

1 **SENSITIVITY ANALYSIS OF PERFORMANCE METRICS TO DIFFERENT**
2 **PARAMETERS IN PAVEMENT MANAGEMENT SYSTEM**

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1 ABSTRACT

2 A pavement management system is a useful tool for departments of transportation to address the
3 problems of limited budget and aging infrastructures. Previous research focuses mainly on the
4 budget allocation process, trying to improve the optimization algorithms and consider the
5 uncertainty of predictions for pavement deterioration. In any given pavement management
6 system, there are usually many parameters. However, analysis has not been performed to
7 determine the influence of different parameters on the pavement network performance. In this
8 paper, the sensitivity of performance metrics to different parameters is explored based on the
9 interstate pavement network in the U.S. state of Virginia by a probabilistic allocation network
10 model developed at MIT. A statistical method is applied to conduct the sensitivity analysis. The
11 sensitivity of performance metrics to different parameters is decided by p values, and the relative
12 significance of different parameters is compared and ordered by z-score statistics.

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17 *Keywords:* Pavement management system, Sensitivity, Virginia

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1. INTRODUCTION

Limited budget has been a serious problem faced by transportation agencies for quite a long time. According to the Infrastructure Report Card by ASCE, the gap between available and required funding to improve pavement network condition through 2010 is about 1.6 trillion dollars (1). Meanwhile, the enactment of the Moving Ahead for Progress in the 21st Century (MAP-21) Act also requires that transportation agencies move towards performance oriented design. Hence, every state in the United States has been considering cost-effective ways to improve the performance of its pavement network. One promising approach is the pavement management system. It is broadly concerned with the evaluation of current conditions, prediction of the deterioration process and planning of maintenance, rehabilitation and reconstruction (MRR) actions for a segment or a pavement network (2).

Since its concept was first proposed in the 1960s, pavement management systems have witnessed tremendous developments (3). The earliest pavement management systems typically followed a top-down approach, where the pavement network was first segmented into a small set of homogeneous groups and subsequent subprocesses determined the MRR actions for individual projects (4, 5). Although computationally efficient, pavement specific information for individual segments, such as the material type and pavement structure, was omitted from the analysis. One well-known example of this approach is Arizona Department of Transportation Pavement Management System (6). Recent computational advances, however, have prompted researchers to increasingly follow a bottom-up approach to capture heterogeneity across a pavement network (7–10). It preserves the basic information of different segments, but at the same time it increases computational complexity and requires more computational resources. This approach has been adopted by some transportation agencies in the United States (11).

In a pavement management system, budget allocation is a key consideration. Essentially, it is an optimization process during which optimization methods, objectives, constraints, performance metrics and stochastic characteristics should be in consideration. The optimization methods include the prioritization method (12, 13); mathematical methods, such as linear (6, 14), nonlinear (15, 16), integer and dynamic programming (17, 18); heuristic methods, such as evolutionary algorithms (9), and genetic algorithms (8); and other methods, such as fuzzy logic systems (19). The choice among different methods is mainly based on the complexity of a given pavement network. Optimization objectives aim to either minimize costs (agency and/or user) or maximize network performance. The objective can be single or multiple (20, 21). Performance metrics are used to assess the condition of pavement segments, including international roughness index (IRI), remaining service life (RSL), pavement surface rating (PSR), combined condition index (CCI), and so on. Optimization constraints are usually related to available budget, labor (22), and performance threshold (21).

During the allocation process, an important consideration is the future uncertainty. Right now most papers only focus on the uncertainty of pavement deterioration via Markov chain (5, 6, 23). It models pavement degradation as a whole, and considers several states that represent the pavement conditions. The Markovian probability matrix is mainly constructed by using historical data. Another way is to add an error item in the deterioration prediction equation. Errors usually satisfy normal distribution with zero mean and the variance is obtained from the historical data (24). Besides the uncertainty of deterioration, the uncertainty of MRR cost variation, future budget, traffic volume and other factors should also be considered.

The scales of the pavement management systems proposed in current papers are relatively small. The number of segments in the network is usually less than 100, the analysis

1 period is less than 10 years and the number of MRR actions is less than 5 (25). It is necessary to
2 enlarge their scales to put them into practice.

3 Due to the gaps of existing pavement management systems, such as the aspects of
4 uncertainty and scale weaknesses, an MIT probabilistic allocation network model has been
5 proposed (24). It applies bottom-up approach and considers the heterogeneity of a pavement
6 network. It considers the uncertainty for both pavement deterioration and the cost variation of
7 MRR actions (26). Also, it can be used to analyze a pavement network containing thousands of
8 segments and the analysis period can be several decades. This model can provide project
9 managers and pavement engineers with some guidance for future MRR actions. It has been
10 successfully used to analyze the current condition for the Virginia pavement network system
11 (27).

12 Existing pavement management systems in papers focus mainly on the allocation process.
13 For a given pavement network system, there are usually many parameters, like material type,
14 age, traffic volume, etc. However, exploration of these parameters in the system is often ignored.
15 Analysis of these parameters can help to better understand the factors that have an important
16 influence on the pavement network performance. Some parameters have been discussed during
17 the formulation of pavement deterioration models (28–32), including current IRI, age, structural
18 number, etc. In addition, the influence of different climate factors on the pavement distresses has
19 also been explored (33). However, there is still a lack of systematic and comprehensive analysis
20 for different parameters in the pavement network system. Therefore, by taking the Virginia
21 pavement network system as an example, the authors are trying to figure out the influence of
22 different parameters based on the MIT allocation model.

23 **2. METHODOLOGY**

24 **2.1 MIT probability allocation network model**

25 The MIT probabilistic allocation network model can be used to analyze a large-scale pavement
26 network system in consideration of the uncertainty during the deterioration process as well as
27 MRR cost variation. It consists of an optimization module, a deterioration module, and a cost
28 module. For the optimization module, the objective is to maximize the cost-effectiveness of the
29 whole pavement network within a limited budget. Many performance metrics can be obtained
30 from this model, such as IRI, RSL, etc. The deterioration module predicts the deterioration
31 process of pavement segments. The deterioration rate of a pavement segment is affected by
32 material type, age, AADTT and equivalent thickness. Corresponding equations are formulated
33 statistically based on the LTPP dataset. The cost module is mainly used to predict the future
34 prices of different MRR actions.

35 **2.2 Parameters**

36 The analyses focus on the interstate pavement network in Virginia. The total length is about
37 2,000 miles and the number of segments is about 2,800. The analysis period is 20 years and 8
38 MRR actions are considered as shown in Table 1. Here some common parameters are chosen to
39 be analyzed, which can be divided into three categories:

- 40 • Economics: budget, concrete/asphalt cost ratio;
- 41 • Deterioration: deterioration rate of HMA, asphalt top composite (ATC), concrete and
42 concrete top composite (CTC) pavements;
- 43 • Condition: AADT (Annual Average Daily Traffic), AADTT (Annual Average Daily
44 Truck Traffic), equivalent thickness, age, and current IRI.

Performance metrics that describe the network performance include: traffic weighted IRI (TWIRI, defined as equation (1)), traffic weighted RSL (TWRSR), percentage of pavements of different material types, and the ratio of pavements in different conditions. According to National Performance Management Measure, when IRI is less than 1.50m/km, the segment is in good condition; when IRI is between 1.50 and 2.68m/km, it is in fair condition; and when IRI is greater than 2.68m/km, it is in bad condition. RSL is the period during which a segment’s IRI increases from current IRI to 2.68m/km.

$$TWIRI = \frac{\sum_{i=1}^N AADT_i \cdot Area_i \cdot IRI_i}{\sum_{i=1}^N AADT_i \cdot Area_i} \tag{1}$$

TABLE 1 MRR Actions

Name	Type	Material	Mean Cost	Standard Deviation
diamond grinding	minor rehabilitation	concrete	6.87	1.37
2" mill and fill	major rehabilitation	asphalt	8.03	1.606
4" asphalt overlay	major rehabilitation	concrete&asphalt	12.18	2.436
4" concrete overlay	major rehabilitation	concrete&asphalt	16.87	3.334
new 8" asphalt	reconstruction	concrete&asphalt	26.1	5.22
new 8" JPCP	reconstruction	concrete&asphalt	33.33	6.666
new 12" asphalt	reconstruction	concrete&asphalt	39.15	7.83
new 12"JPCP	reconstruction	concrete&asphalt	50	10

*The unit is \$/(yard)².

2.3 Approach

To analyze the influence of different parameters on the pavement network performance, we need to explore the influence of the variation of a single parameter, so a reference scenario is set up first as a baseline to compare the influence of parameters’ variation. The reference scenario is based on the original Virginia dataset. The budget is set equal to \$80 million per year, which can be used to repair about 10% of the Virginia pavement network. For each parameter, another two scenarios are built, called “Incre Scenario” and “Decre Scenario”. The value of the parameters increases or decreases 20% while keeping other parameters unchanged, respectively. We will focus on these three scenarios to analyze the influence of a parameter in the Virginia pavement management system.

For each scenario, the analysis period is 20 years. Considering the uncertainty of deterioration process and MRR cost variation, 100 Monte Carlo simulations are conducted. For each simulation, the mean values of different performance metrics are calculated, thus obtaining three groups of mean values. Each group contains 100 samples.

Next, the average values of three groups will be compared in a statistical way to explore the influence of a parameter. After examining their variances using Levene's Test, the variances are shown to be different with a significant level equal to 5%. Therefore, analysis of variance (ANOVA) cannot be applied. Instead, we are using another statistical method based on z-score statistics. The null hypothesis is that the difference between the means of two samples is 0. Since the sample size in our analysis is quite large (≥30), standard normal z-score statistics is used, which can be calculated by the following equations:

$$\sigma_{x_1-x_2} = \sqrt{\frac{s_1^2}{n_1} + \frac{s_2^2}{n_2}} \tag{2}$$

$$z = \frac{(x_1-x_2)-0}{\sigma_{x_1-x_2}} \tag{3}$$

1 Where, n_1 and n_2 represent the sample sizes, x_1 and x_2 are the sample means, and s_1 and s_2 are
 2 the standard deviations.

3 Based on the z-score statistics, we can calculate the corresponding p value, and then to
 4 check the influence of a parameter on the pavement network performance.

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 6 **3. RESULTS AND DISCUSSIONS**

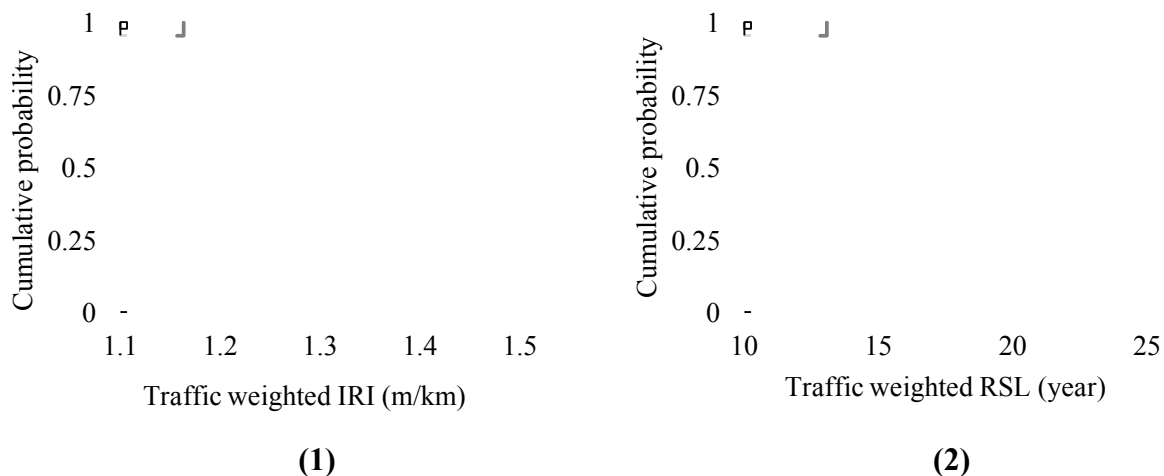
7 **3.1 Reference scenario**

8 The reference scenario is based on the original Virginia dataset and the annual budget is \$80
 9 million. Figure 1 shows the cumulative probability of traffic weighted IRI and RSL during the
 10 analysis period. The position of the curves can reflect the condition of the pavement network. For
 11 example, when the TWIRI curve lies on the left side of the figure, it corresponds to a lower
 12 TWIRI value and a better pavement network performance.

13 Figure 2 shows the variation of pavement type distribution during the analysis period.
 14 The ratio of HMA pavements decreases while the ratio of concrete top composite pavements
 15 increases dramatically. The allocation process tends to make the pavement network contain more
 16 concrete type pavements.

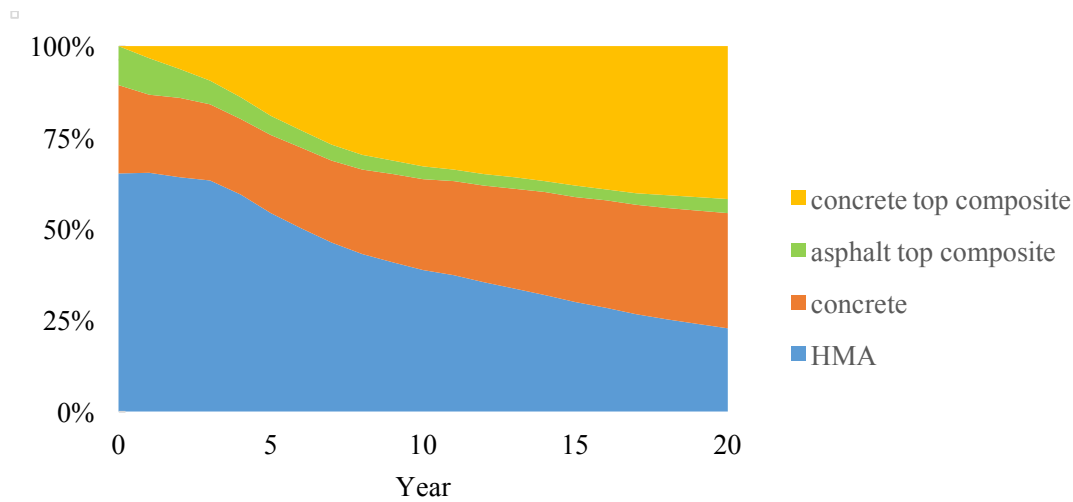
17 Figure 3 shows the variation of pavement condition distribution. The ratio of pavements
 18 in poor condition stays quite stable. The ratio of pavements in good condition decreases first and
 19 then increases due to the limitation of budget. At the beginning of the analysis period, the
 20 deterioration rate is quicker than the maintenance rate, leading to the decrease of pavements in
 21 good condition. With the increase of maintenance year by year, the ratio of pavements in good
 22 condition grows gradually.

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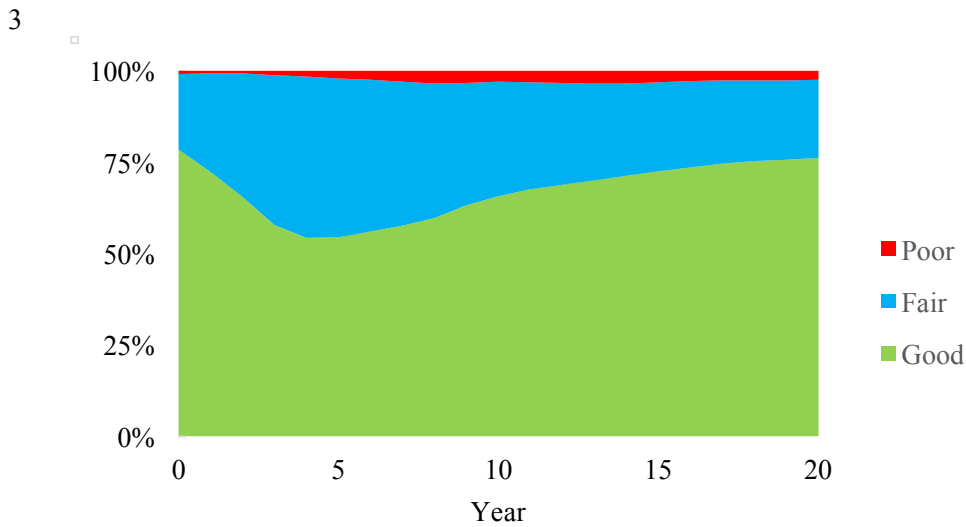


24 **FIGURE 1 Cumulative probability of traffic weighted IRI (1) and traffic weighted RSL**
 25 **(2) over 20-year analysis period**

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2 **FIGURE 2 Pavement type distribution over 20-year analysis period**



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5 **FIGURE 3 Pavement condition distribution over 20-year analysis period**

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7 **3.2 Sensitivity analysis - AADTT**

8 Since the analysis processes are similar for different parameters, AADTT is chosen as an
9 example for the explanation. There are two comparisons for each performance metrics, 'Indre' vs
10 'Reference' and 'Decre' vs 'Reference', and two pairs of z-score statistics and p values can be
11 obtained, of which the larger z-score statistics is used as the sensitivity metrics. The z-score
12 statistics and p values for different performance metrics are listed in Table 2. If the significance
13 level is 5%, then only the ratio of CTC pavements is insensitive to AADTT.

14 Figure 4 shows the cumulative probability of traffic weighted IRI and RSL. The
15 differences between these three scenarios are obvious, in accordance with the z-score statistics.
16 Also, traffic weighted IRI increases and traffic weighted RSL decreases with the increase of
17 AADTT since its growth can speed up the deterioration rate of pavements. Figure 5 describes the
18 pavement type distribution for different AADTT scenarios. The growth of AADTT increases the
19 ratios of HMA and concrete pavements while decreases the ratios of ATC and CTC pavements at
20 the same time, but the variation for the ratios of different material types are quite small, which is

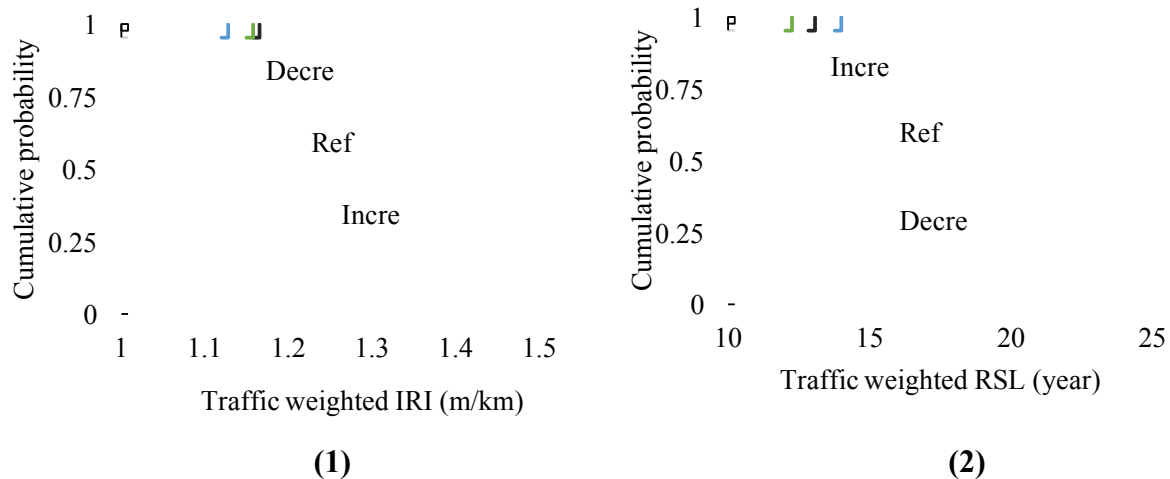
1 reflected in the relatively smaller z-score statistics in Table 2. Figure 6 shows the pavement
 2 condition distribution for different AADTT scenarios. Similar to previous results, the growth of
 3 AADTT decreases the ratio of pavements in good condition and increases the ratio of pavements
 4 in fair condition. The ratio of pavements in poor condition does not change much, but the z
 5 statistics for the ratio of poor pavements is quite large. This is because the ratio of poor
 6 pavements is so small that even a small change can cause a huge difference.

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TABLE 2 Z-score statistics and p values for different performance metrics (AADTT)

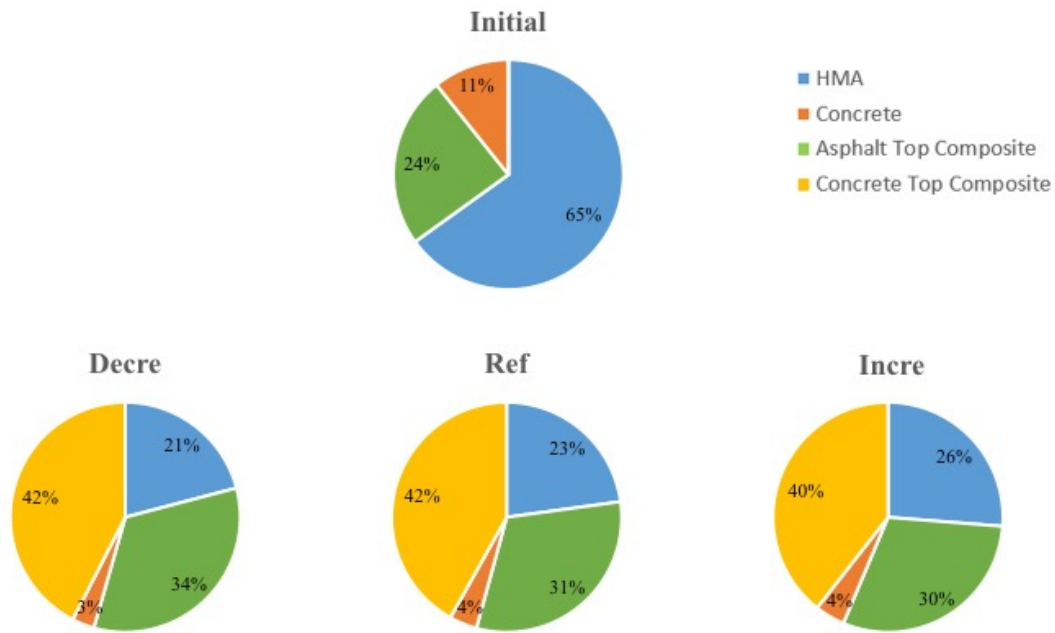
Performance metrics	z-score statistics	p value
TWIRI	3.95	0
TWRSL	4.90	0
Ratio of HMA pavements	3.76	0
Ratio of ATC pavements	2.18	0.015
Ratio of concrete pavements	2.60	0.005
Ratio of CTC pavements	1.29	0.099
Ratio of good pavements	3.91	0
Ratio of fair pavements	3.64	0
Ratio of poor pavements	5.79	0

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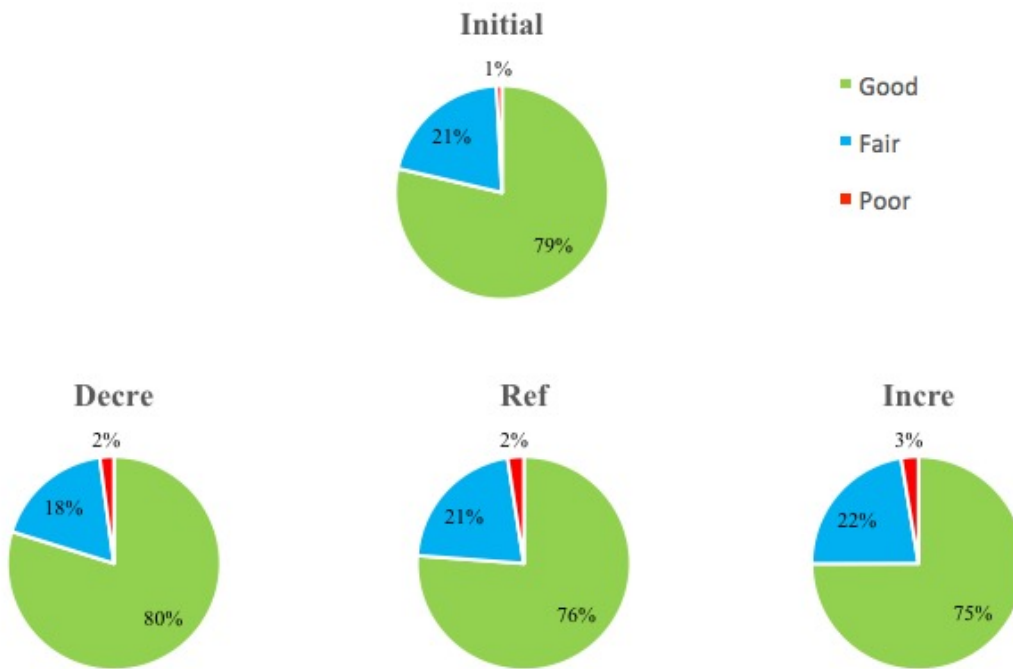


11 **FIGURE 4 Cumulative probability of traffic weighted IRI (1) and traffic weighted RSL (2)**
 12 **for different AADTT scenarios**

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2 **FIGURE 5 Pavement type distribution for different AADTT scenarios at the beginning**
3 **and at the end of analysis period**
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6 **FIGURE 6 Pavement condition distribution for different AADTT scenarios at the**
7 **beginning and at the end of analysis period**
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9 **3.3 Summary**

10 Table 3 shows the z-score statistics and p values of different parameters for different
11 performance metrics. Assuming a significance level of 5%, when the p value is larger than the

1 significance level, the performance metric is not sensitive to the parameter. For example, all
 2 performance metrics are insensitive to AADT since all p values are larger than 0.05. In addition,
 3 for a single performance metric, we can compare its sensitivity to different parameters based on
 4 the z-score statistics. The parameter with a high z-score value means that it has a more important
 5 influence on the performance metrics. Taking TWIRI as an example, the z-score value of budget
 6 is the largest, so budget has the largest influence on the TWIRI.

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 8 **TABLE 3 Z-score statistics and p values for different parameters**

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		TWIRI	TWRSL	HMA	ATC	concrete	CTC	good	fair	poor
AADT	z	0.26	0.15	0.58	0.42	0.26	0.18	0.25	0.23	0.57
	p	0.396	0.439	0.281	0.336	0.398	0.430	0.401	0.408	0.285
AADTT	z	3.95	4.90	3.76	2.18	2.60	1.29	3.91	3.64	5.79
	p	0	0	0	0.015	0.005	0.099	0	0	0
age	z	6.21	4.87	6.03	4.81	1.85	0.64	6.38	5.75	11.11
	p	0	0	0	0	0.032	0.262	0	0	0
budget	z	11.74	8.40	12.90	0.59	1.04	7.68	10.42	9.73	11.99
	p	0	0	0	0.278	0.149	0	0	0	0
concrete/ asphalt ratio	z	3.29	2.96	23.19	6.71	17.40	14.75	3.32	3.18	4.31
	p	0	0.002	0	0	0	0	0	0.001	0
composite deterioration	z	0.89	3.78	19.63	12.97	4.44	7.45	1.97	1.72	3.67
	p	0.187	0	0	0	0	0	0.024	0.043	0
concrete deterioration	z	0.10	0.70	0.85	4.86	10.23	0.29	0.67	0.66	0.69
	p	0.460	0.242	0.199	0	0	0.386	0.253	0.255	0.245
HMA deterioration	z	2.70	2.36	24.90	11.13	6.14	12.08	1.10	1.08	2.52
	p	0.003	0.009	0	0	0	0	0.135	0.141	0.006
current IRI	z	8.41	3.28	1.90	1.50	1.13	0.98	7.20	6.64	11.38
	p	0.000	0.001	0.029	0.067	0.129	0.163	0	0	0
equivalent thickness	z	7.47	6.80	1.53	0.92	3.36	0.88	6.16	5.00	10.90
	p	0	0	0.063	0.180	0	0.191	0	0	0

10 * (1) “HMA”, “ATC”, “concrete”, “CTC” in the first line represent the ratio of HMA, ATC, concrete, and CTC
 11 pavements, respectively;

12 (2) “good”, “fair”, “poor” in the first line represent the ratio of pavements in good, fair and poor condition,
 13 respectively.

14
 15 The summary of the sensitivity analysis is shown in Table 4. The order of different
 16 parameters in each cell is based on the z-score statistics, namely from large to small values.
 17 Ratios of four pavement material types are grouped into one metrics called pavement type. The
 18 largest z-score statistics of the ratios of four pavement material types is used to represent the z-
 19 score statistics of pavement type. Similarly, ratios of three pavement condition distribution are
 20 consolidated into one group called pavement condition.

21 Obviously, budget has the largest influence, which is a key factor to improve the
 22 pavement network performance. Parameters that are related with the deterioration process, like
 23 AADTT, equivalent thickness, age, and deterioration rate for different materials, play a
 24 significant role in the network performance. One exception is the deterioration rate of concrete
 25 pavements, which is due to the small ratio of concrete pavements. Current IRI is also significant
 26 because we tend to maintain the pavements in bad condition first. The influence of AADT is
 27 quite trivial since only heavy truck traffic affects the deterioration process.
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TABLE 4 Sensitivity analysis results

	Traffic weighted IRI	Traffic weighted RSL	Pavement type	Pavement condition
Sensitive	budget, current IRI, equivalent thickness, age, AADTT, concrete/asphalt cost ratio, deterioration of HMA	budget, equivalent thickness, AADTT, age, deterioration of composite, current IRI, concrete/asphalt cost ratio, deterioration of HMA	deterioration of HMA, concrete/asphalt cost ratio, deterioration of composite, budget, deterioration of concrete, age, AADTT, equivalent thickness, current IRI	budget, current IRI, age, equivalent thickness, AADTT, concrete/asphalt cost ratio, deterioration of composite, deterioration of HMA
Insensitive	deterioration of composite, AADT, deterioration of concrete	deterioration of concrete, AADT	AADT	deterioration of concrete, AADT

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4. CONCLUSIONS

Taking the interstate pavement network in Virginia as an example, the influences of different parameters on the performance metrics have been explored based on the MIT allocation network model. The sensitivity of performance metrics to different parameters is described by z-score statistics and p values. The relative significance of different parameters on a single performance metrics is compared by the z-score statistics.

Parameters such as budget, current IRI, equivalent thickness, age, AADTT, cost ratio between concrete and asphalt, and deterioration rate of HMA pavements have a significant influence on the traffic weighted IRI. The deterioration rate of composite and concrete pavements, as well as AADT have little influence on the traffic weighted IRI. Similarly, except for the deterioration rate of concrete pavements, parameters with high influence on traffic weighted RSL are nearly the same as those on traffic weighted IRI. Both performance metrics are the most sensitive to budget.

Pavement type distribution is sensitive to most parameters except AADT. Compared to other parameters, the deterioration rates of different materials play a more significant role. Pavement condition distribution is only insensitive to AADT and the deterioration rate of concrete pavements and is the most sensitive to budget.

In general, the approach proposed and the results presented in the paper can help to determine the influence of different parameters and provide guidance in better applying the pavement management system.

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