

APPENDIX V

1. Copies of Surveys Sent to State Agencies and Motor Carriers for the Jurisdictional Issues Evaluation

COPY OF MOTOR CARRIER SURVEY

- I. One of the evaluation objectives of the Advantage I-75 Mainline Automated Clearance System (MACS) is to determine institutional or jurisdictional issues that may impact the development of implementing Intelligent Transportation Systems (ITS) technologies, specifically electronic screening.
- II. To that end, we are examining two hypotheses:
 - A. The Advantage I-75 MACS Operational Test will provide motor carriers with sufficient information to support a decision whether or not to adopt MACS or an enhanced form of electronic clearance/verification system.
 - B. The motor carriers involved in the MACS project will establish new or enhanced relationships and/or methods for resolving institutional issues as a result of the operational test.
- III. The purpose of this questionnaire is to address the following questions:
 - A. What, if any, jurisdictional or legal impediments did motor carriers encounter while implementing electronic clearance?
 - B. What were the causes of these impediments and how were they overcome?
 - C. What lessons were learned in dealing with these impediments that can be applied to other deployments of ITS products and services?
 - D. What are motor carriers' intentions for continuing Advantage I-75 or another enhanced form of electronic clearance/verification?

The information will be helpful in assessing potential preferences in future Intelligent Transportation Systems (ITS) projects.

Please take a few moments and complete the following survey. You can mail the completed survey form to: CTRE, Iowa State University, 2625 N. Loop DR. Suite 2100 Ames, Iowa 50010-8615, Attn: Dennis

Or you can fax your completed survey form to CTRE at 515-294-0467.

Thank you for your participation. If you have any questions or need assistance, please call Dennis Kroeger at 515-294-8103, or email: dennis@ctre.iastate.edu

4. Please indicate your company's satisfaction with the MACS process:

- 1. Very Satisfied _____
- 2. Somewhat Satisfied _____
- 3. Satisfied _____
- 4. Somewhat Dissatisfied _____
- 5. Very Dissatisfied _____

5. Please indicate the reasons for your satisfaction or dissatisfaction with the MACS process:

6. Based upon your participation in the MACS Project, what lessons were learned in the test, that may be applied to other ITS projects?

7. Based upon your participation in the MACS Project, is there a fee you would feel comfortable paying for electronic screening?
If so, how much?

COPY OF SURVEY SENT TO STATE AGENCY PARTICIPANTS

I. One of the purposes of the Mainline Automated Clearance Systems (MACS) is to determine institutional or jurisdictional issues that may impact the development of implementing Intelligent Transportation Systems (ITS) technology.

The hypotheses to be examined are:

- The Advantage I-75 MACS Operational Test will provide jurisdictions with sufficient information to support a decision whether or not to offer MACS or an enhanced for of electronic clearance/verification system in their jurisdiction.
- The jurisdictional agencies involved in the MACS project will establish new or enhance relationships and/or methods for resolving institutional issues as a result of the operational test.

The purpose of this questionnaire is to address four questions:¹

1. What institutional and legal impediments did the MACS Project participants encounter while establishing partnerships and deploying MACS services and products?
2. Where in the life cycle of the operational test did these impediments occur?
3. What were the causes of these impediments and how were they overcome?
4. What lessons were learned in dealing with these impediments that can be applied to other deployments of ITS products and services?

¹ "Project Memorandum U. S. Department of Transportation, Research and Special Projects Administration, John A. Volpe National Transportation Systems Center, Cambridge, Massachusetts, IVHS Institutional Issues, Monitoring Program Framework" Page 2, by Allan J. Deblasio dated September 13, 1993.

1. Organizational issues can impact the MACS project. Of these types of issues listed below, please indicate which issues have emerged on this project. For those issues that are applicable, please rate each one on the degree of severity each has (or had) impacted the project within each phase of the project.

Degree of Issue Severity: (Please rank the issues accordingly) NA=Not Applicable 1=Encountered but not Severe 2=Slight, An Irritant 3=Moderate, Hinders Progress 4=Severe, Impedes Progress 5=Critical, Could Stop the Project X=Did Not Impede But Facilitated Progress	Program Phase				
I. ORGANIZATIONAL	Planning	Design/ Development	Implementation/ Testing	Evaluation	Deployment
1. Intra-Agency Communication: To what degree do the communications within any of the partner organizations impede the achievement of program cost, schedule, or performance goals?					
2. Inter-Agency Communications: To what degree do channels of communication across organizations impede the achievement of program cost, schedule, or performance goals?					
3. Public/Private Partnerships: To what degree do differences in business practices (i.e. organizational cultures) between public and private sectors impede the achievement of program cost, schedule, or performance goals?					
4. Definition of Goals, Roles and Responsibilities: To what degree does the clarity, or lack thereof in program goals or organizational roles and responsibilities impede the achievement program cost, schedule, or performance goals?					
5. Allocation of Responsibilities: To what degree does the allocation of responsibilities across program partners/participants (i.e. knowing who's in charge of what) impede the achievement of program cost, schedule, performance goals?					

6. Upper Management “Buy-In”: To what degree does inconsistency in upper management buy-in impede the achievement of program cost, schedule, or performance goals?					
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2. Regulatory and legal issues also, may have impacted the MACS project. Of these types of issues listed below, please indicate which issues have emerged on this project. For those issues that are applicable, please rate each one on the degree of severity each has (or had) impacted the project within each phase of the project.

Degree of Issue Severity: (Please rank the issues accordingly) NA=Not Applicable 1=Encountered but not Severe 2=Slight, An Irritant 3=Moderate, Hinders Progress 4=Severe, Impedes Progress 5=Critical, Could Stop the Project X=Did Not Impede But Facilitated Progress	Program Phase				
	Planning	Design/ Development	Implementation/ Testing	Evaluation	Deployment
II. REGULATION/LEGAL					
1. Corporate Favoritism: To what degree do concerns that taxpayer funds are contributing to the competitive advantage of private sector parties impede the achievement of program cost, schedule, or performance goals?					
2. Authority: To what degree does local authority over arterial roads and state highways impede the achievement of program cost, schedule, or performance goals?					
3. Administrative Requirements: To what degree do administrative requirements (i.e., accounting, reporting, etc.) associated with the conduct of this ITS operational test impede the achievement of program cost, schedule, or performance goals?					
4. Standards and Protocols: To what degree does the demand for, or absence of a national architecture impede the achievement program cost, schedule, or performance goals?					

3. Human resources represent another source of issues that may have impacted the MACS project. Of these types of issues listed below, please indicate which issues have emerged on this project. For those issues that are applicable, please rate each one on the degree of severity each has (or had) impacted the project within each phase of the project.

Degree of Issue Severity: (Please rank the issues accordingly) NA=Not Applicable 1=Encountered but not Severe 2=Slight, An Irritant 3=Moderate, Hinders Progress 4=Severe, Impedes Progress 5=Critical, Could Stop the Project X=Did Not Impede But Facilitated Progress	Program Phase				
III. HUMAN RESOURCES	Planning	Design/ Development	Implementation/ Testing	Evaluation	Deployment
1. Staff Size: To what degree does the availability of sufficient numbers of staff impede the achievement of program cost, schedule, or performance goals?					
2. Staff Expertise: To what degree has the availability of people with particular expertise (i.e., electrical, communications, systems, hardware, software, human factors, systems integration, federal contracting, etc.) impeded the achievement of program cost, schedule, or performance goals?					

4. Financial issues can also impact the MACS project. Of these types of issues listed below, please indicate which issues have emerged on this project. For those issues that are applicable, please rate each one on the degree of severity each has (or had) impacted the project within each phase of the project.

Degree of Issue Severity: (Please rank the issues accordingly) NA=Not Applicable 1=Encountered but not Severe 2=Slight, An Irritant 3=Moderate, Hinders Progress 4=Severe, Impedes Progress 5=Critical, Could Stop the Project X=Did Not Impede But Facilitated Progress	Program Phase				
IV. FINANCIAL	Planning	Design/ Development	Implementation/ Testing	Evaluation	Deployment
1. National Priority: To what degree does the uncertainty regarding continued federal funding or public support of MACS impede the achievement of program cost, schedule, or performance goals?					
2. Market Uncertainty: To what degree does the uncertainty regarding motor carriers' willingness to pay for MACS impede the achievement of program cost, schedule, or performance goals?					
3. Cost Sharing: To what degree does the cost-sharing approach for MACS impede the achievement of program cost, schedule, or performance goals?					
4. Technology Development: To what degree has the underestimation of technology-related cost, schedule, or performance goals impeded the program from attaining its goals?					
5. Program Cost: Are the program and project budgets sufficient? If not, to what degree are they insufficient?					

5. Other issues that may have impacted the MACS project. Of these types of issues listed below, please indicate which issues have emerged on this project. For those issues that are applicable, please rate each one on the degree of severity each has (or had) impacted the project within each phase of the project.

Degree of Issue Severity: (Please rank the issues accordingly) NA=Not Applicable 1=Encountered but not Severe 2=Slight, An Irritant 3=Moderate, Hinders Progress 4=Severe, Impedes Progress 5=Critical, Could Stop the Project X=Did Not Impede But Facilitated Progress	Program Phase				
	V. OTHER ISSUES	Planning	Design/ Development	Implementation/ Testing	Evaluation
1. Privacy Issues: To what degree have privacy issues and development of appropriate confidentiality safeguards been an impediment to achieving program cost, schedule, or performance goals?					
2. Environmental Concerns: To what degree have environmental concerns (i.e. reducing truck emissions, etc.) impeded the achievement of program cost, schedule, or performance goals?					
3. Transponder Issues: To what degree has the concern of how to issue and maintain transponders impeded the achievement of program cost, schedule, or performance goals?					
4. System Deployment: To what degree have the concerns of how administer the overall MACS, and how to operate and maintain the system impeded the achievement of program cost, schedule, or performance goals?					

Choose *three to five* (3 – 5) most severe issues (those issues that have had the most impact on MACS) from the previous tables and please answer the following questions (e.g. Issue III Human Resources, Staff Size):

6 (a) ISSUE # __: _____

i) Among which institutions were these issues evident (e.g. DOT, State Dept. of Revenue, etc.)?

ii) What specifically was (were) the impacts/impediments/constraints?

iii) When in the project life cycle did each of these occur?

iv) How did the issue(s) affect the overall project?

v) Was each issue resolved? If so, how? If not, why not?

vi) Could each have been handled more efficiently/effectively? What advice would you give the members of a similar project in identifying and/or resolving these issues?

6 (b) ISSUE # __: _____

i) Among which institutions were these issues evident?

ii) What specifically was (were) the impacts/impediments/constraints?

iii) When in the project life cycle did each of these occur?

iv) How did the issue(s) affect the overall project?

v) Was each issue resolved? If so, how? If not, why not?

vi) Could each have been handled more efficiently/effectively? What advice would you give the members of a similar project in identifying and/or resolving these issues?

6 (c) ISSUE # __: _____

i) Among which institutions were these issues evident?

ii) What specifically was (were) the impacts/impediments/constraints?

iii) When in the project life cycle did each of these occur?

iv) How did the issue(s) affect the overall project?

v) Was each issue resolved? If so, how? If not, why not?

vi) Could each have been handled more efficiently/effectively? What advice would you give the members of a similar project in identifying and/or resolving these issues?

6 (d) ISSUE # __: _____

i) Among which institutions were these issues evident?

ii) What specifically was (were) the impacts/impediments/constraints?

iii) When in the project life cycle did each of these occur?

iv) How did the issue(s) affect the overall project?

v) Was each issue resolved? If so, how? If not, why not?

vi) Could each have been handled more efficiently/effectively? What advice would you give the members of a similar project in identifying and/or resolving these issues?

6 (e) ISSUE # __: _____

i) Among which institutions were these issues evident?

ii) What specifically was (were) the impacts/impediments/constraints?

iii) When in the project life cycle did each of these occur?

iv) How did the issue(s) affect the overall project?

v) Was each issue resolved? If so, how? If not, why not?

vi) Could each have been handled more efficiently/effectively? What advice would you give the members of a similar project in identifying and/or resolving these issues?

7. What do you consider to be the most important measures of success of the MACS project?
(How do you know that it has succeeded or met its goals?)

7 (a). In your opinion, is the program a success? If so, what are its positive contributions?

7 (b). Knowing what you know now, how would you have done your job differently if you had to do it over from the beginning?

7 (c). Knowing what you know now, if you were assigned to be the project manager in charge of all resources, how would you have the project manager's job differently if you had to it from the beginning? Why?

8. It is possible that several points of contact within your organization eventually became involved during the course of participation in the MACS project. For the benefit of others contemplating starting an ITS operational test, please list the names of such offices or organizations that have been active participants in one phase or another:

Of the institution types listed in the following table, please list the most actively participating organization:

8 (a) What degree of involvement does the most active participant within each category have or will have in your part of the MACS operational test phase and deployment, respectively? The operational test phase includes planning, design, development, integration, bench and field testing, and evaluation. The deployment phase assumes that the operational field test has been successful and a commitment has been made to commercially market a product.

8 (b) Which of the institutions listed in the following table have or will be in your critical path to successfully completing the MACS project's operational test and deployment phases, respectively? An organization is in your organization's critical path if the project could not be successful without it being involved.

8. INSTITUTION TYPE		8 (a): TO WHAT DEGREE INVOLVED IN PROJECT?		8 (b): WHICH ARE IN YOUR CRITICAL PATH?	
		NA = No Involvement 3 = Moderate 1 = Slight 4 = Active 2 = Minimal 5 = Intense		(Check all that apply)	
General	Specify Most Active Participant	Test	Deployment	Test	Deployment
US DOT					
State DOT					
Law Enforcement Agencies					
Department of Motor Vehicles					
Public Service Commission					
Private Sector					
Universities					
Bridge/Tunnel Authorities					
Port Authorities					
MPO's					
Transit Agencies					
Regional Agencies					
Counties/Cities					
Environmental Agencies					

9. Have we missed any other issues or concerns that were not covered that you would like to include? (Feel free to use additional paper if necessary.)