

SEMI-ANNUAL REPORT

FY 99/00 RSPA Report

**October 1, 1999 through December 31, 1999
(TEA-21)**

For The

**NORMAN Y. MINETA
INTERNATIONAL INSTITUTE FOR SURFACE
TRANSPORTATION POLICY STUDIES
(IISTPS)**

**A
UNIVERSITY TRANSPORTATION CENTER**

February 1, 2000

**Lawrence Dahms, Chair, Board of Trustees
Sandy Dewitz, Interim Dean, SJSU College of Business**

Rod Diridon, Executive Director

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A. SUCCESS STORIES

INTRODUCTION BY EXECUTIVE DIRECTOR

The Norman Y. Mineta International Institute for Surface Transportation Policy Studies (Mineta Transportation Institute or IISTPS) has experienced a true metamorphosis during the past year. At this time last year, with a \$500,000 annual budget, the Institute had four research projects in process and was conducting a Master of Science in Transportation Management (MSTM) and graduate Certificate in Transportation Management (CTM) with less than a dozen students enrolled. Though we had a fully operational web page, funding shortages precluded the frequent updates and program expansions required.

Currently, with the new \$1.4 million annual budget, the Institute has 22 research projects in process encumbering approximately \$1.3 million and involving over 50 of the Institute's 96 certified Research Associates (most of the RAs are Ph.D.s) and supporting student assistants. The research topics were selected after a carefully structured needs assessment involving the Nation's top surface transportation policy leaders. The RA teams and projects were chosen after a structured bidding and selection process. The year 2000 annual project selection needs assessment is now in process.

New to the Institute is Education Director Dr. Glenn Shephard. Dr. Shephard is a tenured professor at San José State University, and nationally recognized expert in video conferencing technology. We are proud of his direction that has dramatically accelerated the education program, the successful fruits of which are described in the following report.

The technology/information transfer function now includes a fully updated and expanding web page (<http://transweb.sjsu.edu>) which is now used to support both the research and education programs. *TransWeb* is also heavily used by non-Institute individuals and organizations. The Institute's quarterly Newsletter (*The World in Motion*) has been upgraded and a newsletter for our alumni/student association (National Transportation Management Graduate Student's Association, NTMGSA) is now available.

As is presented in the following report, the Institute is pursuing the objectives identified in the Strategic Plan and exceeding the performance criteria. The Mineta Transportation Institute stands ready to meet the challenge of providing the ideas and the talent to manage the nation's transportation systems in this new millenium.

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1. RECORD NUMBER OF RESEARCH PROJECTS RECEIVES FULL APPROVAL

The timing of funding rounds for the Institute meant that during 1999, nearly two full budget years' worth of projects required final negotiations on scope and budget, Caltrans approval of their prospectuses, and administrative work related to contracts. The scale of activity was unprecedented for the Institute and occurred as both professional and student staff experienced turnover. By the end of the quarter, ten of the projects approved in the spring of 1999 were completely through the process and all but one had completed at least their initial tasks. One project was dropped at the request of the Principal Investigator; the Institute agreed that another study he was starting was a higher priority for both funds and time.

Of the ten projects selected in September 1999, five had completed the approval process by the end of the subject quarter and were entering into contracts. Two projects have not negotiated successful prospectuses. One has not yet met Institute standards for proposed methodology, and the other could not reduce overhead in the proposed budget to an acceptable level. That the Institute maintained standards and did not proceed with studies that began to raise questions was a sign of a maturing research program. Two studies are still in the final stages of the approval process, and one selected study was dropped at the request of Caltrans after the agency decided to hire a consultant for the study.

The Institute began active negotiations with another division of Caltrans regarding a sustainable community study that would, in many respects, replace the project that was withdrawn over budget issues. Team recruitment began and the effort would be on a fast track to produce several working documents by June 2000, assuming successful contract negotiations.

To accomplish the processing of so many projects, the Institute staff developed new procedures, template documents, filing and tracking improvements and trained new work-study students to assist staff in the effort. By the end of the quarter, the new systems paid off with five of the eight 99-00 projects approved.

Research Project Descriptions are posted in HTML format on the Institute's web site, <http://transweb.sjsu.edu>.

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2. INSTITUTE SUCCESSFULLY RECRUITS TEAM FOR HIGH-PRIORITY STUDY

The Institute has now completed two rounds of successful Requests for Proposals, but the last round failed to produce a qualified proposal for one of Caltrans' highest priorities, a safety study of allowing bicycles and pedestrians on restricted access facilities such as freeways, toll bridges, and tunnels. Institute staff recruited a highly qualified and motivated team, including two researchers new to the Institute, and two advocates for the bicycle and pedestrian interests to serve on the Advisory Committee for the study.

Bringing the project to life also included negotiations with the SJSU Foundation and the grants office at Chico State University and the completion of a subcontract. This was a first for our program, which normally works with academics as independent researchers. We have developed measures to assure project accountability and clear understandings with regard to intellectual property and publishing rights and procedures. While we anticipate almost all of our research projects will be done independently of the institutions, agencies or firms with which our researchers are associated, this subcontract model will allow us to proceed with studies when overriding considerations require subcontracting. While SJSU faculty complete most of our projects, this opens a potential field of researchers not previously available to the Institute and helps remove barriers to accessing the best potential researchers for our projects. To maintain close ties between all projects, the Mineta Transportation Institute, and San José State University (SJSU), every research project, including this one, continues to include at least one SJSU Faculty member and graduate student on the team.

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3. ENVISIONING NEIGHBORHOODS WITH TRANSPORTATION-ORIENTED DEVELOPMENT POTENTIAL ALREADY AN AWARD-WINNER (#9810)

San José State University graduate student Tran Tung won a blue ribbon for the “Best College Entry” and two third place ribbons for “Educational Mapping” and “Map Analysis,” at a November competition sponsored by the Bay Area Automated Mapping Association (BAAMA). BAAMA is a San Francisco Bay Area non-profit association for persons interested in GIS and spatial mapping. The blue ribbon was accompanied by the prize of a free copy of Arc View GIS from Environmental Science Research Institute, Inc. (ESRI) of Redlands, California. Mr. Tung is a research assistant for the IISTPS project *Envisioning Neighborhoods with Transit-Oriented Development Potential* (#9810).

Professor (and Principal Investigator) Earl Bossard, Mr. Tung, and the other graduate students on the project presented their work-in-progress to the Santa Clara County Association of Planning Officials in October. The concept and the actual “Envisioning” tool were well received, and comments indicated the directors would find the tool helpful in their work and a potential profit center for their cities.

Professor Bossard also presented work-in-progress at the Rail~Volution 99 Conference in Dallas (1,100 participants) and is preparing a paper for presentation at his own expense at the Second International Conference on Quality of Life in Cities in Singapore in March. He is currently exploring the opportunities to present the research to the ESRI GIS Conference in June (9,000 attendees) and at the American Collegiate Schools of Planning National Convention in Atlanta next fall.

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4. PUBLICATION OF GRADUATE PAPERS

Each graduate of the Master of Science in Transportation Management program produces a capstone project which represents significant research of a transportation issue. The quality of the initial projects led to the decision to publish the papers as Institute documents. A process for peer review and revision was developed during this report period. These papers are currently in various stages of review and publication.

One significant benefit of this approach is the connection between the graduates and leading professionals who serve as peer reviewers. A masters thesis is reviewed by an academic committee. The addition of practicing professionals as reviewers demonstrates the Mineta Transportation Institute's commitment to practical research with real world connections. The Institute is also able to expand its publication portfolio and widen the discussion of transportation issues.

A short description of each paper follows:

- 1) Mark Helmbrecht (#9922): *Development and Management of Future Ferry Services in the San Francisco Bay Area*

Two approaches to ferry service on San Francisco Bay surfaced in 1999. This paper evaluates the proposals and recommends a direction for action.

- 2) Michael Lechner (#9921): *Rationale and Model Business Strategy for Incorporating Alternate Fuel Vehicle Technology into Local Government Fleets*

Making the right choices for integrating alternate fuel vehicles into local government and private fleets will have economic, social and political results. This paper makes a case for advance planning by agencies and suggests a model strategy and a business plan for fleet operators.

- 3) Carter Mau (#9923): *Bicycling Strategies for Public Transit Agencies*

If transit patrons reach transit by bicycle rather than automobile, there are many positive consequences. This paper examines various ways that agencies have encouraged and accommodated bicycle/transit connectivity, including use of rail right-of-way for trails. The Caltrain system operated on the San Francisco Peninsula is discussed as a case study.

- 4) Kimberly Weinstein (#9924): *The Land Use and Transportation Connection: Can San Diego Find This Missing Link?*

This paper examines the political conditions and external forces influencing execution of Smart Growth planning options in the San Diego region and makes recommendations to overcome the barriers identified.

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5. PROGRAM FEE REDUCTION AND CALTRANS TUITION REIMBURSEMENT

In November the Transportation Education Department negotiated with the San José State University (SJSU) College of Business a course fee reduction for all MSTM Program courses reducing the cost from \$990 to \$750 per course (effective January 2000), a reduction of \$240 per course. In conjunction with our ongoing scholarship program, both the CTM and MSTM have thus become much more affordable to aspiring transportation professionals. This was the essential first step in improving access and increasing enrollment in our education programs.

The California Department of Transportation (Caltrans) responded to this SJSU fee reduction by increasing their own tuition assistance to employees enrolling in the MSTM Program. Tuition reimbursement was increased from a maximum of \$500 per fiscal year to \$1000 per fiscal year (to be formally announced in January 2000). The significance of these changes should not be understated, as we fully expect this incentive to dramatically increase enrollments by prospective students beginning in January 2000.

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6. MARK JENSEN SELECTED AS OUTSTANDING STUDENT OF THE YEAR

The Transportation Education faculty and staff are proud to announce Mark Jensen as the Master of Science in Transportation Management Student of the Year for 2000. Mark was selected by program faculty based on his strength in academic work, leadership, research, and contribution to the Mineta Transportation Institute. In addition to the honor of this award, Mark will also receive a \$1000 scholarship. This was Mark's second award in the program; he received a Mineta Transportation Institute Scholarship in the spring of 1999. Mark is pursuing his MS in addition to working as a Senior Engineer/Analyst for Science Applications International Corporation.

In January 2000, the award certificate for Outstanding Student of the Year will be presented by The Mineta Transportation Institute Executive Director, Rod Diridon, at the Annual TRB meeting in Washington, D. C. Because Mark will be unable to attend this event, his father, Denis Jensen, will be receiving the award on his behalf.

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7. FALL SCHOLARSHIPS AWARDED BY THE MINETA TRANSPORTATION INSTITUTE

In December the Mineta Transportation Institute is proud to have awarded three \$1000 scholarships to eligible MSTM students:

- Miriam Ayllon of Valley Transit Authority
- Donna Kelsay of Sacramento Regional Transit
- Judy Li of Caltrans

Scholarships are awarded on a competitive basis to students matriculated into SJSU graduate studies who take two consecutive courses in a given semester. Scholars win by maintaining a high standard of academic work, writing a short essay, and receiving a recommendation from someone speaking of their professional work.

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8. OAKLAND INFORMATION MEETING IS A SUCCESS

On December 13, 1999, the Education Program staff delivered an information meeting at the Caltrans' district office in Oakland, California. The purpose of this meeting was to invite enrollment of transportation professionals in the Transportation Education Program. Early RSVPs promised attendance of fifteen prospective students. However, the Education Program staff was pleasantly surprised with a turnout of seventy-five attendees, five times the expected number!

Education Director, Dr. Glenn Shephard, presented an overview of the program and the requirements for the Master of Science in Transportation Management (MSTM) and the graduate Certificate in Transportation Management (CTM). Rob Vitale, an instructor for the Transportation Education Program and the former IISTPS Education Director, presented the history of the program and pointed out the uniqueness of the educational opportunities offered. Sunshine Shepard, the Education Program Assistant, explained her role as liaison for students and main point of contact. Finally, Judy Li, a current student in the education program and Caltrans employee, described a student's perspective of the program. Judy answered a number of questions presented by the audience.

The large attendance at the Oakland Information Meeting and the subsequent number of attendees showing true interest in pursuing the MSTM or the CTM portends well for increasing program enrollment.

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9. CALIFORNIA UNIVERSITY TRANSPORTATION CENTERS MEET AT THE MINETA TRANSPORTATION INSTITUTE

The Executive Directors of the three California UTCs met on October 20, 1999, together with the leaders of the research activity for Caltrans and additional Mineta Institute staff. Caltrans staff presented elements of a possible national research agenda, discussing focus areas for SHARP, TRB, and FHWA. There followed discussion of how Caltrans and the UTCs could contribute to the agenda and the ensuing research.

Productive discussion focused on how to involve policy makers and to engage their interest in furthering research and making use of the resulting products.

Each UTC (UCTC-Berkeley, METRANS, and the Mineta Transportation Institute) discussed current activities and particularly shared their processes for peer review and information transfer. Several ideas were raised for further discussion, including communications to reduce overlap and duplication in the projects we fund, ways to prevent “double-dipping” by researchers, means to encourage interchange and dialogue among our research communities, and possibilities for enhancing the experience of students engaged in UTC research projects.

Michael Lechner, a recent MSTM graduate of SJSU, presented his capstone project, *Rationale and Model Business Strategy for Incorporating Alternate Fuel Vehicle Technology into Local Government Fleets*. The presentation generated considerable discussion and comments that the final published paper would be a real contribution.

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10. REGION 4 RESEARCH ADVISORY COMMITTEE (RAC) OF THE AMERICAN ASSOCIATION OF STATE HIGHWAY AND TRANSPORTATION OFFICIALS (AASHTO SUMMER MEETING (#9813))

IISTPS and Caltrans were co-hosts of the Summer Meeting of the Region 4 Research Advisory Committee (RAC) of the American Association of State Highway and Transportation Officials (AASHTO) September 26 through 29, 1999. The Region 4 RAC Summer Meeting successfully furthered the national research effort by bringing together transportation officials from 18 states (Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, Pennsylvania, South Dakota, Utah, Virginia, Washington, Wyoming) and Washington, D.C.

State representatives and special guests, such as Dr. R. Thirumalai of DOT RSPA, and three UTC Directors, shared reports of their activities and insight on national transportation research issues. Subsequently, decisions made and issues identified at the meeting sessions were taken by RAC members to AASHTO's national meeting and to other strategic planning sessions.

An added benefit was that the officials in attendance received exposure to three University Transportation Centers: IISTPS, METTRANS, and UCTC-Berkeley. Meeting participants expressed interest in the UTC-State DOT relationship, and a few mentioned that they would explore the UTCs in their areas further.

At the request of Caltrans, the Mineta Transportation Institute organized the event; handled the logistics, registration, and finances; and is producing the proceedings. We have also documented the process of producing this meeting for the benefit of the next host group in Montana.

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11. *TRANSWEB* DEVELOPMENT

In a prior grant year the Institute created *TransWeb*, a web site that is an online hub of valuable transportation information. The Institute continues to maintain *TransWeb* and further its development.

In addition to the ongoing creation of new links to transportation information worldwide, development includes original information generated by the Institute.

- Additions to the Institute Transportation Library holdings are regularly updated to reflect in the online library search database.
<http://transweb.sjsu.edu/library.htm>
- One of the ways that the Institute supports the San José State University (SJSU) Master of Science in Transportation Management (MSTM) program is by maintaining the program's web site. During the 99/00 grant period, the Web Administrator worked closely with the new Education Director and the Education Program Assistant to begin a redesign of the education site pages. This redesign is part of a larger plan to increase the effective use of technology by the program. Future development is scheduled to include increased standardized use of the pages and functionality by SJSU faculty.
<http://transweb.sjsu.edu/acadnew.htm>
- The application for admission to the SJSU Certificate in Transportation Management (CTM) program was converted to a pdf version and placed online for easier access by potential students.
<http://transweb.sjsu.edu/ctmap.pdf>
- The Education Program Assistant (EPA) created an online PowerPoint presentation as a new method of delivering MSTM program information to partners and potential students. The EPA then joined forces with the web administrator to narrate the presentation. Based on feedback solicited from the education director, Caltrans, and other presentation viewers, enhancements were made and an effective online multimedia presentation was born. The presentation now resides on the Education web site in three versions—one power point presentation and two html versions prepared for use by Internet Explorer, Netscape Navigator, and other browsers. The presentation is also formatted to allow the Education Program staff to take it on the road via a laptop.
<http://www.transweb.sjsu.edu/present.htm>

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12. MIGRATION OF IISTPS' LIBRARY MATERIALS TO SJSU'S CLARK LIBRARY

IISTPS and San José State University's Clark Library are again teaming up to enhance the effectiveness of the Institute's transportation library. Senior Librarian Sandra Belanger (our research associate who initially managed the creation of the library) and Acquisitions Librarian Lucille Yonemura, are working with IISTPS' staff on the migration of transportation library materials to Clark Library. This move will make this valuable collection even more accessible and increase its circulation.

Library staff is cataloging existing materials into the SJSU library database. The information will also continue to be accessible via the IISTPS' online database. Publications, with bookplates added for identification as material from the Mineta Transportation Institute, are being physically moved to the nearby Clark Library on campus. Bookplates also indicate that the U.S. DOT-RSPA and Caltrans fund the Institute.

IISTPS has kept on site publications that the library already has in their inventory, such as TRB Journals. These items will be easily accessible to the research director and research associates. IISTPS' staff is reviewing new incoming material and entering information into the Institute database before transfer to the Clark Library. The library staff is cataloging each migrated item in such a way that each can be found in the SJSU database by using the Mineta Transportation Institute or IISTPS as search keywords.

We are pleased to be able to work with the San José State University library to make our transportation library materials available to a wider audience.

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13. Y2K

Upon review, IISTPS feels comfortable with its handling of system preparation for Y2K. The Institute took the Y2K issue seriously as a potential systems and production problem, but spent resources to address the problem wisely and with little cost.

The Institute Web Administrator checked the Web server and each of the Institute's desktop computers for the ability to correctly rollover to the year 2000. Each computer was confirmed to use or was changed to use a four-digit short date formula. The administrator also reviewed applications and files to identify potential date handling conflicts. She found a couple of programs whose manufacturers' suggested upgrades. These were downloaded free of cost from the manufacturer's web site (e.g. we upgraded our Internet Explorer browsers to version 5.0). The administrator also spent minimal time reviewing other equipment for potential Y2K conflicts. All effort was documented on a spreadsheet checklist.

In January 2000, upon return from the SJSU campus break, only one problem was identified and then quickly remedied. Even though the manufacturer had identified it as being Y2K compliant, the office fax machine had rolled over to 1934! We quickly reprogrammed the fax machine to the correct January 2000 date.

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B. RESEARCH PROJECT STATUS

1. New (selected during the first six months of the current grant year)

Project Number	Project Title	Principal Investigator
9901*	Construction of Transit-Based Developments: New Policy Initiatives for Governments	Dr. Scott Lefaver
9902*	How to Best Serve Seniors in Existing Transit Services	David Koffman
9903	Effects of Online Shopping on Vehicular Traffic Patterns	Dr. Joe Gigliero
9904	Passing Local Transportation Tax Measures: A Follow-up Study	Dr. Richard Werbel
9905	Developer-Planner Interaction in Transportation and Land Use Sustainability	Dr. Aseem Inam
9906	Transit Labor Relations Guide	Dr. Herb Oestreich
9908	Non-Pricing Methods to Optimize High Occupancy Vehicle Lane Usage (in negotiation; may proceed with revised scope and budget)	Stuart Harvey
9909	Statewide Safety Study of Bicyclist and Pedestrian Accommodation and Safety on Freeways, Expressways, Toll Bridges, and Tunnels	Dr. Thomas Ferrara
9911	Garrett Morgan Symposium	TBD

*9901 and 9902 were selected in May 1999 and funded during the 99/00 fiscal year.

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2. Ongoing (from a prior grant year)

Project Number	Project Title	Principal Investigator
9802	NAFTA II: California Border Zone Land Transportation Issues	George Gray
9803	Transportation and Land Use Innovation: Impacts on Household Residential Choice	Dr. Jonathan Levine
9804	Applying an Integrated Urban Model to the Evaluation of Travel Demand Management Policies in the Sacramento Region	Dr. Robert Johnston
9805	Assisting Public Transportation Operators in Responding to Chemical and Biological Threats	Brian Jenkins
9806	GIS for Livable Communities: Using GIS to Improve Transportation Planning and Community Livability	Dr. Tom Horan
9807	Creating a Planning Template for Nonwork Travel and Transit Oriented Development (TOD)	Dick Nelson
9808	Transportation and Welfare Reform: The Travel Behavior and Needs of Welfare Recipients	Dr. Evelyn Blumenberg
9810	Envisioning Neighborhoods with TOD Potential	Dr. Earl G. Bossard
9811	Best Practices in Developing Regional Transportation Plans	Dr. Donald N. Rothblatt
9813	Implementation of Zurich's Transit Preferential Program	Andrew Nash
9814	Water Transit Forums	Trixie Johnson
9704	Our Transportation Crisis: Who Will Pay? (forum proceedings)	Trixie Johnson
9705	Driving into the Twenty-First Century: Technology Solutions to Transportation Problems Symposium (proceedings)	Trixie Johnson

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3. Completed (since the beginning of the grant)

Project Number	Project Title	Principal Investigator
9701*	Analysis of Policy Issues Relating to Public Investment in Private Freight Infrastructure	Dan Evans, J.D.
9702*	Why Campaigns for Local Transportation Funding Initiatives Succeed or Fail: An Analysis of Four Communities and National Data (Development of Surface Transportation Community Coalitions)	Dr. Peter Haas

* Research and Peer Reviews are complete – final reports are being prepared for publication.

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C. FINANCIAL STATUS

This section to be completed by the Foundation.

The third section of the Semi-Annual report is a financial status report which tracks the actual commitment of Center funding against the approved budget on a semi-annual basis. Funding for this multi-year grant is provided in annual increments; therefore, as separate status report must be submitted for each annual increment until that increment is fully committed. This data may be submitted to DOT in any reasonable format, but must provide information.

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