



U.S. Department
of Transportation
**Federal Highway
Administration**

Memorandum

Subject: Pooled Fund Approval

Date: June 4, 2003

From: Mr. Gary N. Hamby
Division Administrator (HDA-CA)
Sacramento, California

**Reply to
Attn. of:** HDA-CA

File #:
Doc. #: S42722

To: Bill Zaccagnino, Transportation Specialist
Office of Program Development and Evaluation (HRPD-01)
Washington, D.C.

The Federal Highway Administration – California Division and the California Department of Transportation (Caltrans) propose to initiate a pooled fund study entitled Proposed Pooled Fund Project for Marketing and Technology Transfer. This would be a regional study with only FHWA and Caltrans as partners. Our office feels that this project provides significant benefit to both the partners. This project will include activities like workshops, conference participation, and development of informational products.

We would like to request your approval of this pooled fund project to allow for 100 percent SP&R, part 2 funds to be used for this project. The Federal Highway Administration – California Division would serve as the lead for the project. The initial funding of this project will be \$1,000 from the FHWA and \$20,000 from Caltrans. Attached is the research proposal for this project.

If needed, please contact me, at (916) 498-5023, or by e-mail, at sarah.skeen@fhwa.dot.gov.

/s/Sarah Skeen

Sarah Skeen
Structures and Research Engineer

Attachment

Proposed Pooled Fund Project for Marketing and Technology Transfer

Project Title: Technology Transfer of Transportation Research Products and Ideas for Caltrans and the FHWA Division Office.

Objectives:

- Provide a mechanism to rapidly fund small projects that will promote or aide in the implementation of developed technologies that will enhance the transportation industry. This could include sponsoring workshops and conferences and creating informational materials.
- Provide funding for travel to support the development of marketing and technology transfer activities between state departments of transportation (DOT's), other public agencies, industry associations, national or regional associations and the California Department of Transportation (Caltrans) along with the Federal Highway Administration (FHWA) California Division Office (Division) technical staff. The technology concerns may be in conjunction with ongoing research, or for improved operations, maintenance or other Caltrans/Division transportation functions.

Background: Caltrans and the FHWA are in the process of concluding a similar pooled Fund Project (TPF –5(006). With a budget of \$199,000, the project funded: 1) the California Highway Patrol to attend a national Security Conference leading to California having two similar seminars for local agencies, 2) the attendance of several Caltrans staff who had active roles at various meetings and workshops. 3) three conference/seminars in California on various topics; and, 4) the development of a Guide and Training video for distribution to all DOTs.

The previous project made it possible to bring representatives from other DOTs and industry together, as well as send Caltrans staff to appropriate forums for the purpose of discussing new ideas, sharing best practices and polices, and creating a network of peers to share experiences and lessons learned (a national conference on Moisture Sensitivity in Asphalt Paving).

Recently, there has been a push to promote more of the technologies developed by DOT and FHWA research programs. Many of these technologies have the potential to save money, produce better projects, and speed up project completion. Caltrans and the Division can work to assure that this happens. This project provides one of the mechanisms for this to happen. Additionally, the Division has encouraged Caltrans to become more active in Research Development and Technology projects that have great potential benefit to the driving public and commercial carriers in California.

Participants: Caltrans and the Division.

Suggested Methodology: The study would be a pooled fund marketing and technology transfer project. The Division would be the lead agency and would contribute \$1,000 in Technology Transfer funds from their yearly allocation. Caltrans would contribute \$20,000 (from unexpended funds in prior project with future augmentations expected as projects arise). Projects proposed to be part of the pooled fund program have been contributed by both Caltrans and Division personnel. Tasks that are funded will be technology transfer related and will not be business related. Any trips would require approval by the Caltrans Pooled Fund Study Project Manager and the Division

Pooled Fund Study Project Manager. Trips for Caltrans staff require approval through standard travel procedures currently required for trips funded by others. Trips for non-Caltrans staff require approval through their respective procedures

The travel will include research management staff or any technical staff presenting technology or receiving technology from another agency, not for routine business, recruiting or other administrative functions. Trips could be for individual meetings with staff from other DOT's, public agencies, universities, multi-agency conferences or TRB. TRB trips may not be for the same individual to attend on a repeating annual basis, but rather for staff to participate in TRB technology transfer forums, conferences, meetings, etc. on a rotating basis to help expose technical staff to the TRB experience.

Benefits: Caltrans and the FHWA will gain experience and first hand knowledge of "state of the art" practices, methods, materials, and procedures; and will be able to take greater advantage of research results from others as they become available, without waiting for final reports or implementation packages. Caltrans will in turn be able to market research products and share new knowledge with other public agencies where Caltrans technologies are applicable.

Successful technology does not always result in changes to operations or methods. The technology transfer may serve to confirm the benefits of staying with an existing method, product, or procedure.

Time Schedule: The study period will be from July 1, 2003 to September 30, 2005.

Funding Requirements: Caltrans agrees to provide \$20,000 during the first year of the study. The FHWA will contribute \$1,000 at the initiation of this project.

Deliverables: All projects will require a minimum one-page summary report within 30 days of completion and a follow up comprehensive report within one year. The follow up report will address, in detail, implementation of the technology/technical information in use.

All activities will include an interview of the project participants or managers. The interview will be conducted jointly by Caltrans and FHWA staff at the conclusion of the technology transfer project. It will address any additional questions or issues, not answered in the reports.

At the conclusion of the technology transfer project, a comprehensive summary report will be prepared to (1) document the overall project operational efficiencies gained and (2) quantify the cost avoidance and cost savings realized as a result of the enhanced marketing and implementation effort.