

# The “phase-in” requirements and the “transition” provision for the Pavement Condition Measures

## Q1:

What are “phase-in” requirements and “transition” provision for the Pavement Condition Measures? How are those two different?

## A1:

Both the “phase-in” requirements and “transition” provision for the Pavement Condition Measures apply only to the first performance period. The “phase-in” requirements apply to the Interstate Pavement Condition Measures,<sup>1</sup> whereas the “transition” provision applies to the non-Interstate NHS Pavement Condition Measures.<sup>2</sup> Both “phase-in” requirements for the Interstate System and “transition” provision for the non-Interstate NHS are directly related to: (1) pavement data collection and data submittal requirements under 23 CFR 490.309; and (2) the availability of collected data at the time of State DOT target establishment and reporting for the first performance period.<sup>3</sup>

23 CFR 490.309(a) requires the first “full distress and IRI”<sup>4</sup> data collection cycle to start in calendar year 2018 for the Interstate System and to start in calendar year 2020 for the non-Interstate NHS. 23 CFR 490.107(b)(1)(ii)(B) requires State DOTs to report their baseline condition/performance derived from the latest data collected through the beginning date of the performance period, and the beginning date of the first performance period is January 1, 2018,<sup>5</sup> for the Pavement Condition Measures.

---

<sup>1</sup> 23 CFR 490.307(a)(1) and (2)

<sup>2</sup> 23 CFR 490.307(a)(3) and (4)

<sup>3</sup> Final Rule on “National Performance Management Measures; Assessing Pavement Condition for the National Highway Performance Program and Bridge Condition for the National Highway Performance Program”: Docket No. FHWA–2013–0053, RIN 2125–AF53, Federal Register - Vol. 82, No. 11, Pg. 5886 - January 18, 2017: <https://www.gpo.gov/fdsys/pkg/FR-2017-01-18/pdf/2017-00550.pdf>

<sup>4</sup> Full-extent Cracking Percent and IRI for all pavement sections with asphalt, jointed concrete, and continuously reinforced pavement Surface Types; full-extent Rutting for all pavement sections with asphalt pavement Surface Types; full-extent Faulting for all pavement sections with jointed concrete pavement Surface Types; and full-extent inventory data. All distress, IRI, and inventory data elements must be in accordance with specifications prescribed in [23 CFR 490.309](#) and [23 CFR 490.311](#).

<sup>5</sup> 23 CFR 490.105(e)(4)(i)(A)

Since the State DOT target reporting due date for the first performance period is October 1, 2018, State DOTs may not have completed their first “full distress and IRI” data collection cycle for the Interstate System for deriving baseline conditions at the time of target establishment and reporting. For this reason, 23 CFR 490.105(e)(7) and 23 CFR 490.109(e)(3) provide “phase-in” requirements for the Interstate Pavement Condition Measures for the first performance period. Under the “phase-in” requirements in 490.105(e)(7), State DOTs do not report 2-year targets and baseline conditions for the Interstate Pavement Condition Measures in the Baseline Performance Period Report<sup>6</sup> due on October 1, 2018. Also, the first performance period baseline conditions for the Interstate System will be derived from the “full distress and IRI” data collected in calendar year 2019.<sup>7</sup> Additionally, because State DOTs do not report 2-year targets for the Interstate Pavement Condition Measures in 2018, FHWA will not make a determination of significant progress toward the achievement of 2-year targets for Interstate System Pavement Condition Measures (23 CFR 490.109(e)(3)).

Since the first “full distress and IRI” data collection cycle does not start until 2020 for non-Interstate NHS, 23 CFR 490.313(e) provides a “transition” provision for the non-Interstate NHS Pavement Condition Measures. The non-Interstate NHS “transition” provision requires the IRI data, collected between January 1, 2016 through December 31, 2017, submitted to HPMS by June 15, 2018,<sup>8</sup> will be the baseline<sup>9</sup> non-Interstate NHS condition data for the first performance period and the overall condition (i.e., Good, Fair or Poor) of pavement sections will be rated based only on the IRI values (or Present Serviceability Rating (PSR) values, where applicable).<sup>10</sup> Similarly, the IRI data—collected between January 1, 2018, through December 31, 2019, and submitted to HPMS by June 15, 2020—will be the 2-year (or midpoint) non-Interstate NHS condition data for the first performance period, and the overall condition of pavement sections will be rated based only on IRI values (or PSR values, where applicable).<sup>11</sup> Finally, the non-Interstate NHS “full distress and IRI” data, collected between January 1, 2020, and December 31, 2021, will be used for computing two conditions at the same time: (1) 4-year (period-end) condition for the first performance period with overall condition rating based only on IRI values (or PSR values, where applicable); and (2) the baseline condition for the second performance period based on the values “full distress and IRI,” as provided in 23 CFR 490.313(b) through (e).

---

<sup>6</sup> 23 CFR 490.107(b)(1)

<sup>7</sup> 23 CFR 490.105(e)(7)(iii) and 23 CFR 490.107(b)(1)(ii)(B)

<sup>8</sup> 23 CFR 490.311(c)(5) & (d)(3)

<sup>9</sup> 23 CFR 490.107(b)(1)(ii)(B)

<sup>10</sup> 23 CFR 490.313(e) - During the transition period, the Overall condition for all pavement types for the non-Interstate NHS will be based on IRI rating, as described in 23 CFR 490.313(b)(1) or on PSR as described 23 CFR 490.313(c)(4) or (d)(4).

<sup>11</sup> Ibid.

Table 1 below provides a summary of pavement data collection cycles for the first two performance periods in accordance with 23 CFR 490.309(a) and reported conditions [See 23 CFR 490.105(e)(4) and (e)(7); 490.107(b)(1)(ii)(B), (b)(2)(ii)(A), and (b)(3)(ii)(A); 490.109(e)(3); 490.307; 490.309; and 490.313(e)]

Table 1

Interstate System			Non-Interstate NHS		
Data Collection Year (Calendar Year)	Full Extent Pavement & Inventory Data Collection Items	Corresponding Conditions Represented	Data Collection Years (Calendar Year)	Full Extent Pavement & Inventory Data Collection Items	Corresponding Conditions Represented
2016	IRI		2016 - 2017	IRI	Baseline condition based only on IRI for the 1 <sup>st</sup> performance period
2017	IRI				
2018	“full distress and IRI”		2018 - 2019	IRI	2-year condition based only on IRI for the 1 <sup>st</sup> performance period
2019	“full distress and IRI”	<i>Baseline condition based on “full distress and IRI” for the 1<sup>st</sup> performance period</i>			
2020	“full distress and IRI”		2020 - 2021	“full distress and IRI”	4-year condition based only on IRI for the 1 <sup>st</sup> performance period
2021	“full distress and IRI”	4-year condition based on “full distress and IRI” for the 1 <sup>st</sup> performance period, which is the same as the Baseline condition based on “full distress and IRI” for the 2 <sup>nd</sup> performance period			
2022	“full distress and IRI”		2022 - 2023	“full distress and IRI”	2-year condition based on “full distress and IRI” for the 2 <sup>nd</sup> performance period
2023	“full distress and IRI”	2-year condition based on “full distress and IRI” for the 2 <sup>nd</sup> performance period			
2024	“full distress and IRI”		2024 - 2025	“full distress and IRI”	4-year condition based on “full distress and IRI” for the 2 <sup>nd</sup> performance period which is the same as the Baseline condition based on “full distress and IRI” for the 3 <sup>rd</sup> performance period
2025	“full distress and IRI”	4-year condition based on “full distress and IRI” for the 2 <sup>nd</sup> performance period, which is the same as the Baseline condition based on “full distress and IRI” for the 3 <sup>rd</sup> performance period			

Table 2 below provides a summary of target establishment and reporting requirements for the first performance period [See 23 CFR 490.105(e)(4) and (e)(7); 490.107(b)(1)(ii)(B), (b)(2)(ii)(A), and (b)(3)(ii)(A); 490.109(e)(3); 490.309; and 490.313(e)]

**Table 2**

<b>Measure</b>	<b>Target Establishment for the first performance period</b>	<b>Applicable metrics</b>	<b>Target Reporting for the first performance period</b>
Percentage of pavements of the Interstate System in Good condition	2-year <sup>12</sup> target not required	N/A	N/A
	4-year <sup>13</sup> target required for State DOTs and MPOs	Target to reflect anticipated condition based on “full distress and IRI”	State DOTs – Baseline Performance Period Report due on October 1, 2018  MPOs <sup>14</sup> – 4-year targets to relevant State DOTs
Percentage of pavements of the Interstate System in Poor condition	2-year target not required	N/A	N/A
	4-year target required for State DOTs and MPOs	Target to reflect anticipated condition based on “full distress and IRI”	State DOTs – Baseline Performance Period Report due on October 1, 2018  MPOs – 4-year targets to relevant State DOTs
Percentage of pavements of the non-Interstate NHS in Good condition	2-year target required for State DOTs	Target to reflect anticipated condition based on IRI (or PSR where applicable) only	State DOTs – Baseline Performance Period Report due on October 1, 2018
	4-year target required for State DOTs and MPOs	Target to reflect anticipated condition based on IRI (or PSR where applicable) only	MPOs – 4-year targets to relevant State DOTs
Percentage of pavements of the non-Interstate NHS in Poor condition	2-year target required for State DOTs	Target to reflect anticipated condition based on IRI (or PSR where applicable) only	State DOTs – Baseline Performance Period Report due on October 1, 2018
	4-year target required for State DOTs and MPOs	Target to reflect anticipated condition based on IRI (or PSR where applicable) only	MPOs – 4-year targets to relevant State DOTs

<sup>12</sup> 23 CFR 490.105(e)(4)(iii) - 2-year targets reflect the anticipated condition/performance level at the midpoint of each performance period

<sup>13</sup> 23 CFR 490.105(e)(4)(iv) - 4-year targets that reflect the anticipated condition/performance level at the end of each performance period

<sup>14</sup> 23 CFR 490.105(f)(1)(i), 490.105(f)(3) and 490.107(c)(1) - For all pavement condition measures, MPOs are only required to establish 4-year targets and have the option to establish their target either by: (1) agreeing to plan and program projects so that they contribute toward the accomplishment of the relevant State DOT target for that performance measure; or (2) Committing to a quantifiable target for that performance measure for their metropolitan planning area. The MPOs are required to report their established targets to their respective State DOT in a manner that is documented and mutually agreed upon by both parties.