46	44	43	41	39	37	35
0.75	58	56	54	52	51	49	47	46	44	42	40	38	36
Reject	60	57	55	53	52	51	48	47	45	43	41	40	37
	61	58	56	55	53	52	50	48	46	44	43	41	38
	62	59	57	56	54	53	51	49	47	45	44	42	39
	63	61	58	57	55	54	52	50	48	47	45	43	40
	64	62	60	58	57	55	53	51	49	48	46	44	41
Reject values greater than those shown above													

NOTE: To obtain a quality factor if the estimated percent outside specification limits from table titled, "Upper Quality Index Q_U or Lower Quality Index Q_L," does not correspond to a value in the table, use the next larger value.

Compute the composite of single quality factors, QF_C, for a lot using:

$$QF_C = \sum_{i=1}^{5} w_i \, QF_{QC_i}$$

where:

QF_C =	the composite quality factor for the lot rounded to 2 decimal places
QF_{QCi} =	the quality factor for the individual quality characteristic
w =	the weighting factor listed in the table titled "HMA Acceptance – QC/QA Construction Process"
i =	the quality characteristic index number in the table titled "HMA Acceptance – QC/QA Construction Process"

39-4.03 QUALITY ASSURANCE

39-4.03A General

The Department assures quality by:

1. Reviewing mix designs and proposed JMF
2. Inspecting procedures
3. Conducting oversight of quality control inspection and records
4. Verification sampling and testing during production and paving

39-4.03B Verification Sampling and Testing

39-4.03B(1) General

The Department samples:

1. Aggregate to verify gradation
2. HMA to verify asphalt binder content

(Feb 25, 2015) Industry comment: May need to add language to address smoothness or other Quality Characteristics

(April 17, 2015) Smoothness will be handled in Section 39 STG.

(April 17, 2015) Group still open to looking at Pay Factor options. No new ones identified to date.

39-4.03B(2) Verification

For aggregate gradation and asphalt binder content, the ratio of verification testing frequency to the minimum quality control testing frequency is 1:5. The Department performs at least 3 verification tests per lot.

Using the t-test, the Engineer compares quality control tests results for aggregate gradation and asphalt binder content with corresponding verification test results. The Engineer uses the average and standard deviation of up to 20 sequential sublots for the comparison. The Engineer uses production start-up evaluation tests to represent the 1st sublot. If there are less than 20 sequential sublots, the Engineer uses the maximum number of sequential sublots available. The 21st sublot becomes the 1st sublot (n = 1) in the next lot.

The t-value for a group of test data is computed as follows:

$$t = \frac{\left|\overline{X_c} - \overline{X_v}\right|}{S_p\sqrt{\frac{1}{n_c} + \frac{1}{n_v}}} \qquad \text{and} \qquad S_p^2 = \frac{S_c^2(n_c - 1) + S_v^2(n_v - 1)}{n_c + n_v - 2}$$

where:

n_c = Number of quality control tests (2 min, 20 max).
n_v = Number of verification tests (min of 1 required).
$\overline{X}_c$ = Mean of quality control tests.
$\overline{X}_v$ = Mean of verification tests.
S_p = Pooled standard deviation (when $n_v = 1$, $S_p = S_c$).
S_c = Standard deviation of quality control tests.
S_v = Standard deviation of verification tests (when $n_v > 1$).

The comparison of quality control test results and the verification test results is at a level of significance of α = 0.025. The Engineer computes t and compares it to the following critical t-values, t_{crit}:

Critical T-Value

Degrees of freedom (n_c+n_v-2)	t_{crit} (for α = 0.025)	Degrees of freedom (n_c+n_v-2)	t_{crit} (for α = 0.025)
1	24.452	18	2.445
2	6.205	19	2.433
3	4.177	20	2.423
4	3.495	21	2.414
5	3.163	22	2.405
6	2.969	23	2.398
7	2.841	24	2.391
8	2.752	25	2.385
9	2.685	26	2.379
10	2.634	27	2.373
11	2.593	28	2.368
12	2.560	29	2.364
13	2.533	30	2.360
14	2.510	40	2.329
15	2.490	60	2.299
16	2.473	120	2.270
17	2.458	∞	2.241

If the t-value computed is less than or equal to t_{crit}, quality control test results are verified.

If the t-value computed is greater than t_{crit} and both $\overline{X}_v$ and $\overline{X}_c$ comply with acceptance specifications, the quality control tests are verified. You may continue to produce and place HMA with the following allowable differences:

1. $\left|\overline{X}_v - \overline{X}_c\right|$ ≤ 1.0 percent for any grading
2. $\left|\overline{X}_v - \overline{X}_c\right|$ ≤ 0.1 percent for asphalt binder content

If the t-value computed is greater than t_{crit} and the $\left|\overline{X}_v - \overline{X}_c\right|$ for grading and asphalt binder content are greater than the allowable differences, quality control test results are not verified and:

1. Engineer notifies you.
2. You and the Engineer must investigate why the difference exists.
3. If the reason for the difference cannot be found and corrected, the Department's test results are used for acceptance and pay.

(Feb 25, 2015) Industry comment: Should we include an option for the contractor to use the Engineers test results and pay factor rather than go into dispute resolution testing?

(April 17, 2015) Kee the t-test is ran on the finished lot.

39-4.04 ACCEPTANCE CRITERIA

39-4.04A Testing

The Engineer samples for acceptance testing and tests for the following quality characteristics:

(Feb 25, 2015) Industry comment: Replace table with superpave Section 39 and modify as necessary

(April 20, 2015) See attached testing tables for Method Standard and QC/QA process

The Department determines the percent of maximum theoretical density from the average density of 3 density cores you take from every 750 tons of production or part thereof divided by the maximum theoretical density.

(Feb 25, 2015) Caltrans comment: Should we combine QC and QA test results?

(Feb 28, 2015) CT comment: FHWA is OK with using both QC and QA test results. FHWA require Engineer to verify QC test results first.

If the specified total paved thickness is at least 0.15 foot and any layer is less than 0.15 foot, the Department determines the percent of maximum theoretical density from density cores taken from the final layer measured the full depth of the total paved HMA thickness.

The Engineer calculates QF_{QCi} for i = 1, 2, 3, and 4 using quality control data and QF_{QCi} for i = 5 using quality assurance data,

The Engineer stops production and terminates a lot if:

1. A lot's composite quality factor, QF_C, or an individual quality factor, QF_{QCi} for i = 3, 4, or 5, is below 0.90 determined under section 39-4.02F
2. An individual quality factor, QF_{QCi} for i = 1 or 2, is below 0.75
3. Quality characteristics for which a quality factor, QF_{QCi}, is not determined has 2 consecutive acceptance or quality control test results not in compliance with the specifications.

(Feb 25, 2015) Industry comment: should we remove the requirement to terminate the lot?

(Feb 28, 2015) CT comment: Need to add “3 tests in one day" condition.

For any single quality characteristic for which a quality factor, QF_{QCi}, is not determined, except smoothness, if 2 consecutive acceptance test results do not comply with specifications:

1. Stop production.
2. Take corrective action.
3. Take samples and split each sample into 4 parts in the Engineer's presence. Test 1 part for compliance with the specifications and submit 3 parts to the Engineer. The Department tests 1 part for compliance with the specifications and reserves and stores 2 parts.
4. Demonstrate compliance with the specifications before resuming production and placement.

(Feb 25, 2015) Industry comment: Is the material subject to rejection or is the penalty the contractor having to stop work. If this occurred on a pay factor quality characteristic would the material be allowed to remain in place? What if this happened on HWT, it is a critical item but does not have a pay factor.

(Feb 28, 2015) Caltrans comment: Caltrans would treat these quality characteristics (where quality factor is not determined) exactly the same way they are treated in the "standard" Superpave Section 39.

39-4.04B Statistical Evaluation, Determination of Quality Factors, and Acceptance

39-4.04B(1) Statistical Evaluation and Determination of Quality Factors

To determine the individual quality factor, QF_{QCi}, for any quality factor i = 1 through 5 or a lot's composite quality factor, QF_C, for acceptance and payment adjustment, the Engineer uses the evaluation specifications under section 39-4.02F and the following:

1. Verified quality control test results for aggregate gradation
2. Verified quality control test results for asphalt binder content
3. Department's test results for percent of maximum theoretical density

39-4.04B(2) Lot Acceptance Based on Quality Factors

The Engineer accepts a lot based on the quality factors determined for aggregate gradation and asphalt binder content, QF_{QCi} for i = 1 through 4, using the total number of verified quality control test result values and the total percent defective ($P_U + P_L$).

The Engineer accepts a lot based on the quality factor determined for maximum theoretical density, QF_{QC5}, using the total number of test result values from cores and the total percent defective ($P_U + P_L$).

The Engineer calculates the quality factor for the lot, QF_C, which is a composite of weighted individual quality factors, QF_{QCi}, determined for each quality characteristic in the HMA Acceptance – QC/QA table in section 39-4.04A.

The Engineer accepts a lot based on quality factors if:

1. Current composite quality factor, QF_C, is 0.90 or greater
2. Each individual quality factor, QF_{QCi} for i = 3, 4, and 5, is 0.90 or greater
3. Each individual quality factor, QF_{QCi} for i = 1 and 2, is 0.75 or greater

No single quality characteristic test may represent more than 750 tons or 1 day's production, whichever is less.

39-4.04B(3) Payment Adjustment

If a lot is accepted, the Engineer adjusts payment with the following formula:

$$PA = \sum_{i=1}^{n} HMACP * wi * \left[QFQCi * (HMATT - WHMATTi) + WHMATTi\right] - \left(HMACP * HMATT\right)$$

where:

PA =	payment adjustment rounded to 2 decimal places
HMACP =	HMA Contract price
HMATT =	HMA total tons represented in the lot
$WHMATT_i$ =	total tons of waived quality characteristic HMA
QF_{QCi} =	running quality factor for the individual quality characteristic
	QF_{QCi} for i = 1 through 4 must be from verified Contractor's QC results. QF_{QC5} must be determined from the Engineer's results on density cores taken for percent of maximum theoretical density determination.
w =	weighting factor listed in the HMA acceptance table
i =	quality characteristic index number in the HMA acceptance table

If the payment adjustment is a negative value, the Engineer deducts this amount from payment. If the payment adjustment is a positive value, the Engineer adds this amount to payment.

The 21st sublot becomes the 1st sublot (n = 1) in the next lot. If the 21st sequential sublot becomes the 1st sublot, the previous 20 sequential sublots become a lot for which the Engineer determines a quality factor. The Engineer uses this quality factor to pay for the HMA in the lot. If the next lot consists of less than 8 sublots, these sublots must be added to the previous lot for quality factor determination using 21 to 27 sublots.

(Feb 25, 2015) Caltrans comment: Should we be using rolling 20?

(Feb 28, 2015) Caltrans comment: No rolling if QFQC is used to determine pay for the lot. Rolling if QFQC is used to "stop production and terminate the lot."

(Feb 25, 2015) Caltrans comment: After QC data verification should we combining QC and QA data for to determine pay factor? Need to check with FHWA to see if this would be acceptable. Industry needs to weigh in on this as well.

(Feb 28, 2015) Caltrans comment: According to FHWA, verification of QC data is an essential component. Payment is dictated by the agency. Agency can elect to base 100% payment on QA test. Caltrans proposed combining QC and QA test data only if the data verified. If data does not verified, Caltrans would use only QA data.

39-4.04C Dispute Resolution

For a lot, if you or the Engineer dispute any quality factor, QF_{QCi}, or verification test result, every sublot in that lot must be retested.

Referee tests must be performed under the specifications for acceptance testing.

Any quality factor, QF_{QCi}, must be determined using the referee tests.

For any quality factor, QF_{QCi}, for i = 1 through 5, dispute resolution:

1. If the difference between the quality factors for QF_{QCi} using the referee test result and the disputed test result is less than or equal to 0.01, the original test result is correct
2. If the difference between the quality factor for QF_{QCi} using the referee test result and the disputed test result is more than 0.01, the quality factor determined from the referee tests supersedes the previously determined quality factor

(Feb 25, 2015) Industry comment: Look at adding requirements allowing the contractor to review the Engineers testing laboratory operations in an effort to resolve differences in test results at the lowest possible level.

(Feb 28, 2015) CT comment: CT recommends that CT IA personnel review Contractor/Engineer testing in the presence of Engineer/Contractor.

(March 17, 2015) Action Item: Industry question: "Industry would like access to Engineer's lab to resolve difference in test results (prior to formal dispute).