## DEVELOPMENT OF RATIONAL PAY FACTORS BASED ON CONCRETE COMPRESSIVE STRENGTH DATA

## Final Report 608

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| 16. Abstract <br> This research project addresses the opportunity to contain the escalating costs of concrete materials in construction projects. Both statistical process control and rational acceptance criteria show that quality improvement and cost savings can be achieved. The report presents a comprehensive statistical evaluation of the compressive strength of concrete used in various sectors of the transportation infrastructure in Arizona. The proposed methodology is applicable to the concrete materials specified at other industrial sectors such as privately financed construction projects. Several case studies are conducted based on actual field data to show that performance based specification procedures can be used to improve the quality control process while decreasing the overall construction costs. Three sets of compressive data from various construction projects were selected. These data were evaluated by means of statistical process-control tools while state-of-the art procedures were utilized to evaluate the strength as a measure of quality. Several acceptance criteria based on the percent within limit (PWL) and operational-characteristic curves (OC) are proposed and evaluated. Various pay factor equations are considered and the historical records are evaluated based on hypothetical pay factor equations. <br> The report furthermore addresses the strengths and weaknesses associated with the present acceptance criteria in comparison to a PWL based method. Opportunities in sampling, optimization, operational-characteristics curves, and quality specification are discussed in detail. It is shown that the cost savings associated with both performance based-specification and quality control, sufficiently justify the amount of effort needed in order to implement these methodologies in the development of specifications. |  |  |  |  |
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| APPROXIMATE CONVERSIONS TO SI UNITS |  |  |  |  | APPROXIMATE CONVERSIONS FROM SI UNITS |  |  |  |  |
| Symbol | When You Know | Multiply By | To Find | Symbol | Symbol | When You Know | Multiply By | To Find | Symbol |
| LENGTH |  |  |  |  | LENGTH |  |  |  |  |
| in | ches | 25.4 | millimeters | mm | mm | millimeters | 0.039 | hes | in |
| ${ }^{\text {ft }}$ | feet | 0.305 | meters | m | m | meters | 3.28 | feet | ft |
| yd | yards | 0.914 | meters | m | m | meters | 1.09 | yards | yd |
| mi | miles | 1.61 | kilometers | km | km | kilometers | 0.621 | miles | mi |
|  | AREA |  |  |  | AREA |  |  |  |  |
| $\begin{aligned} & \mathrm{in}^{2} \\ & \mathrm{fl}^{2} \mathrm{~d}^{2} \\ & \mathrm{ac} \\ & \mathrm{~m}^{2} \end{aligned}$ | square inches | 645.2 | square millimeters | $\mathrm{mm}^{2}$ | $\mathrm{mm}^{2}$ | square millimeters | 0.0016 | square inches | $\mathrm{in}^{\text {2 }}$ |
|  | square feet | ${ }^{0.093}$ | square meters | $\mathrm{m}^{2}$ |  | square meters | 10.764 | square feet |  |
|  | square yards | 0.836 | square meters hectares | ma ha |  | square meters hectares | 1.195 2.47 | square yards acres | yad ${ }^{\text {a }}$ |
|  | square miles | 0.405 2.59 | hectares square kilometers | ${ }_{\text {km }}$ | ${ }_{\text {km }}$ | square kilometers | ${ }_{0}^{2.386}$ | square miles | $\mathrm{mi}^{\text {a }}$ |
|  | VOLUME |  |  |  | VOLUME |  |  |  |  |
| $\begin{aligned} & \begin{array}{l} \text { fooz } \\ \text { gal } \\ \mathrm{tr}^{3} \end{array} \end{aligned}$ | fluid ounces gallons cubic yards | 29.573.785 | millilitersliters | mL |  | milliliters | 0.0340.02635.315 | fluid ounces | flozgal$\mathrm{tr}^{\text {d }}$$\mathrm{yd}{ }^{3}$ |
|  |  |  |  | L |  | liters |  |  |  |
|  |  | 0.028 | cubic meters | $\mathrm{m}^{3}$ | $\mathrm{m}^{3}$ | cubic meters |  |  |  |
|  |  | 0.765 | cubic meters | $\mathrm{m}^{3}$ | $\mathrm{m}^{3}$ | cubic meters | 1.308 | cubic yards |  |
| NOTE: Volumes greater than 1000L shall be shown in $\mathrm{m}^{3}$. |  |  |  |  | MASS |  |  |  |  |
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|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| TEMPERATURE (exact) |  |  |  |  | TEMPERATURE (exact) |  |  |  |  |
| ${ }^{\text {a }}$ | Fahrenheit temperature | $\begin{gathered} 5(F-32) / 9 \\ \operatorname{or}(\mathrm{~F}-32) / 1.8 \end{gathered}$ | Celsius temperature | ${ }^{\circ} \mathrm{C}$ | ${ }^{\circ} \mathrm{C}$ | Celsius temperature | 1.8C + 32 | Fahrenheit temperature | ${ }^{\text {a }}$ |
|  | ILLUMINATION |  |  |  |  |  | UMINATIO |  |  |
| $\substack{\text { fo } \\ \text { fil }}^{\text {c }}$ | foot-candles | $\begin{aligned} & 10.76 \\ & 3.426 \\ & \hline \end{aligned}$ | $\operatorname{lux}$candela/m | $\begin{gathered} 1 \mathrm{x} \\ \mathrm{~cd} / \mathrm{m}^{2} \end{gathered}$ | $\begin{gathered} 1 \mathrm{x} \\ \mathrm{~cd} / \mathrm{m}^{2} \end{gathered}$ | $\begin{gathered} \text { lux } \\ \text { candela/ } / \mathrm{m}^{2} \end{gathered}$ | $\begin{aligned} & 0.0929 \\ & 0.2919 \end{aligned}$ | foot-candles foot-Lamberts | $\substack{\text { fo } \\ \text { fil }}^{\text {c }}$ |
|  | foot-Lamberts |  |  |  |  |  |  |  |  |
|  | FORCE AND PRESSURE OR STRESS |  |  |  |  | FORCE AND PRESSURE OR STRESS |  |  | ${ }_{10 \text { bfi }}^{\text {li }}$ |
| lbflobfin ${ }^{2}$ | poundforce poundforce per square inch | 4.456.89 | newtons <br> kilopascals | $\underset{\mathrm{kPa}}{\mathrm{N}}$ | $\mathrm{NPa}_{\mathrm{NPa}}$ | newtons <br> kilopascals | $\begin{aligned} & 0.225 \\ & 0.145 \end{aligned}$ | poundforce poundforce per square inch |  |
|  |  |  |  |  |  |  |  |  |  |

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## I. Executive Summary

Continuous development of civil infrastructure systems in support of population growth and economic productivity for the State of Arizona is a challenge faced by many decision makers in the planning, administrative, engineering, and executive branch of government. The State of Arizona utilizes more than 15 million cubic yards of concrete per year; a number that has been increasing at an annual rate of $15 \%$ during the past several years. This volume places a tremendous strain on the resources and the supply of cement and concrete products especially when one considers the increased demand for infrastructure development. It is therefore natural to expect that competition for resources and material shortages directly affects the escalating costs of construction projects and result in construction delays.

The rapid growth of the infrastructure has resulted in an ever increasing demand on the environment. For each ton of cement produced, a ton of carbon dioxide is emitted. Therefore, it would be advantageous to reduce the amount of cement, aggregates, and other natural materials that are used in construction projects without affecting the performance. Alkali-silica reactions and sulfate attack in concrete are among the major durability concerns in civil infrastructure systems. The corrosion of reinforcing steel, leading to the ultimate cracking of the concrete on highway bridges, was estimated to cost $\$ 8.29$ billion in the U.S. A thorough understanding of the specifications will improve the decision making process in every stage of construction and maintenance, thus supporting a sustainable design approach.

This research project addresses areas of opportunity to contain the escalating costs of concrete materials in construction projects. The main objective for this project is to show that performance-based specification procedures can be used to improve the quality control process while decreasing the overall construction costs. Through the use of statistical process control and rational acceptance criteria, it can be shown that both a significant improvement in quality and cost savings can be achieved. By addressing the quality control measures, the incentives for payment based on early age or long term properties of concrete can be developed. Both sustainable and economical design methodologies can be addressed through proper specification guidelines.

New guidelines and cost structures for concrete materials are analyzed so that more economical alternatives can be evaluated and considered during the preliminary design of a project. As the cost of raw materials changes, many potential alternatives become cost effective. Examples include performance enhancing admixtures and/or supplementary cementitious materials, curing, and finally quality control (QC) parameters that affect the cost of a project. These alternatives, which have been addressed in a different report by the author [1], may not be regularly specified for highway structures due to the lack of available field data. The focus of the present work is based on a need to better understand the role of quality control and quality assurance in a sustainable design philosophy. The goal is directed toward generating cross-disciplinary tools to guide us toward more economical engineering and construction policies. Life cycle cost modeling, combined
with statistical quality control measures, could identify potential savings. Enabling methodologies are proposed to help with statistical process control.

This report presents a comprehensive statistical evaluation of the compressive strength of concrete used in various sectors of the transportation infrastructure in Arizona. The proposed methodology is also applicable to the concrete materials specified in other industrial sectors such as privately financed construction projects. The report furthermore addresses the strengths and weaknesses associated with the present acceptance criteria in comparison to the percent-within-limits (PWL) based methods. Opportunities in sampling, optimization, operational characteristics curves, and quality specification are discussed in detail. It can be shown that the cost savings associated with performance-based specification, together with good quality control, sufficiently justify the effort needed to implement these methodologies.

Three sets of compressive data from various construction projects were selected. The data, which were evaluated by means of statistical process control tools and state-of-the art procedures, were utilized to evaluate the strength as a measure of quality. Several acceptance criteria based on the percent-within-limits (PWL) and operational characteristic (OC) curves are proposed and evaluated. Various pay factor equations are considered and the historical records are evaluated based on hypothetical pay factor equations.

Results indicate that a majority of the samples evaluated meet and far exceed the strength requirements specified by the Arizona Department of Transportation (ADOT) specifications by as much as $30 \%-50 \%$. There are excessive variations in the trends of the data which do not correlate with the specified strength of the concrete and the areas of its applications. These represent areas of potential opportunity to reduce both the average and standard deviations of the strength data. Reduction of the mean strength values delivered at the expense of better quality control will translate into significant raw materials savings.

Pay factor equations are used as the basis for payment, and they serve as a penalty or incentive to meet the specifications. The adherence to the pay factor equations often results in excessive over-strength design of the concrete mixtures. This study indicated that the total amount of penalties in comparison to the cost of many projects is insignificant. Out of a total materials cost of $\$ 13,590,000$ for the projects studied, the total penalties assessed were $\$ 124,000(0.91 \%$ of total) and $\$ 36,200(0.26 \%$ of total) for the present and proposed ADOT formulas, respectively.

Several methods were employed to better understand the acceptance criteria. The Federal Highway Administration (FHWA) approach utilizes a PWL penalty based on many factors such as the Q-value table and the specification upper and lower limit. The FHWA approach should be employed carefully because of the sensitivity of the method. Six bridge cases were studied where each case had rejected lots by the current ADOT, new proposed ADOT, FHWA, and California Department of Transportation (Caltrans) methods. Various penalty factors for these cases were determined.

A comparison of two different pay factors- the PWL and the Kentucky OC curve shows that the two methods are quite similar. The PWL computed by Kentucky OC curve was generally friendlier to suppliers as compared to the FHWA's Category II which is based on an acceptance quality limit (AQL) of $90 \%$ specification. In addition, the Kentucky OC curve provided an award or bonus to the supplier whereas there was no extra payment by using Category II. The FHWA method results in a higher penalty than the other methods ( $1.38 \%$ of the total cost of the projects), whereas the Caltrans method shows a lower penalty $(0.81 \%)$. The huge penalty is attributed to the rejection of several sublots. The penalties are less than $1 \%$ for current ADOT, proposed ADOT, and the Caltrans methods.

Comparing the current and proposed ADOT methods, the penalties were assessed in all six bridge cases. The average level of penalty was in the range of $6.9 \%$. This level of penalty could be reduced to $2.2 \%$ upon adoption of the new ADOT cost factor policy. Average cost comparisons between the current and proposed ADOT equations indicate that the approximate penalties in the new ADOT method are in the range of $26 \%$ of the present penalty levels. The FHWA method with pay factor Category II, showed only three cases that were penalized. The penalties given by FHWA, current ADOT, and Caltrans methods were similar and averaged $6 \%$ of the total costs. The penalty from the new ADOT method was the lowest and resulted in $2.2 \%$ penalty.

The proposed ADOT method seems to be friendlier to suppliers while still providing a stable penalty. The penalty is $0.27 \%$ and is slightly lower than the current ADOT method $(0.92 \%)$. Applying methods with quality control criteria would benefit projects by reducing out-of-spec concrete on jobsites, retaining required strength, and minimizing materials consumption.

While the proposed modifications to the specifications provide reasonable and justifiable changes to the current pay factor equations used by ADOT, real materials savings can be realized when the cost of raw materials used is reduced through the implementation of a balanced and comprehensive statistical quality control acceptance criteria.

## II. Introduction

Continuous development of civil infrastructure systems in support of the population growth and economic productivity of the State of Arizona is a challenge faced by many decision makers in the planning, administra tive, engineering, and executive branches of our state.

Concrete is the most commonly used building material in the world. Its production in the United States has almost doubled from 220 million cubic yards per year in the early 1990's to more than 430 million cubic yards in 2004. Arizona's share has been about 15 million cubic yards of concrete per year; a number that is increasing at an annual rate of $15 \%$ during the past several years. This has placed a tremendous strain on the suppliers when one considers the increased demand for infrastructure development. Construction delays and material shortages have resulted in escalating costs.

A significant amount of energy is required to produce cement. For each ton of cement produced, a ton of carbon dioxide is emitted into the environment. Therefore, it would be advantageous to reduce the amount of cement and other virgin materials that are used in cement-based composites. Chemical attack such as corrosion and alkali silica reaction (ASR) in concrete is among the major durability concerns in civil infrastructure systems. These mechanisms affect the service life and long term maintenance costs. For example, the average annual direct cost of corrosion for highway bridges was estimated by Yunovich to be $\$ 8.29$ billion in the U.S.[2] A better understanding of how the environment influences concrete performance will improve the decision making process in every stage of construction and maintenance. The initial design of a structure must consider the entire service life, and any new proposals for modification of the formulations should consider the materials science aspects of the performance. This report, however, addresses methods that can be used to better understand the quality control measures and incentives for the payment based on early age properties of concrete.

One of the reasons for the extensive use of cement-based systems is the design versatility which can be tailored to each application. Based on the intended use, varying constituent materials and processing techniques can be used to achieve performance metrics from fresh state properties to superior mechanical properties and durability. From a technical perspective, numerous challenges remain in promotion and use of blended cements as sustainable and cost saving alternatives. It would be beneficial to utilize and recycle waste by-products such as class C fly ash as value added ingredients for concrete production, according to Roy.[3] One must however appreciate the complexity of integration of cement chemistry, early age properties, and specifications when using blended cements in construction projects, per Mobasher and Ferraris.[4]

It is imperative that new guidelines and cost structures for concrete materials be analyzed so that more economical alternatives can be evaluated and considered during the preliminary design of a project. As the cost of raw materials changes, many potential alternatives become cost effective, such as the use of performance enhancing admixtures and/or supplementary cementitious materials, curing, and finally quality control (QC). These alternatives may not be regularly specified for highway structures due to the lack of avail-able field data. The focus of the present work is based on a need to better understand
the role of quality control and quality assurance in a sustainable design philosophy. The goal is directed toward generating cross-disciplinary tools to guide us toward more economical engineering and construction policies. Life cycle cost modeling combined with statistical quality control measures could identify potential savings, claim Burati et al. [5]

The interaction of various choices for an appropriate cost reduction strategy is especially important in hot, arid regions where special attention must be paid to the materials design with respect to curing, early shrinkage, and cracking. These will ultimately affect the durability and quality of the concrete. Not all loading cases, applications, and specifications can be translated into compressive strength values of concrete; hence this parameter cannot and should not be used as the sole measure of concrete quality and performance. Knowledge of various alternatives would allow state officials to make costeffective decisions when specifying concrete and provide contractors greater flexibility in meeting design requirements and future needs.

## Objectives

The objective of this work is to promote better quality and economy when using concrete materials by focusing on:

- Evaluation of the acceptance criteria and current pay factor adjustment methods based on bonus/penalty factors in order to improve quality control and specification procedures.
- Use of a mix design formulation that is based on the principles of economy but still improves the durability of the finished product.

This report addresses recommendations drafted in consideration of the concerns of various stakeholders, including state and federal transportation officials, local cement suppliers, concrete ready mix plants, and construction companies. The opportunities developed in earlier reports addressed both the quality and economy of concrete materials used locally.

## Preliminary Results

Results from a preliminary study conducted for a committee consisting of members of Arizona Rock Products Association and the Arizona Department of Transportation (herein referred to as the ARPA/ADOT committee) are discussed first. Figure 1 presents data from a single concrete manufacturer that was obtained from ADOT's Field office Automation SysTem (FAST) database. The plot shows specified strength vs. the strength of concrete delivered to the job-site. Each data point represents a single compressive strength value for a representative volume of material. Assuming that each cylinder represents a lot of 50 cubic yards on average, the data represents approximately 300,000 cubic yards of concrete. For a major portion of the materials delivered, the strength value delivered far exceeded that required for the job. It is clearly shown that quite often, the strength of concrete delivered is approximately 1100-1500 psi higher than the specified values. As such, the amount of cement that could be saved by reducing the total cement content in the mixture is significant. The worksheet cost analysis model has been developed which shows the potential cost savings of cement substitution by supplementary cementitious products. By implementing a quality control process for the acceptance of concrete, it is clear that one can reduce both the standard deviations and the mean strength values while maintaining the
same level of risk. The net result would be realized in the reduction of the average cement dosage requirements. Figure 2 shows the running average strength value for a 2 -year period of a single supplier for a 3000 psi class of concrete. Note that the over-strength conservatism is significantly higher with as much as 1500 psi mean over-strength values.


Figure 1. Correlation of data from both the specified strength and the actual strength of concrete delivered to the job site from a single ready mix producer. The solid line represents a $1: 1$ correlation.


Figure 2. Data from a single ready mix producer during a two year cycle representing the amount of over-strength concrete delivered.

It would also be ideal to evaluate the 7-day strength results and use that information as a basis to determine if the 28-day strength results are capable of meeting the design objectives or not. In Figure 3, red dots represent the 7-day strength values whereas the black dots represent the 28-day strength values. The specified strength of the concrete is 2500 psi at 28 days. It is clear that the 28 -day strength is greater than the 7 -day strength; however, no correlation is apparent in the trend of the data. While it is true that the strength might be improved by the extended curing time, there is no methodology to correlate the 28 -day strength with 7 -day strength. Subsequently, there is no way to determine if the trend and variations in the 28-day strength are too large to be statistically significant.


Figure 3. Plot of the Comparison of Strength Data Distribution to Specification

## II. Sample Collection and Analysis Procedures

## 1. Preliminary Data Selection

Three types of data sets were used in this survey. These included data provided by industry in cases of previous dispute which had been resolved using the pay factor equations. Data was also provided by ADOT resident engineers based on their prior experience with cases which required additional investigation. The third set of data involved a random selection of a range of available data within the FAST data base. Three sets of various data bases were addressed. These data were categorized in the following case studies.

### 1.1 ADOT Supplied Test Cases (Series 1)

Six projects using a total of nine mixes were identified as cases which required further statistical evaluation. They were identified by ADOT Resident Engineers as test cases for analysis and in depth evaluation. These cases were identified as problem projects which had historically required further investigation such as coring and additional testing (for example, H407601C, H416001C, H552501, and H576801C). The following Transportation Accounting (TRACs) numbers are used within the Series 1 category and further investigated:

Table 1: Series 1 Data Set

| Project | TRACs <br> number | Supplier | Plant number | Product <br> number | Required <br> strength <br> $(\mathrm{psi})$ | Age <br> (days) |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| 1 | H576801C | Rinker | 33341 | 1333115 | 4500 | 28 |
| 2 | H552501C | Sunshine Concrete | Kingman | S3000A | 3000 | 28 |
| 3A | H407601C | Rinker | 55041 | 14016 | 3500 | 28 |
| 3B | H407601C | Rinker Materials | 60141 | 1332439 | 4000 | 28 |
| 4A | H416001C | Campbell Redi-mix | Lake Havasu | 2500 S | 2500 B | 28 |
| 4B | H416001C | Campbell Redi-mix | Lake Havasu | 2500 S | 3500 S | 28 |
| 5A | H319003C | McNeil Const. Co. | Tucson | $0203-10$ | 4000 | 28 |
| 5B | H319003C | McNeil Const. Co. | Tucson | $0203-15$ | 4000 | 28 |
| 6 | H313401C | McNeil Const. Co. | Tucson | $9710-3$ | 4000 | 28 |

### 1.2 Randomly Selected Test Cases (Various supplier, plant, and mix specification) (Series 2)

The data in this test case were randomly selected. Five different suppliers (Chandler Ready Mix, Rinker, Arizona Materials, Hanson Aggregates of AZ, and TPAC) are selected with two plants each, and three mix specifications each as shown in Table 2.

Table 2: Series 2 Data Set

| No | Supplier | Plant | Mix <br> specification | Required <br> strength <br> $(\mathrm{psi})$ | Age (days) |
| :--- | :--- | :--- | :--- | :--- | :--- |
| A11 | Chandler Ready Mix | 03 | 130624 | 2000 | 28 |
| A12 | Chandler Ready Mix | 03 | 972502 | 2900 | 28 |
| A13 | Chandler Ready Mix | 03 | 4425 | 2500 | 28 |
| A21 | Chandler Ready Mix | 01 | 140204 | 4000 | 28 |
| A22 | Chandler Ready Mix | 01 | 160604 | 6000 | 28 |
| A23 | Chandler Ready Mix | 01 | 130224 | 3000 | 28 |
| B11 | Rinker | 11241 | 14030 | 3500 | 28 |
| B12 | Rinker | 11241 | 1333066 | 4000 | 28 |
| B13 | Rinker | 11241 | 14504 | 4500 | 28 |
| B21 | Rinker | 33341 | 14016 | 3000 | 28 |
| B22 | Rinker | 33341 | 1333004 | 3500 | 28 |
| B23 | Rinker | 33341 | 1345459 | 3000 | 28 |
| C11 | Arizona Materials | Val Vista | 15030 | 4500 | 28 |
| C12 | Arizona Materials | Val Vista | 13008 | 2500 | 28 |
| C13 | Arizona Materials | Val Vista | 14030 A | 4000 | 28 |
| C21 | Arizona Materials | Queen Creek | 13008 | 3000 | 28 |
| C22 | Arizona Materials | Queen Creek | 14030 | 3000 | 28 |
| C23 | Arizona Materials | Queen Creek | 13530 | 3000 | 28 |
| D11 | Hanson Agg. of AZ | Valley Plant | C35501 | 3500 | 28 |
| D12 | Hanson Agg. of AZ | Valley Plant | C40501 | 4000 | 28 |
| D13 | Hanson Agg. of AZ | Valley Plant | C35501A | 3500 | 28 |
| D21 | Hanson Agg. of AZ | 40 | D402521 | 4000 | 28 |
| D22 | Hanson Agg. of AZ | 40 | 1205104 | 4000 | 28 |
| D23 | Hanson Agg. of AZ | 40 | 840913 | 4000 | 28 |
| E11 | TPAC | 447 | 5000 | 28 |  |
| E12 | TPAC | 444 | 5500 | 28 |  |
| E13 | TPAC | Phoenix | 54800 | 28 |  |
| E21 | TPAC | Phoenix | 4500 | 28 |  |
| E22 | TPAC | Phoenix | 5000 | 28 |  |
| E23 | TPAC | Tucson | 6000 | 28 |  |
|  | Tucson | 22480 | 285 | 2 |  |

### 1.3 Members of the ADOT/ARPA committee Supplied Test Cases (Series 3)

The industrial members of the task group identified several test cases which had resulted in compressive strength disputes. Six bridge projects were recommended for exploration. These test cases are listed as shown in Table 3.

Table 3: Series 3 Data Set

| Case Number | Bridge Name | Required strength (Psi) |
| :--- | :--- | :--- |
| 1 | Wilson Wash | 4500 |
| 2 | Sandy Blevens | 4500 |
| 3 | Quail Springs | 4500 |
| 4 | Poison | 4500 |
| 5 | Deveore | 4500 |
| 6 | Apprentice | 4500 |

## 2. Exploratory Data Analysis

Statistical process control is widely used in various manufacturing sectors. The first step in the evaluation of the data is to conduct an exploratory data analysis. In this procedure, the number of samples, distribution of the samples, and basic statistical techniques are utilized to evaluate if the data meets certain criteria for follow up steps. In the exploratory data analysis section, the adequacy of the data was tested by scatter plot, histogram, and probability plots. These plots verify the validity of assumptions. The assumption in applying the control chart is that the data is normally distributed. In this case a normal distribution was assumed, due to a sufficient number of data points representing the symmetrical nature of a bell shaped curve with equal distribution about the mean. The Anderson-Darling (AD) test, which can be applied to any assumed distribution, confirmed a normal distribution. Additionally the AD test also acknowledged that the test samples came from a much larger population of normally distributed data. If there is sufficient sample size to form a hypothesis, then the analysis on the data yields a very good estimation of the entire population. If there is not a sufficiently large sample size, then the margin of error is rather large. Most probability plots satisfied this assumption. The test data which did not meet the normal distribution criteria was not used in the analysis. The cases were rejected primarily because there were few sample points (six or seven strength values) in these cases, the reliability of the analysis is quite low, so larger data sets, which could provide a better representation of statistical process, were chosen. The basic control chart is also applied to the concrete strength data. The X-bars are presented for two methods including current ADOT and modified American Concrete Institute (ACI) methods. ADOT employs the design strength ( $\mathrm{F}^{\prime}{ }_{\mathrm{c}}$ ) as the lower limit. The X-bar and S charts are also employed by using a modified ACI method which requires specified strength ( $\mathrm{F}^{\prime}{ }_{\mathrm{cr}}$ ) as the mean of the chart. The X-bar chart plots the subgroup means, whereas the S chart relates to the subgroup standard deviation, according to Montgomery.[6] The X-bar control chart presents the mean. S charting measures the process variability and helps monitor the stability of process. The data is shown in chronological order, so the trends or shifts in the process can be detected.[7]

### 2.1. Exploratory Data Analysis of Series 1

Figure 4 represents the Normal Probability plot for Series 1 data sets (see Appendix A). Here N represents the number of samples tested and StDev represents the standard deviation with a $95 \%$ Confidence Indicator (CI) with respect to the mean, The AD test is a statistical procedure applied to evaluate if the samples come from a particular distribution, as explained by the National Institute of Standards and Technology[8] and Hayes et al,[9] A small AD value indicates that an assumed distribution (for example a normal distribution) fits the data. Projects 5 (H416001C_Campbell Redi-mix_ Lake Havasu_2500S_2500B) and Project 8 (H319003C_McNeil Const. Co._Tucson_020315_4000) do not follow the normality assumption because Anderson-Darling statistics are quite large in comparison to the other projects ( $\mathrm{AD}=1.238$ and 1.165) .


Figure 4. Probability plot for Series 1

The next step is to assume that the data are normally distributed, and one can conduct a hypothesis test and find the probability (or P -value). The P value is calculated based on the results by assuming the null hypothesis is true. The significance level (or the alpha ( $\alpha$ ) level) is the particular probability level that the evidence is either an irrational estimate or the decisive factor used for rejecting the null hypothesis, as explained by Hayes et al.[10] The P-value can be interpreted as the probability of a false rejection of the null hypothesis or the chance of making a Type I error (the error of rejecting a null hypothesis when the null hypothesis is actually true). For example, the significant level of 0.05 corresponds to a $5 \%$ chance that the normality assumption was rejected due to the
sample specimen belonging to a normally distributed set of data. When comparing the probability to the significance level, if the P -value is less than or equal to the alpha level, one may conclude that the null hypothesis is 'statistically significant' and rejected, according to Lane.[11] In general, the popular levels of significance level are 0.05 and 0.01 . The lower the significance level, the more the data significantly deviate from the null hypothesis.[11]

Based on the above, it is clearly observed that Projects 5 and 8 might not fit the normal distribution very well since P -values are quite small $(<0.005)$. For discussion purposes of this report, the rest of the data set is assumed to be valid test data collected from normally distributed populations. A summary of all the X-bar and S-Charts for these samples are listed in Appendix B (Figures B1 - B9).

An alternative method to present data is to show X-bar and S charts. The X-bar charts are plotted in two sets, first by considering the lower limit as specified minimum strength ( $\mathrm{F}^{\prime}$ c) which is the current approach of ADOT, and second by a method similar to ACI214 in which the mean (center line) is the required jobsite strength ( $\mathrm{F}^{\prime}{ }_{\mathrm{cr}}$ ) with lower and upper limits. The second criterion of ACI-214 is used in which:
$F^{\prime}{ }_{c r}=F^{\prime}{ }_{c}+\frac{s . z}{\sqrt{n}}$, s is the standard deviation of the data set, z is associated with the normality of the data set (here $\mathrm{z}=1.28$ for $10 \%$ ) and $\mathrm{n}=3$. The formula of the lower and upper control limit (LCL and UCL) is $C L \pm \frac{k \sigma}{\sqrt{n}}$ where
$\mathrm{CL}=$ the center line $\quad\left(\mathrm{F}^{\prime}{ }_{\mathrm{cr}}\right)$
$\mathrm{n}=3=$ the size of the subgroup
$\mathrm{k}=$ the number of standard deviations from the center line. In this situation, $\mathrm{k}=3$.
$\sigma=$ the standard deviation that is calculated by the pooled standard deviation.
It is written as $\hat{\sigma}=\frac{\bar{S}}{c_{4}}=\frac{\left(\frac{\sum_{i=1}^{n} S_{i}}{n}\right)}{c_{4}}$ where $\mathrm{c}_{4}$ is the value from the table. The summary table of the factors for constructing variable control charts is shown in Table 4.

Table 4: Factors used for Constructing Variable Control Charts

| Sample size | Factor for Central <br>  |  |  |
| :--- | :--- | :--- | :--- |
|  | $\mathrm{c}_{4}$ | Factor for Control Limits of <br> the S chart |  |
| 2 | 0.7979 | $\mathrm{~B}_{3}$ | $\mathrm{~B}_{4}$ |
| 3 | 0.8862 | 0 | 3.267 |
| 4 | 0.9213 | 0 | 2.568 |
| 5 | 0.9400 | 0 | 2.266 |

From Montgomery. Introduction to Statistical Quality Control. $4^{\text {th }}$ ed. 2001. [6]

For instance, the standard deviation of project 8 (Figure 5) is 658.2, but the sigma is calculated by $\hat{\sigma}=\frac{\bar{S}}{C_{4}}=\frac{207}{0.8862}=233.58$ since the sample size $=3$. Here,

$$
F_{c r}^{\prime}=4000+\frac{658 \times 1.28}{\sqrt{3}}=4486 \mathrm{psi}
$$

Then: $L C L=\mu-\frac{k \sigma}{\sqrt{n}}=4486-\frac{(3)(233.58)}{\sqrt{3}}=4081.43$
$U C L=\mu+\frac{k \sigma}{\sqrt{n}}=4486+\frac{(3)(233.58)}{\sqrt{3}}=4890.57$



Figure 5. X-bar and S Chart for Project 8 in Series1

The $S$ chart demonstrates the instability and variability in several projects (Project 1, 5, 6, 7 , and 8 ). Figure 5 presents the $S$ chart which is a running sequence of the average strength values as a function of project time. The center line is the average of all subgroup standard deviations. It is defined as $C L=\bar{S}$. Then $C L=207$. The lower and upper control limits can be written as $B_{3} \bar{S}$ and $B_{4} \bar{S}$ respectively, where $B_{3}$ and $B_{4}$ are values from a table above which depends on the subgroup size. Then $L C L=B_{3} \bar{S}=(0)(207)=0$ and $U C L=B_{4} \bar{S}=(2.568)(207)=531.576$.

It should be mentioned that the real lower limit for concrete strength is the specified design strength ( $\mathrm{F}^{\prime}$ c) and the values for different samples can vary about the required strength ( F 'cr). However, in this analysis, the obtained lower limit (e.g. 4081 psi ) would be slightly higher than the F'c (e.g. 4000 psi ).

The $S$ chart detects the shifts that are above and below the target. Since there are several points greater than the upper control limit, this indicates that the process is out-of-control as shown above. Nevertheless, it is acceptable for the compressive strength data to be above the specified strength, so this report focuses on the out-of-control signal, particularly the lower specification. This means that this process can be considered as the good process since there are no points that fall beyond the lower control limits. The presence of an out-of-control signal shows the assignable causes (effects that can be corrected, adjusted, or removed, i.e, process control, extra cement factor, etc.) in the process, so the process should be investigated to remove the variation and increase its capability.

### 2.2. Exploratory Data Analysis of Series 2

This test case was selected based on a random selection of various suppliers, plants, and mix specifications (Series 2). There are some cases in this series where the data set is too small (less than 5 data points). Since such a data set was not appropriate to analyze, several projects were discarded such as A12, A22, A23, B23, D11, and D22. Figure A2, A3, A4, A5, and A6 represent the Normal Probability plot for Series 2 Project A, B, C, D, and E data sets respectively (see Appendix A). Using the Anderson-Darling statistic (AD), Project A21, B11, B12, D21, D23, E11, and E12 do not follow the normality assumption because the Anderson-Darling statistics are quite large in comparison to the other projects ( $\mathrm{AD}=1.054,0.747,0.625,0.866,0.622,0.854$, and 0.742 ). The large Anderson-Darling values indicate that the distribution does not fit the normality assumption. In addition, the $P$-values $(0.008,0.043,0.053,0.022,0.088,0.024$, and 0.037 respectively) are smaller than the chosen $\alpha$-level ( 0.05 and 0.10 ), so Project A21, B11, B12, D21, D23, E11 and E12 might not follow the normal distribution very well either. For the purposes of discussion in this report, other projects are assumed to be collected from normally distributed populations. A summary of both the X-bar and S-Charts for these samples are listed in Appendix C (Figures C1-C24). The S control chart presents the variability by detecting an out-of-control signal in some cases including B22, C11, C13, D12, D13, D23, and E23. Most cases however, had higher strength than the defined upper limit and are considered over-designed.

### 2.3 Exploratory Data Analysis of Series 3

This test case (Series 3 ) was supplied by the members of the ADOT/ARPA committee. Figure A7 represents the Normal Probability plot for Series 3 data sets (see Appendix A). In this set of data, project D22 was discarded since the number of observations was quite small. All the Anderson-Darling values (AD) are relatively small ( $\mathrm{AD}=0.567,0.537$, $0.232,0.445,0.210,0.171$ ), therefore, all bridge projects are assumed to follow a normal distribution. In addition, the p -values $(0.117,0.147,0.757,0.194,0.833$, and 0.907 respectively) are greater than the commonly chosen $\alpha$-level ( 0.05 and 0.10 ). All bridge projects seem to be normally distributed. For the purposes of discussion in this report, most data sets within this series are assumed to be collected from normally distributed populations. A summary of all the X-bar and S-Charts for these samples is listed in Appendix D (Figures D1 - D6). In this series, all the bridge projects had rejected lots with strength lower than design strength ( $\mathrm{F}^{\prime}{ }_{\mathrm{c}}$ ). They also had some strengths higher than the upper limit.

## 3. Pay Factor Determination

Once the normality assumptions were properly tested, all projects were examined for various penalty/bonus criteria by using four different approaches. These alternatives were identified as: FHWA, Currently enforced ADOT guidelines (ADOT), recently proposed ADOT guidelines (new ADOT), and Caltrans.

It should be mentioned that in the current ADOT method, only a lower limit $\left(\mathrm{F}^{\prime}{ }_{c}\right)$ is considered as the criterion for the pay factor and the data history and statistical analysis is not employed to determine the level of penalty. However, following a similar method to ACI-214 (such as the FHWA method) would enhance the overall quality control of concrete production in which lower and upper limits are defined and a lot is of good quality if it is between the two limits and of poor quality otherwise. The summary of this analysis is presented in the following table in which the out of control data are shown in all series. "L" means lower strength and " $H$ " means higher strength compared to the mean strength ( $\mathrm{F}^{\prime}{ }_{\mathrm{c}}$ in ADOT and $\mathrm{F}^{\prime}{ }_{\mathrm{cr}}$ in ACI). Details for all four methods are shown in Table 5.

Table 5: Out-of-Control Data in all Series

|  |  | Number data | out of co | ntrol | Percentag data | of Out of | ontrol |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Series | Code | ADOT:L | ACI:L | ACI:H | $\begin{aligned} & \text { ADOT:L, } \\ & \text { \% } \end{aligned}$ | $\begin{aligned} & \text { ACI:L, } \\ & \% \end{aligned}$ | $\begin{aligned} & \text { ACI:H, } \\ & \% \\ & \hline \end{aligned}$ |
| 3 | 1 | 0 | 0 | 13 | 0.0 | 0.0 | 44.8 |
|  | 2 | 1 | 3 | 8 | 7.1 | 21.4 | 57.1 |
|  | 3 | 0 | 0 | 4 | 0.0 | 0.0 | 66.7 |
|  | 4 | 0 | 0 | 8 | 0.0 | 0.0 | 100.0 |
|  | 5 | 0 | 0 | 31 | 0.0 | 0.0 | 100.0 |
|  | 6 | 0 | 0 | 17 | 0.0 | 0.0 | 73.9 |
|  | 7 | 0 | 0 | 20 | 0.0 | 0.0 | 87.0 |
|  | 8 | 0 | 0 | 74 | 0.0 | 0.0 | 53.2 |
|  | 9 | 0 | 0 | 30 | 0.0 | 0.0 | 71.4 |
| 2 | A11 | 0 | 0 | 7 | 0.0 | 0.0 | 100.0 |
|  | A13 | 0 | 0 | 11 | 0.0 | 0.0 | 100.0 |
|  | A21 | 0 | 0 | 47 | 0.0 | 0.0 | 94.0 |
|  | B11 | 0 | 0 | 19 | 0.0 | 0.0 | 100.0 |
|  | B12 | 0 | 0 | 3 | 0.0 | 0.0 | 50.0 |
|  | B13 | 0 | 0 | 21 | 0.0 | 0.0 | 100.0 |
|  | B21 | 0 | 0 | 8 | 0.0 | 0.0 | 100.0 |
|  | B22 | 1 | 4 | 8 | 5.6 | 22.2 | 44.4 |
|  | C11 | 1 | 1 | 45 | 1.4 | 1.4 | 62.5 |
|  | C12 | 0 | 0 | 5 | 0.0 | 0.0 | 100.0 |
|  | C13 | 5 | 5 | 6 | 17.9 | 17.9 | 21.4 |
|  | C21 | 0 | 0 | 16 | 0.0 | 0.0 | 100.0 |
|  | C22 | 0 | 0 | 20 | 0.0 | 0.0 | 100.0 |
|  | C23 | 0 | 0 | 5 | 0.0 | 0.0 | 100.0 |
|  | D12 | 1 | 1 | 1 | 16.7 | 16.7 | 16.7 |
|  | D13 | 0 | 1 | 18 | 0.0 | 5.0 | 90.0 |
|  | D21 | 0 | 0 | 22 | 0.0 | 0.0 | 91.7 |
|  | D23 | 0 | 4 | 9 | 0.0 | 23.5 | 52.9 |
|  | E11 | 0 | 0 | 28 | 0.0 | 0.0 | 100.0 |
|  | E12 | 0 | 0 | 11 | 0.0 | 0.0 | 100.0 |
|  | E13 | 0 | 0 | 21 | 0.0 | 0.0 | 100.0 |
|  | E21 | 0 | 0 | 23 | 0.0 | 0.0 | 88.5 |
|  | E22 | 0 | 0 | 55 | 0.0 | 0.0 | 94.8 |
|  | E23 | 1 | 1 | 6 | 9.1 | 9.1 | 54.5 |
| 3 | Wilson Wash | 7 | 8 | 4 | 50.0 | 57.1 | 28.6 |
|  | Sandy Bleven | 2 | 2 | 7 | 10.5 | 10.5 | 36.8 |
|  | Quail Springs | 3 | 3 | 1 | 20.0 | 20.0 | 6.7 |
|  | Poison | 1 | 2 | 5 | 14.3 | 28.6 | 71.4 |
|  | Deveore | 2 | 3 | 1 | 11.8 | 17.6 | 5.9 |
|  | Apprentice | 1 | 3 | 5 | 9.1 | 27.3 | 45.5 |

### 3.1 FHWA-PWL Method

The Pay factor is calculated by using the PWL method. PWL (percent conforming or percent within limit) is the percentage of the lot that is in the specification: between the upper specification limit and lower specification limit. The PWL is calculated based on normality assumption. A lot is defined as a finite sample size. Within each lot, several sub-lots are defined. Samples are collected at the sublot level. Within each lot the mean and standard deviation are calculated. These values are used by means of statistical process control procedures to compute the quality measures. Upper and lower specification limits are either specified or calculated based on a number of standard deviations away from the mean. Instead of using the Z-value, the quality index, Q , is used to estimate the PWL. The Q -value is given by Burati, et al.[5] as:

$$
\begin{array}{ll}
Q_{L}=\frac{(\bar{x}-L S L)}{s} & \text { where LSL }=\text { lower specification limit } \\
Q_{U}=\frac{(U S L-\bar{x})}{s} & \text { where USL }=\text { upper specification limit }
\end{array}
$$

The Q-value is used to determine the estimated PWL for the lot as shown in the table by Specification Conformity Analysis.[12] Each $\mathrm{Q}_{\mathrm{U}}$ and $\mathrm{Q}_{\mathrm{L}}$ value will transform to $\mathrm{P}_{\mathrm{U}}$ and $\mathrm{P}_{\mathrm{L}}$ and then used to calculate the PWL. The total estimated percentage of the lot within the U and L is $P W L=P_{U}+P_{L}-100$. The lot strength PWL is related to the pay factor. Figure 6 represents the relationship between the Q-value and the PWL when $n$ (sample size) is varied from 3 to 10 .


Figure 6 Plot of the Relationship between the Q-value and the PWL

Subsequent to estimation of PWL, the next step is finding the pay factor for each sublot. The pay factor is estimated by two ways: the Acceptable Quality Level and the OC Curve.

- Pay Factor determination using acceptable quality level.

There are two important definitions by the FHWA.[5] First, the Acceptable Quality Level ( AQL ) is the minimum percentage of the quality work that is considered acceptable for payment. Second, the Rejectable Quality Level (RQL) is the maximum percentage of the quality work that is considered unacceptable. There are 2 categories: I and II. Category I is based on an AQL of 95 percent whereas Category II is based on AQL of 90 percent. The contractor's risk is 5 percent in both cases. The seller's risk (or contractor's risk) is the chance of rejecting material that is at the AQL level. This is also called Type II Error (or $\beta$ ) by Montgomery.[ 6] The Government Agency's risk is defined as the probability of accepting material if it is at the RQL level. It may be called the 'buyer's risk' by Mahboub and Hancher [13] or Type I Error (or $\alpha$ ) by Montgomery.[6] Figure 7 shows the defining table of Type I and Type II errors.


Figure 7 The Defining table of Type I and Type II errors from Mahboub and Hancher.[13]

In this report, we applied Category II to the data set. The pay factor depends on sample size and the calculated PWL by Mahboub and Hancher [13] (See Appendix E). Figure 8 represents the determining pay factor by using Category II and varying number of sample size.


Figure 8 Plot of Relationship between PWL and Pay Factor by Category II

- OC curve

The OC curve plots the probability of acceptance against the true value or percent of defectives. The probability of acceptance is the parameter on the vertical axis whereas the percent defective is on the horizontal axis, according to Mahboub and Hancher.[13] Figure 9 shows the OC curve for any plan.


Figure 9. OC Curve from Mahboub and Hancher [13]

OC curves are tools widely accepted to manage risk analysis since they allow one to choose the number of samples to detect the particular probability, per Montgomery.[6] In general, the payment adjustment is related to $\alpha$ and $\beta$ risks. An alternative method for acceptance is to consider the payment performance as mentioned in Mahboub and Hancher [13] and shown in Figure 10.


Figure 10. The Payment Curve from Mahboub and Hancher [13]
In the present method we chose the Kentucky OC curve, as in Mahboub and Hancher.[13] The table below and Figure 11 show the relationship between the PWL and the pay factor. It is clear that a higher PWL would result in better pay factors.

Table 6: Relationship Between PWL and Pay Factor

| Lot Strength PWL <br> $(\%)$ | Seller's Risk for <br> rejecting the lot (\%) | Pay factor $^{*}$ |
| :--- | :--- | :--- |
| 100 | 0 | 102.5 |
| 95 | 5.3 | 100 |
| 90 | 15.2 | 97.5 |
| 85 | 27.1 | 95 |
| 80 | 40.5 | 92 |
| 75 | 51.1 | 90 |
| 70 | 62.0 | 87.5 |
| 65 | 70.5 | 85 |
| 60 | 78.2 | 82.5 |
| 55 | 83.5 | 80 |
| 50 | 88.5 | 77.5 |
| 45 | 92.6 | 75 |
| 40 | 94.9 | 72.5 |
| 35 | 97.1 | 70 |
| 30 | 98.3 | 67.5 |
| 25 | 99 | 65 |
| 20 | 99.1 | 62.5 |

*Assuming a sample lot PWL of a given lot is approximately equal to the population lot PWL


Figure 11. Plot of the Relationship between PWL and Pay Factor by Kentucky OC curve

### 3.2 Current ADOT Pay Factor Determination

The pay factor, according to the ADOT method, is calculated from the average of two compressive strength samples representing a finite volume of concrete defined as a lot. Normally the volume of concrete corresponds to approximately 100 cubic yards. The strength result is the percentage of compressive strength as a function of the required and/or specified strength. The present ADOT method does not penalize or reward the various ready mix suppliers in accordance to the statistics of the sampled data. The current technique is primarily focused on meeting the minimum specified level.

The ADOT method is neither based on statistical methodology nor does it take into account the variations that take place in normal operating conditions. Therefore, a sample may be slightly above the required level, and that sample will be considered acceptable although a large proportion of that population may actually fall below the specified strength level from a statistical point of view. In conclusion, when the mistaken sample was chosen, it cannot represent the true strength of cement. This misrepresented strength results in an invalid payment determination. The adjustment in contract for the ADOT method is shown as follows:

Table 7: Adjustment in Contract for ADOT Method

| Strength result (\% of $\mathrm{F}_{\mathrm{c}}$ ) | Reduction in Contract Unit Price (\%) |
| :--- | :--- |
| 100 or More | 0 |
| $98-99$ | 5 |
| $96-97$ | 10 |
| 95 | 15 |
| Less than $95^{*}$ | 45 |
| * If allowed to remain in place |  |

To check the sensitivity of the strength, the round-off numbers are applied to the boundary values. The table below shows the new adjustment in contract.

Table 8: Sensitivity of Adjustment in Contract for ADOT Method

| Strength result (\% of $\mathrm{F}^{\prime} \mathrm{c}$ ) | Reduction in Contract <br> Unit Price (\%) |
| :--- | :--- |
| 99.5 or more | 0 |
| $97.5-99.5$ | 5 |
| $95.5-97.5$ | 10 |
| $94.5-95.5$ | 15 |
| Less than $94.5^{*}$ | 45 |
| * If allowed to remain in place |  |

### 3.3 Proposed ADOT Pay Factor Determination

This method is an improvement over the old ADOT method. It applies the same concept, but also depends on the level of required compressive strength. The adjustment in contract for strength is shown as follows:

Table 9: Adjustment in Contract for New ADOT Method

| Adjustment in Contract Unit Price For Compressive Strength of Class S and Class B Concrete |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
| 3000 and Below |  | 3000 and 4000 |  | 4000 and Above |  |
| Percent of Specified 28-Day Compressive Strength Attained, to the Nearest One Percent | Percent Reduction in Contract Unit Price (See Note 1) | Percent of Specified 28Day <br> Compressive Strength Attained, to the Nearest One Percent | Percent <br> Reduction in Contract Unit Price (See Note 1) | Percent of Specified 28Day <br> Compressive Strength Attained, to the Nearest One Percent | Percent <br> Reduction in Contract Unit Price (See Note 1) |
| 100 or More | 0 | 100 or More | 0 | 100 or More | 0 |
| 99 | 1 | 99 | 1 | 99 | 1 |
| 98 | 2 | 98 | 2 | 98 | 2 |
| 97 | 3 | 97 | 3 | 97 | 3 |
| 96 | 4 | 96 | 4 | 96 | 4 |
| 95 | 5 | 95 | 5 | 95 | 5 |
| 94 | 6 | 94 | 6 | 94 | 30 |
| 93 | 7 | 93 | 7 | 93 | 30 |
| 92 | 8 | 92 | 8 | 92 | 30 |
| 91 | 9 | 91 | 9 | 91 | 30 |
| 90 | 10 | 90 | 10 | 90 | 30 |
| 89 | 11 | 89 | 30 | 89 | 30 |
| 88 | 12 | 88 | 30 | 88 | 30 |
| 87 | 13 | 87 | 30 | 87 | 30 |
| 86 | 14 | 86 | 30 | 86 | 30 |
| 85 | 15 | 85 | 30 | 85 | 30 |
| Less than 85 | $\begin{aligned} & \hline 30 \\ & \text { (See Note 2) } \end{aligned}$ | Less than 90 | $\begin{array}{\|l} \hline 30 \\ \text { (See Note 2) } \end{array}$ | Less than 95 | $\begin{aligned} & \hline 30 \\ & \text { (See Note 2) } \end{aligned}$ |

Note1: For items measured and paid for by the cubic yard, the reduction shall not exceed $\$ 150$ per cubic yard Note2: If allowed to remain in place.

It is possible to write the simple linear regression for calculating the new ADOT penalty by

$$
P= \begin{cases}100 & , x>1 \\ x & , x \geq \beta \\ 70 & , x<\beta\end{cases}
$$

where $\mathrm{P}=$ penalty, and $x=\frac{\text { strength required }}{\text { specified strength }}$

Table 10: The Value of $\beta$

| Strength | $\beta$ |
| :--- | :--- |
| 3000 and Below | 85 |
| 3000 to 4000 | 90 |
| 4000 and Above | 95 |

Figure 12 below shows the plot of percent reduction comparing the table to computations from two different equations.


Figure 12. Comparison of the present ADOT Pay Factor equation (shown in black) and the proposed method which is dependant on the concrete strength class.

### 3.4 California Department of Transportation method

The California Department of Transportation (Caltrans) method is based on the average percent of strength of two cylinders by removing the improper one from the samples due to any evidence of inappropriate sampling, molding, or testing. The test cylinder will be molded, cured, and tested in conformance with the requirements of the California Test. The assumptions in the estimation for the Caltrans penalty are: Lot size $=100$ cubic yards with 4 samples for each lot size. Unit cost $=\$ 150$ per cubic yard. The penalty is calculated by the cost per cubic yard as shown in Table 11.

Table 11: Penalty Calculated by the Cost per Cubic Yard

| Strength result (\% of F'c) | Penalty |
| :--- | :--- |
| $95-100$ | $\$ 10.70 / \mathrm{cy}$ |
| $85-94$ | $\$ 15.29 /$ cy |
| $<85$ | Reject |

Note: No single test if the sample is more than 327 cy

## III. Discussion of Results

## 1. Comparing two different methods for the PWL based analysis of the FHWA method

The results are shown for three different scenarios (Series 1, 2, and 3). The acceptable quality level with Category II is more generous than the Kentucky OC curve. The starting point for $100 \%$ payment for the first method, the minimum required $\mathrm{PWL}=65$ while the required minimum PWL $=95$ for the second method. An additional constraint is the value of the standard deviation. For the purpose of analysis, if the standard deviation is zero, then the appropriate value (to avoid a divide by zero error) of the standard deviation is assumed to be 0.000001 . In addition, using the acceptable quality level with Category II does not provide the bonus or award. The positive penalty represents the bonus/award or the amount that the supplier can potentially accumulate due to consistently aboveaverage strength values. In contrast, the negative penalty means the loss of payment since the strength of concrete is lower than the minimum required level. Zero penalties correspond to the full amount of payment.

To simplify the problem, some assumptions are applied to the penalty calculation for the rejected sublot: Lot size $=100$ cubic yards and unit cost $=\$ 150$ per cubic yard. Then the estimation of penalty for each unit in a rejected sublot is around $\$ 15,000$. For the calculation of penalty or bonus, the lower limit is set to be the design strength ( $\mathrm{F}^{\prime}{ }_{\mathrm{c}}$ ) and the upper limit is set to an arbitrary value such as $10,000 \mathrm{psi}$ to make sure it would be higher than all the design strengths. The penalties calculated from the FHWA method are presented in the following tables for Series 1, 2, and 3 separately.

Table 12: Series 1.
The FHWA Penalty for both Kentucky OC Curve and Category II Pay Factor Methods.

| Project | TRACs <br> number | Supplier | Required <br> strength | FHWA with <br> Kentucky OC, \$ | FHWA with Pay <br> factor category II, \$ |
| :--- | :--- | :--- | :--- | :--- | :--- |
| 1 | H576801 | Rinker | 4500 | 10,875 | 0 |
| 2 | H552501 | Sunshine Concrete | 3000 | $1,610.6$ | 0 |
| 3 | H407601 | Rinker | 3500 | 2,250 | 0 |
| 4 |  | Rinker material | 4000 | 3,000 | 0 |
| 5 | H416001C | Cambell Redi-mix | 2500 B | 11,625 | 0 |
| 6 |  |  | 3500 S | 7,529 | 0 |
| 7 | H319003C | McNeil Const. Co. | 4000 | $5,398.9$ | 0 |
| 8 | H319003C | McNeil Const. | 4000 | 5,212 | 0 |
| 9 | H313401C | McNeil Const. | 4000 | 13,226 | 0 |

Note: If any lot is rejected, the total penalty is computed as the cost of the lot.

Table 13: Series 2.
The Penalty from both the Kentucky OC and the Category II Methods

| No | Supplier | Required <br> strength | FHWA with <br> Kentucky OC,\$ | FHWA with Pay factor <br> category II,\$ |
| :--- | :--- | :--- | :--- | :--- |
| A11 | Chandler Ready Mix | 3000 | 2,625 | 0 |
| A13 |  | 2500 | 4,125 | 0 |
| A21 |  | 4000 | $-4,522.7$ | 0 |
| B11 | Rinker | 3500 | 7,125 | 0 |
| B12 |  | 4000 | 2,250 | 0 |
| B13 |  | 4500 | 7,875 | 0 |
| B21 |  | 3000 | 3,000 | 0 |
| B22 |  | 3500 | $-4,628.4$ | 0 |
| C11 | Arizona Materials | 4500 | 23,900 | 0 |
| C12 |  | 2500 | 1,875 | 0 |
| C13 |  | 4000 | $-123,230$ | $-120,000$ |
| C21 |  | 3000 | 6,000 | 0 |
| C22 |  | 3000 | 7,500 | 0 |
| C23 |  | 3000 | 1,875 | 0 |
| D12 | Hanson Aggregates | 4000 | $-4,183.7$ | 0 |
| of AZ |  | 3500 | $6,402.4$ | 0 |
| D13 |  | 4000 | 9,000 | 0 |
| D21 |  | 4000 | 313.8 | 0 |
| D23 |  | 5000 | 12,375 | 0 |
| E11 | TPAC | 5500 | 4,125 | 0 |
| E12 |  | 5500 | 7,875 | 0 |
| E13 |  | 4500 | 9,750 | 0 |
| E21 |  | 5000 | 21,750 | 0 |
| E22 |  | 6000 | -228 | 0 |
| E23 |  |  | 0 |  |

Note: If any lot is rejected, the total penalty is computed as the cost of the lot.
The sensitivity of the specification to the penalty is investigated in the next step. In addition, the table above clearly shows that if there was a PWL-based method in place, then many of these problematic cases could have been identified during the construction phase. One observation is that the huge penalties in project E come from many rejected sublots. When the FHWA method is applied by converting the Q-value to the PWL, either $\mathrm{q}_{1}$ or $\mathrm{q}_{\mathrm{u}}$ become 100 and 0 . Finally, PWL is 0 and this lot size will be rejected.

To clearly understand the behavior of the PWL, the category II method was tested by varying the specification limits. Focusing on project E, the table below compares the FHWA with LSL $=$ required strength and USL $=10,000$ psi, with LSL and USL within $\pm 2$ sigma and $\pm 6$ sigma respectively, based on overall data. The results are different for these three sets of analyses. Some cases indicate the rejected sublot whereas the other criteria do not show the rejected sublot. This means that setting the USL and LSL too tight results in rejecting the sublot. The alternative to solving this problem is using the LSL as the required strength and setting the USL at a high value such as $10,000 \mathrm{psi}$ or more.

Table 14: Pay Factor in the FHWA Method calculated using different LSL and USL

| No | Supplier | Plant | Required <br> strength | FHWA penalty with <br> LSL = required <br> strength and USL $=$ <br> 10,000 | FHWA penalty <br> with LSL and <br> USL $=$ CL $\pm 6 \mathrm{~s}$ <br> overall $\sigma$ | FHWA penalty <br> with LSL and <br> USL $=$ CL $\pm 2 \mathrm{~s}$ <br> overall $\sigma$ |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| E11 | TPAC | PHX | 5000 | 0 | 0 | $-495,000$ |
| E12 |  |  | 5500 | 0 | 0 | $-165,000$ |
| E13 |  |  | 5500 | 0 | $-60,000$ | $-315,000$ |
| E21 |  | TUCSON | 4500 | 0 | 0 | $-390,000$ |
| E22 |  |  | 5000 | 0 | $-870,000$ |  |
| E23 |  |  | 6000 | 0 | $-65,106$ |  |

Note: If any lot is rejected, the total penalty is computed as the cost of the lot.

Table 15: Series 3. The Results for both Methods.

|  | Supplier | Required <br> strength, psi | FHWA with <br> Kentucky OC | FHWA with Pay <br> factor category II |
| :--- | :--- | :--- | :--- | :--- |
| 1 | Wilson Wash | 4500 | $-77,420$ | $-62,521$ |
| 2 | Sandy Blevens | 4500 | $-8,573.4$ | $-1,743.9$ |
| 3 | Quail Springs | 4500 | $-14,823$ | $-3,020.9$ |
| 4 | Poison | 4500 | $-6,151.2$ | 0 |
| 5 | Deveore | 4500 | $-4,891.2$ | 0 |
| 6 | Apprentice | 4500 | $-1,545.9$ | 0 |

Note 1: If any lot is rejected, the total penalty is computed as the cost of the lot.


Figure 13 Comparison of two methods (FHWA PWL and Kentucky DOT) penalties for all series.

Figure 13 implies that the FHWA PWL method calculated by the Kentucky OC curve is more supplier friendly as compared to FHWA Category II. These two methods show the different direction in some cases. Finally, Table 13 in Series 2 illustrates that many problematic cases could be identified when the PWL based method is applied.

## 2. Sensitivity analysis of the PWL and the Q-value for FHWA method

To find the PWL, the Q-value is calculated and estimated from the table by a Specification Conformity Analysis. Subsequently, the $P_{U}$ and $P_{L}$ values are computed based on the value of Q and will lead to the estimation of the PWL. The Q -value is variable and sensitive to the PWL depending on the sample size $(\mathrm{n}=3$ to 10$)$. The tolerance value ( $\pm 0.25$ and $\pm 0.50$ ) is respectively added to the Q -value and to the PWL table. Figure 14 represents the relationship between the Q-value and the PWL. Note that when the Q -value is sufficiently low, one cannot reduce it further such that negative values are obtained. In order to circumvent the problem, both the $\mathrm{P}_{\mathrm{U}}$ and $\mathrm{P}_{\mathrm{L}}$ values correspond to 100 minus the table value for $\mathrm{P}_{\mathrm{U}}$ and $\mathrm{P}_{\mathrm{L}}$.


Figure 14 Plot of Relationship between Q-value and PWL

For the FHWA method, each lot is assumed to have four sublots or four sample sizes (measured in cubic yards). To understand this behavior clearly, the sample size of four is explored by adding the small tolerance value $(+0.05,+0.10,+0.15$, and +0.2 ) to the Q value. The result is shown in Figure 15 and Figure 16. It is noted that in Table 16, the values of the lower limit and upper limit are set to be 2000 and 6000 psi respectively. If other limits (such as F', for the lower limit) were used, we could have seen different results. The details of the case numbers are presented in Appendix F.

Table 16: Pay Factors in FHWA Category II Method calculated using different Q's

| Case Number | Pay Factor with Category II (\$) |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
|  | Q+0 | Q+0.05 | $\mathrm{Q}+0.1$ | $\mathrm{Q}+0.15$ | $\mathrm{Q}+0.2$ |
| 1 | 0 | 0 | 0 | 0 | 0 |
| 2 | 0 | 0 | 0 | 0 | 0 |
| 3 | 0 | 0 | 0 | 0 | 0 |
| 4 | -726 | -1463 | -2289 | -2863 | -3789 |
| 5 | 0 | 0 | 0 | 0 | 0 |
| 6 | 0 | 0 | 0 | 0 | 0 |
| 7 | -3275 | -4337 | -4875 | -6468 | -61231 |
| 8 | 0 | 0 | 0 | 0 | 0 |
| 9 | 0 | 0 | 0 | 0 | 0 |
| 14 | 0 | 0 | 0 | 0 | 0 |
| 15 | 0 | 0 | 0 | 0 | 0 |
| 16 | 0 | 0 | 0 | 0 | 0 |
| 17 | 0 | 0 | 0 | 0 | 0 |
| 18 | 0 | 0 | 0 | 0 | 0 |
| 19 | -315000 | -315000 | -315000 | -315000 | -315000 |
| 20 | 0 | 0 | 0 | 0 | 0 |
| 21 | 0 | 0 | 0 | 0 | 0 |
| 22 | -3381 | -4520 | -6304 | -7697 | -9562 |
| 23 | 0 | 0 | 0 | 0 | 0 |
| 24 | 0 | 0 | 0 | 0 | 0 |
| 25 | 0 | 0 | 0 | 0 | 0 |
| 26 | 0 | 0 | 0 | 0 | 0 |
| 27 | 0 | 0 | 0 | 0 | -404 |
| 28 | 0 | 0 | 0 | 0 | 0 |
| 29 | 0 | 0 | 0 | 0 | 0 |
| 30 | 0 | 0 | 0 | 0 | 0 |
| 31 | 0 | 0 | 0 | 0 | 0 |
| 32 | -495000 | -495000 | -495000 | -495000 | -495000 |
| 33 | -165000 | -165000 | -165000 | -165000 | -165000 |
| 34 | -315000 | -315000 | -315000 | -315000 | -315000 |
| 35 | -390000 | -390000 | -390000 | -390000 | -390000 |
| 36 | -870000 | -870000 | -870000 | -870000 | -870000 |
| 37 | -165000 | -165000 | -165000 | -165000 | -165000 |
| 42 | 0 | 0 | 0 | 0 | 0 |
| 43 | -1505 | -2405 | -2905 | -4382 | -5873 |
| 44 | 0 | 0 | 0 | 0 | 0 |
| 45 | 0 | 0 | 0 | 0 | 0 |
| 46 | 0 | 0 | 0 | 0 | 0 |
| 47 | 0 | 0 | 0 | 0 | 0 |

Pay Factor with Category II


Figure 15 Plot of Pay Factor (Penalty) between Q-value and the PWL by Category II


Figure 16 Plot of Pay Factor (Penalty) between Q-value and PWL by the Kentucky OC Curve

Table 17: Pay Factors in the FHWA Kentucky OC Method calculated by using different Q's

| Case Number | Pay Factor with Kentucky OC Curve |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
|  | Q +0 | Q +0.05 | Q +0.1 | $\mathrm{Q}+0.15$ | $\mathrm{Q}+0.2$ |
| 1 | 8775 | 8410 | 8004 | 7576 | 7070 |
| 2 | 5233 | 5168 | 5102 | 5037 | 4913 |
| 3 | 2250 | 2250 | 2250 | 2250 | 2250 |
| 4 | -12450 | -13422 | -14484 | -15537 | -16607 |
| 5 | 11625 | 11625 | 11625 | 11625 | 11625 |
| 6 | 7599 | 7378 | 7128 | 6878 | 6589 |
| 7 | -18797 | -20275 | -21764 | -23486 | -71368 |
| 8 | 34000 | 32215 | 30251 | 27979 | 25557 |
| 9 | 15750 | 15750 | 15750 | 15750 | 15750 |
| 14 | 2625 | 2625 | 2625 | 2625 | 2625 |
| 15 | 4125 | 4125 | 4125 | 4125 | 4125 |
| 16 | 2250 | 2250 | 2250 | 2250 | 2250 |
| 17 | -249 | -1009 | -1811 | -2752 | -3686 |
| 18 | 2250 | 2250 | 2250 | 2250 | 2250 |
| 19 | -315000 | -315000 | -315000 | -315000 | -315000 |
| 20 | 3000 | 3000 | 3000 | 3000 | 3000 |
| 21 | 6750 | 6746 | 6681 | 6590 | 6492 |
| 22 | -10320 | -13628 | -17160 | -20892 | -24951 |
| 23 | 1875 | 1875 | 1875 | 1875 | 1875 |
| 24 | 10500 | 10500 | 10500 | 10500 | 10500 |
| 25 | 6000 | 6000 | 6000 | 5970 | 5905 |
| 26 | 6402 | 6107 | 5732 | 5321 | 4884 |
| 27 | -6929 | -7429 | -7929 | -8429 | -9029 |
| 28 | 2250 | 2250 | 2250 | 2250 | 2250 |
| 29 | 7500 | 7500 | 7440 | 7375 | 7310 |
| 30 | 8844 | 8730 | 8549 | 8286 | 8005 |
| 31 | 5362 | 5143 | 4893 | 4643 | 4356 |
| 32 | -495000 | -495000 | -495000 | -495000 | -495000 |
| 33 | -165000 | -165000 | -165000 | -165000 | -165000 |
| 34 | -315000 | -315000 | -315000 | -315000 | -315000 |
| 35 | -390000 | -390000 | -390000 | -390000 | -390000 |
| 36 | -870000 | -870000 | -870000 | -870000 | -870000 |
| 37 | -165000 | -165000 | -165000 | -165000 | -165000 |
| 42 | 5250 | 5250 | 5250 | 5250 | 5250 |
| 43 | -18532 | -20208 | -21789 | -23706 | -25465 |
| 44 | 5625 | 5625 | 5625 | 5625 | 5625 |
| 45 | 2423 | 2358 | 2251 | 2101 | 1933 |
| 46 | -530 | -1007 | -1568 | -2202 | -2908 |
| 47 | 4125 | 4125 | 4125 | 4125 | 4125 |

## 3. Comparing Current and New ADOT methods

Table 18: Series 1. Comparison of Pay Factors for Current and New ADOT Methods

| TRAC <br> No | TRACs <br> number | Supplier | Total Cost, <br> $\$$ | Penalty <br> of New <br> Method | \% Penalty <br> of the <br> Total Cost | Penalty of <br> Current <br> Method | \% Penalty <br> of the <br> Total Cost |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| 1 | H576801 | Rinker | 435,000 | 0 | 0.0 | 0 | 0.0 |
| 2 | H552501 | Sunshine <br> concrete | 210,000 | -2250 | 1.1 | -6750 | 3.2 |
| 3 | H407601 | Rinker | 90,000 | 0 | 0.0 | 0 | 0.0 |
| 4 |  | Rinker <br> material | 120,000 | 0 | 0.0 | 0 | 0.0 |
| 5 | H416001C | Cambell <br> Redi-mix | 465,000 | 0 | 0.0 | 0 | 0.0 |
| 6 |  | 345,000 | 0 | 0.0 | 0 | 0.0 |  |
| 7 | H319003C | McNeil <br> Const. Co. | 345,000 | 0 | 0.0 | 0 | 0.0 |
| 8 |  | $2,085,000$ | 0 | 0.0 | 0 | 0.0 |  |
| 9 | H313401C | McNneil <br> Const. Co. | 630,000 | 0 | 0.0 | 0 | 0.0 |

Table 19: Series 2. Comparison of Pay Factors for Current and New ADOT methods

| Project <br> No | Name | Supplier | Total Cost | Penalty of New <br> ADOT <br> Method | \% Penalty of the Total Cost | Penalty of Current ADOT Method | \% penalty of the total cost |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| 1 | A11 | Chandler Ready Mix | 10,5000 | 0 | 0.0 | 0 | 0.0 |
| 2 | A13 |  | 165,000 | 0 | 0.0 | 0 | 0.0 |
| 3 | A21 |  | 750,000 | 0 | 0.0 | 0 | 0.0 |
| 4 | B11 | Rinker | 285,000 | 0 | 0.0 | 0 | 0.0 |
| 5 | B12 |  | 90,000 | 0 | 0.0 | 0 | 0.0 |
| 6 | B13 |  | 315,000 | 0 | 0.0 | 0 | 0.0 |
| 7 | B21 |  | 120,000 | 0 | 0.0 | 0 | 0.0 |
| 8 | B22 |  | 270,000 | -1500 | 0.6 | -6750 | 2.5 |
| 9 | C11 | Arizona Materials | 1,080,000 | -600 | 0.1 | -1500 | 0.1 |
| 10 | C12 |  | 75,000 | 0 | 0.0 | 0 | 0.0 |
| 11 | C13 |  | 420,000 | -4100 | 1.0 | -21750 | 5.2 |
| 12 | C21 |  | 240,000 | 0 | 0.0 | 0 | 0.0 |
| 13 | C22 |  | 300,000 | 0 | 0.0 | 0 | 0.0 |
| 14 | C23 |  | 7,5000 | 0 | 0.0 | 0 | 0.0 |
| 15 | D12 | Hanson <br> Aggregates of AZ | 90,000 | -150 | 0.2 | -750 | 0.8 |
| 16 | D13 |  | 300,000 | 0 | 0.0 | 0 | 0.0 |
| 17 | D21 |  | 360,000 | 0 | 0.0 | 0 | 0.0 |
| 18 | D23 |  | 255,000 | 0 | 0.0 | 0 | 0.0 |
| 19 | E11 | TPAC | 495,000 | 0 | 0.0 | 0 | 0.0 |
| 20 | E12 |  | 165,000 | 0 | 0.0 | 0 | 0.0 |
| 21 | E13 |  | 315,000 | 0 | 0.0 | 0 | 0.0 |
| 22 | E21 |  | 390,000 | 0 | 0.0 | 0 | 0.0 |
| 23 | E22 |  | 870,000 | 0 | 0.0 | 0 | 0.0 |
| 24 | E23 |  | 165,000 | -450 | 0.3 | -1500 | 0.9 |

Table 20: Series 3. Comparison of Pay Factors for Current and New ADOT Methods

| Bridge <br> Project | Supplier | Total <br> Cost | Penalty <br> of New <br> Method | \% Penalty <br> of the Total <br> Cost | Penalty of <br> Current <br> Method | \% penalty <br> of the total <br> cost |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| 1 | Wilson Wash | 210,000 | -10950 | 5.2 | -18750 | 8.9 |
| 2 | Sandy Blevens | 285,000 | -4500 | 1.6 | -6750 | 2.4 |
| 3 | Quail Springs | 225,000 | -5250 | 2.3 | -21750 | 9.7 |
| 4 | Poison | 105,000 | -4500 | 4.3 | -6750 | 6.4 |
| 5 | Deveore | 255,000 | -1200 | 0.5 | -16500 | 6.5 |
| 6 | Apprentice | 165,000 | -750 | 0.5 | -15000 | 9.1 |



Figure17 Penalty from both ADOT methods

The penalty of the two ADOT methods from all series is plotted in Figure17. A straight line relationship with a 45 degree angle and a zero intercept represents the same amount of penalty of both ADOT methods. A slope steeper than 1:1 value means that the penalty from the proposed ADOT method is higher than the current ADOT method. On the other hand, a slope flatter than 1:1 implies that the proposed ADOT penalty is less than the current ADOT penalty, which is the case here.

## 4. Exploring the Comparison of Four Different Methods

Applying these four methods, the penalty is calculated based on the following data: lot size $=100$ cubic yards and unit cost $=\$ 150$ per cubic yards. The sample is assumed to be four (each lot has four samples). Both sides of specification limits are selected. The upper specification is 6000 and the lower specification is 2000 . The results are shown in Table 21.

Table 21: Series 1. Comparison of Pay Factors for the different Methods

| Project | TRACS <br> number | Supplier | Required <br> strength | FHWA with Pay <br> Factor Category <br> II | Current <br> ADOT | New <br> ADOT | CA |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| 1 | H576801 | Rinker | 4500 | 0 | 0 | 0 | 0 |
| 2 | H552501 | Sunshine <br> Concrete | 3000 | 0 | -6750 | -2250 | -6116 |
| 3 | H407601 | Rinker | 3500 | 0 | 0 | 0 | 0 |
| 4 |  | Rinker <br> Material | 4000 | 0 | 0 | 0 | 0 |
| 5 | H416001C | Cambell <br> Redi-mix | 2500 B | 0 | 0 | 0 | 0 |
| 6 |  | 3500 S | 0 | 0 | 0 | 0 |  |
| 7 | H319003C | McNeil <br> Const. Co. | 4000 | 0 | 0 | 0 | 0 |
| 8 | H313401C | McNeil <br> Const. Co. | 4000 | 0 | 0 | 0 | 0 |
| 9 | 4000 | 0 | 0 | 0 | 0 |  |  |

Note: If any lot is rejected, the total penalty is computed as the cost of the lot.

Table 22: Series 2. Comparison of Pay Factors for different Methods

| No | Supplier | Require <br> strength | FHWA with Pay <br> factor category II | Current <br> ADOT | New <br> ADOT | CA |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| A11 | Chandler Ready Mix | 3000 | 0 | 0 | 0 | 0 |
| A13 |  | 2500 | 0 | 0 | 0 | 0 |
| A21 |  | 4000 | 0 | 0 | 0 | 0 |
| B11 | Rinker | 3500 | 0 | 0 | 0 | 0 |
| B12 |  | 4000 | 0 | 0 | 0 | 0 |
| B13 |  | 4500 | 0 | 0 | 0 | 0 |
| B21 |  | 3000 | 0 | 0 | 0 | 0 |
| B22 |  | 3500 | 0 | -6750 | -1500 | -6116 |
| C11 | Arizona Materials | 4500 | 0 | -1500 | -600 | -4280 |
| C12 |  | 2500 | 0 | 0 | 0 | 0 |
| C13 |  | 4000 | -120000 | -21750 | -4100 | -20792 |
| C21 |  | 3000 | 0 | 0 | 0 | 0 |
| C22 |  | 3000 | 0 | 0 | 0 | 0 |
| C23 |  | 3000 | 0 | 0 | 0 | 0 |
| D12 | Hanson Aggregates | 4000 | 0 | -750 | -150 | -4280 |
| of AZ |  | 3500 | 0 | 0 | 0 | 0 |
| D13 |  | 4000 | 0 | 0 | 0 | 0 |
| D21 |  | 4000 | 0 | 0 | 0 | 0 |
| D23 |  | 5000 | 0 | 0 | 0 | 0 |
| E11 | TPAC | 5500 | 0 | 0 | 0 | 0 |
| E12 |  | 5500 | 0 | 0 | 0 | 0 |
| E13 |  | 4500 | 0 | 0 | 0 | 0 |
| E21 |  | 5000 | 0 | 0 | 0 | 0 |
| E22 |  | 6000 | 0 | -1500 | -450 | -4280 |
| E23 |  |  | 0 | 0 | 0 |  |
|  | Note: If any | P100 | 0 | 0 |  |  |

Note: If any lot is rejected, the total penalty is computed as the cost of the lot.

Table 23: Series 3. Comparison of Pay Factors for different Methods

|  | Supplier | Require <br> strength | FHWA with Pay <br> factor category II | Current <br> ADOT | New ADOT | CA |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| 1 | Wilson Wash | 4500 | -62521 | -18750 | -10950 | -29352 |
| 2 | Sandy Blevens | 4500 | -1743.9 | -6750 | -4500 | -6116 |
| 3 | Quail Springs | 4500 | -3020.9 | -21750 | -5250 | -10396 |
| 4 | Poison | 4500 | 0 | -6750 | -4500 | -6116 |
| 5 | Deveore | 4500 | 0 | -16500 | -1200 | -8560 |
| 6 | Apprentice | 4500 | 0 | -15000 | -750 | -4280 |

Note: If any lot is rejected, the total penalty is computed as the cost of the lot.


Figure 18 Plot Comparing four methods for all series

Figure 18 presents that the FHWA penalty method is signifigant in Series 2. This can be attributed to the chosen specification limits ( $\mathrm{USL}=10,000 \mathrm{psi}$ and $\mathrm{LSL}=\mathrm{F}^{\prime}{ }_{\mathrm{c}}$ ). Other methods look similar and show the same direction. Considering the project cost, the percentages of the total penalty for all four methods are low compared to the total material cost of each series. It can be observed that the penalty given by FHWA is higher than the other methods; however, the new ADOT method gives the lowest penalties. The values in Table 24 show the summation of all the data in each series.

Table 24: All Series. Comparison of Pay Factors for different Methods

| Case | Total Cost <br> of All the <br> Lots in the <br> Series, \$ | Total <br> Penalty <br> from <br> FHWA, \$ | Total <br> Penalty <br> from <br> FHWA, <br> $\%$ | Total <br> Penalty <br> from <br> New <br> ADOT, \$ | Total <br> Penalty <br> from <br> New <br> ADOT, \% | Total <br> Penalty <br> from <br> Current <br> ADOT, \$ | Total <br> Penalty <br> from <br> Current <br> ADOT, \% | Total <br> Penalty <br> from <br> CA, \$ | Total <br> Penalt <br> f from <br> CA, \% |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |
|  | $4,725,000$ | 0 | 0 | $-2,250$ | 0.05 | $-6,750$ | 0.14 | $-6,116$ | 0.13 |
|  | $7,620,000$ | $-120,000$ | 1.57 | $-6,800$ | 0.09 | $-32,250$ | 0.42 | $-39,748$ | 0.52 |
| Series 3 | $1,245,000$ | $-67,285$ | 5.40 | $-27,150$ | 2.18 | $-85,500$ | 6.87 | $-64,820$ | 5.21 |
| Total | $13,590,000$ | $-187,285$ | 1.38 | $-36,200$ | 0.27 | $-124,500$ | 0.92 | $-110,684$ | 0.81 |

## IV. Conclusions

- A majority of the samples evaluated meet or exceed the strength requirements specified for the ADOT jobs. The overall process is satisfied, except for Series 3.
- There are excessive variations in the trends of the data which do not correlate with the specified strength of the concrete and the areas of its applications. There are potential opportunities to reduce the average and standard deviations of the strength data. Reduction of the mean strength values delivered at the expense of better quality control will translate into significant raw materials savings.
- The FHWA-PWL penalty is based on many factors such as the Q-value table and the specification's upper and lower limit. These factors lead to the rejection of a sublot. This means that the FHWA approach should be employed carefully because of the sensitivity of the method.
- In cases where an entire sublot is rejected, certain assumptions were applied to the penalty calculation. For example, lot size $=100$ cubic yards and unit cost $=\$ 150$ per cubic yard. Then the estimation of penalty for each rejected sublot is around $\$ 15,000$. Such calculations may affect the comparison of the various methodologies used.
- For the TRACs number samples (Series 1), the FHWA-PWL method with Pay Factor Category II resulted in two potential penalties, whereas there was only one potential penalty for the other methods. Nevertheless, the total penalties for all four methods are quite low when the total costs are considered ( $\$ 0, \$ 6,750$, $\$ 2,250$ and $\$ 6116$ for FHWA with Pay Factor Category II, current ADOT, new ADOT, and CA methods, respectively).
- In the case of the randomly selected samples (Series 2), the FHWA method with Pay Factor Category II gave a $1.57 \%$ penalty of the total costs, the current ADOT and CA methods gave an average of $0.45 \%$ penalty, while the new ADOT method gave the lowest penalty which was $0.09 \%$ of the total costs.
- In the six bridge cases (Series 3), all cases had lots rejected by the current ADOT, new ADOT, and CA methods, although the FHWA method with Pay Factor Category II showed only three cases that were penalized. The penalties given by FHWA, current ADOT, and CA methods were similar and averaged $6 \%$ of the total costs. The penalty from the new ADOT method was the lowest and resulted in a $2.2 \%$ penalty.
- The estimation of pay factor by two different methods shows that they are quite similar. The PWL method which was computed by the Kentucky OC curve was generally friendlier to the supplier compared to the Category II method. In addition, the Kentucky OC curve provided an award or bonus to the supplier whereas there was no extra payment by using Category II. On the other hand, the
required PWL strength for the Category II method is $65 \%$, but $95 \%$ to get the full payment by the Kentucky OC curve.
- The average cost comparisons between the current and proposed ADOT equations indicate that the approximate penalties in the new ADOT method are in the range of $26 \%$ of the present penalty levels.
- Comparing the current and proposed ADOT methods, the penalties were assessed in all six bridge cases supplied by the ADOT/ARPA committee. The average level of penalty was in the range of $6.9 \%$. This level of penalty could be reduced to $2.2 \%$ upon adoption of the new ADOT cost factor policy.
- The total amount of penalties in comparison to the cost of the projects is insignificant. Out of total materials cost of $\$ 13,590,000$ for the projects studied, the total penalties are $\$ 124,000$ ( $0.91 \%$ of total) and $\$ 36,200(0.26 \%$ of total) depending on the use of present or proposed ADOT formulas, respectively.
- The FHWA method presents a higher penalty than the other methods ( $1.38 \%$ of the total cost of the projects) whereas the CA method shows a lower penalty $(0.81 \%)$. The huge penalty is related to the rejection of several sublots. The penalties are less than $1 \%$ for current ADOT, proposed ADOT, and CA methods.
- The proposed ADOT method seems to be friendly to the supplier and provide a stable penalty. The $0.27 \%$ penalty is slightly lower than the current ADOT method ( $0.92 \%$ ). Applying these methods with quality control criteria would help in enhancing concrete on jobsites with less out-of-control strength and thus obtaining required strength and quality with less materials consumption.
APPENDIX A (Probability plots) (Note that the labeling for different series in the following pages are in Appendix F)

Figure A1 Probability Plot for Series 1

Figure A5 Probability plot of Project D: D12, D13, D21 and D23


## APPENDIX B (X bar-S charts for Series 1)

Note: in the following pages, the top graph shows the X bar chart, which includes the current ADOT criterion setting $\mathrm{F}^{\prime}$ c as the lower limit (LCL) equal to the X bar. The bottom graph shows the S charts for modified ACI-214 second criterion assuming $F^{\prime}{ }_{c r}=F^{\prime}{ }_{c}+\frac{S . Z}{\sqrt{n}}$ is the mean $(\bar{X})$.

Figure B1. TRACs number: H576801C


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B2. TRACs number: H552501C


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B3. TRACs number: H407601C from plant 55041 and mix specification 14016


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B4. TRACs number: H407601C from plant 60141and mix specification 1332439.


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B5. TRACs number: H416001C from the Lake Havasu plant and mix specification 2500 S


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B6. TRACs number: H416001C from the Lake Havasu plant and mix specification 3500 S


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B7. TRACs number: H319003C from the Tucson plant and mix specification0203-10


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B8. TRACs number: H319003C from the Tucson plant and mix specification0203-15


Tests performed with unequal sample sizes

SChart


Tests performed with unequal sample sizes

Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure B9. TRACs number: H313401C


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

## APPENDIX C (X bar-S charts for Series 2)

Figure C1. Project A11



Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C2. Project A13


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C3. Project A21


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C4. Project B11


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C5. Project B12


Tests perform ed with unequal sample sizes

SChart


Tests performed with unequal sample sizes

Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C6. Project B13


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C7. Project B21


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C8. Project B22



Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C9. Project C11



Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C10. Project C12


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C11. Project C13


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C12. Project C21


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C13. Project C22


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C14. Project C23


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C15. Project D12


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C16. Project D13



Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C17. Project D21


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C18. Project D23


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C19. Project E11


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C20. Project E12


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C21. Project E13


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C22. Project E21


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C23. Project E22


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure C24. Project E23


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

## APPENDIX D (X bar-S charts for Series 3)

Figure D1. Wilson Wash.


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure D2. Sandy Blevens


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure D3. Quail Springs


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure D4. Poison


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure D5. Deveore


SChart


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

Figure D6. Apprentice


Sample mean and standard deviations represent statistical measures of compressive strength in psi.

## APPENDIX E (Pay Factors)

| Pay Factor | Minimum Required PWL for a Given Pay Factor |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Category II | $\mathrm{n}=3$ | $\mathrm{n}=4$ | $\mathrm{n}=5$ | $\mathrm{n}=6$ | $\mathrm{n}=7$ | $\mathrm{n}=8$ | $\mathrm{n}=9$ | $\mathrm{n}=10$ to $\mathrm{n}=11$ |
| 100 | 59 | 65 | 68 | 71 | 72 | 74 | 75 | 76 |
| 99 | 58 | 63 | 67 | 69 | 71 | 72 | 73 | 75 |
| 98 | 57 | 62 | 65 | 67 | 69 | 71 | 72 | 73 |
| 97 | 55 | 60 | 63 | 66 | 68 | 69 | 70 | 72 |
| 96 | 54 | 59 | 62 | 64 | 66 | 68 | 69 | 70 |
| 95 | 53 | 57 | 61 | 63 | 65 | 66 | 67 | 69 |
| 94 | 51 | 56 | 59 | 62 | 63 | 65 | 66 | 68 |
| 93 | 50 | 55 | 58 | 60 | 62 | 64 | 65 | 66 |
| 92 | 49 | 53 | 57 | 59 | 61 | 62 | 63 | 65 |
| 91 | 48 | 52 | 55 | 58 | 59 | 61 | 62 | 64 |
| 90 | 46 | 51 | 54 | 56 | 58 | 60 | 61 | 62 |
| 89 | 45 | 49 | 53 | 55 | 57 | 58 | 60 | 61 |
| 88 | 44 | 48 | 51 | 54 | 56 | 57 | 58 | 60 |
| 87 | 43 | 47 | 50 | 53 | 54 | 56 | 57 | 59 |
| 86 | 41 | 46 | 49 | 51 | 53 | 55 | 56 | 58 |
| 85 | 40 | 44 | 48 | 50 | 52 | 54 | 55 | 56 |
| 84 | 39 | 43 | 46 | 49 | 51 | 52 | 54 | 55 |
| 83 | 38 | 42 | 45 | 48 | 50 | 51 | 52 | 54 |
| 82 | 36 | 41 | 44 | 46 | 48 | 50 | 51 | 53 |
| 81 | 35 | 39 | 43 | 45 | 47 | 49 | 50 | 52 |
| 80 | 33 | 38 | 42 | 44 | 46 | 48 | 49 | 51 |
| 79 | 32 | 37 | 40 | 43 | 45 | 47 | 48 | 49 |
| 78 | 30 | 36 | 39 | 42 | 44 | 45 | 47 | 48 |
| 77 | 28 | 34 | 38 | 41 | 43 | 44 | 46 | 47 |
| 76 | 27 | 33 | 37 | 39 | 42 | 43 | 45 | 46 |
| 75 | 35 | 32 | 36 | 38 | 40 | 42 | 43 | 45 |

## APPENDIX F (Data information)

| Series | No | Data Case |  |
| :---: | :---: | :---: | :---: |
| TRACSNo |  |  |  |
| 1 | 1 | 1 | H576801CR_Rinker_33341_1333115_4500_672h |
|  | 2 | 2 | H552501C_Sunshine_Kingman_S3000A_3000_672h |
|  | 3 | 3 | H407601C_Rinker_55041_14016_3500_672h |
|  | 4 | 4 | H407601C_RinkerMat_60141_1332439_4000_672h |
|  | 5 | 5 | H416001CR_CAMPBELL_LAKEHAVASU_2500S_2500_672h |
|  | 6 | 6 | H416001CR_CAMPBELL_LAKEHAVASU_3500S_3500_672h |
|  | 7 | 7 | H319003C_McNeil_Constco_TUCSON_0203-10_4000_672h |
|  | 8 | 8 | H319003C_McNeil_Constco_TUCSON_0203-15_4000_672h |
|  | 9 | 9 | H313401CR_McNeil_ConstCo_TUCSON_9710-3_4000_672h |
| Project |  |  |  |
| 2 | 14 | 1 | A11_ChandlerReady_3_130624_3000_672h |
|  | 15 | 2 | A13_ChandlerReady_3_4425_2500_672h |
|  | 16 | 3 | A21_ChandlerReady_1_140204_4000_672h |
|  | 17 | 4 | B11_Rinker_11241_14030_3500_672h |
|  | 18 | 5 | B12_Rinker_11241_1333066_4000_672h |
|  | 19 | 6 | B13_Rinker_11241_14504_4500_672h |
|  | 20 | 7 | B21_Rinker_33341_14016_3000_672h |
|  | 21 | 8 | B22_Rinker_33341_1333004_3500_672h |
|  | 22 | 9 | C11_AZMat_ValVista_15030_4500_672h |
|  | 23 | 10 | C12_AZMat_ValVista_13008_2500_672h |
|  | 24 | 11 | C13_AZMat_ValVista_14030A_4000_672h |
|  | 25 | 12 | C21_AZMat_QueenCreek_13008_3000_672h |
|  | 26 | 13 | C22_AZMat_QueenCreek_14030_3000_672h |
|  | 27 | 14 | C23_AZMat_QueenCreek_13530_3000_672h |
|  | 28 | 15 | D12_HansonAggreofAZ_ValleyPlant_C40501_4000_672h |
|  | 29 | 16 | D13_HansonAggreofAZ_ValleyPlant_C35501A_3500_672h |
|  | 30 | 17 | D21_HansonAggreofAZ_40_D402521_4000_672h |
|  | 31 | 18 | D23_HansonAggreofAZ_40_840913_4000_672h |
|  | 32 | 19 | E11_TPAC_PHX_447_5000_672h |
|  | 33 | 20 | E12_TPAC_PHX_444_5500_672h |
|  | 34 | 21 | E13_TPAC_PHX_448M_5500_672h |
|  | 35 | 22 | E21_TPAC_TUCSON_2245_4500_672h |
|  | 36 | 23 | E22_TPAC_TUCSON_2248_5000_672h |
|  | 37 | 24 | E23_TPAC_TUCSON_2250_6000_672h |
| Bridge |  |  |  |
| 3 | 42 | 1 | Apprentice_S4500 |
|  | 43 | 2 | Deveore_S4500 |
|  | 44 | 3 | Poison_S4500 |
|  | 45 | 4 | Quail_springs_S4500 |
|  | 46 | 5 | sandy_blevens_s4500 |
|  | 47 | 6 | wilson wash S4500 |

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