U.S. Department of Transportation

A Handbook for Coordinating Transportation Services

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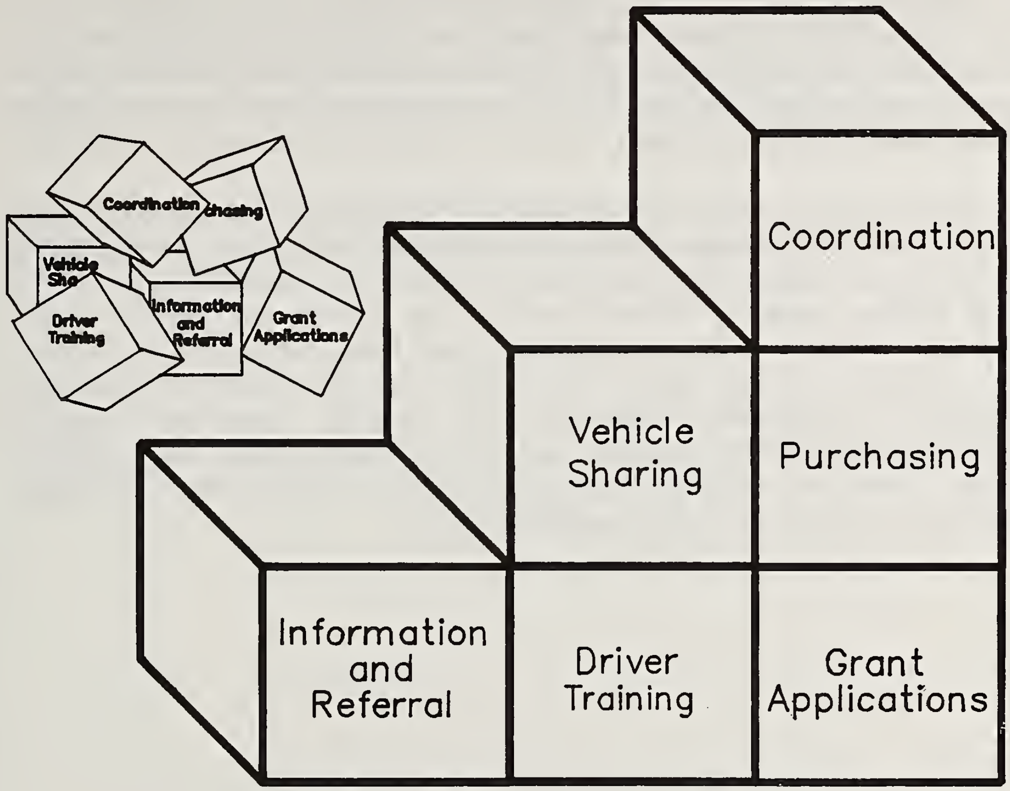
Prepared for
Ohio Department
of Transportation

STATE OF OHIO DEPARTMENT OF TRANSPORTATION

A HANDBOOK FOR COORDINATING TRANSPORTATION SERVICES



Ohio Department of Transportation

Division of Public Transportation

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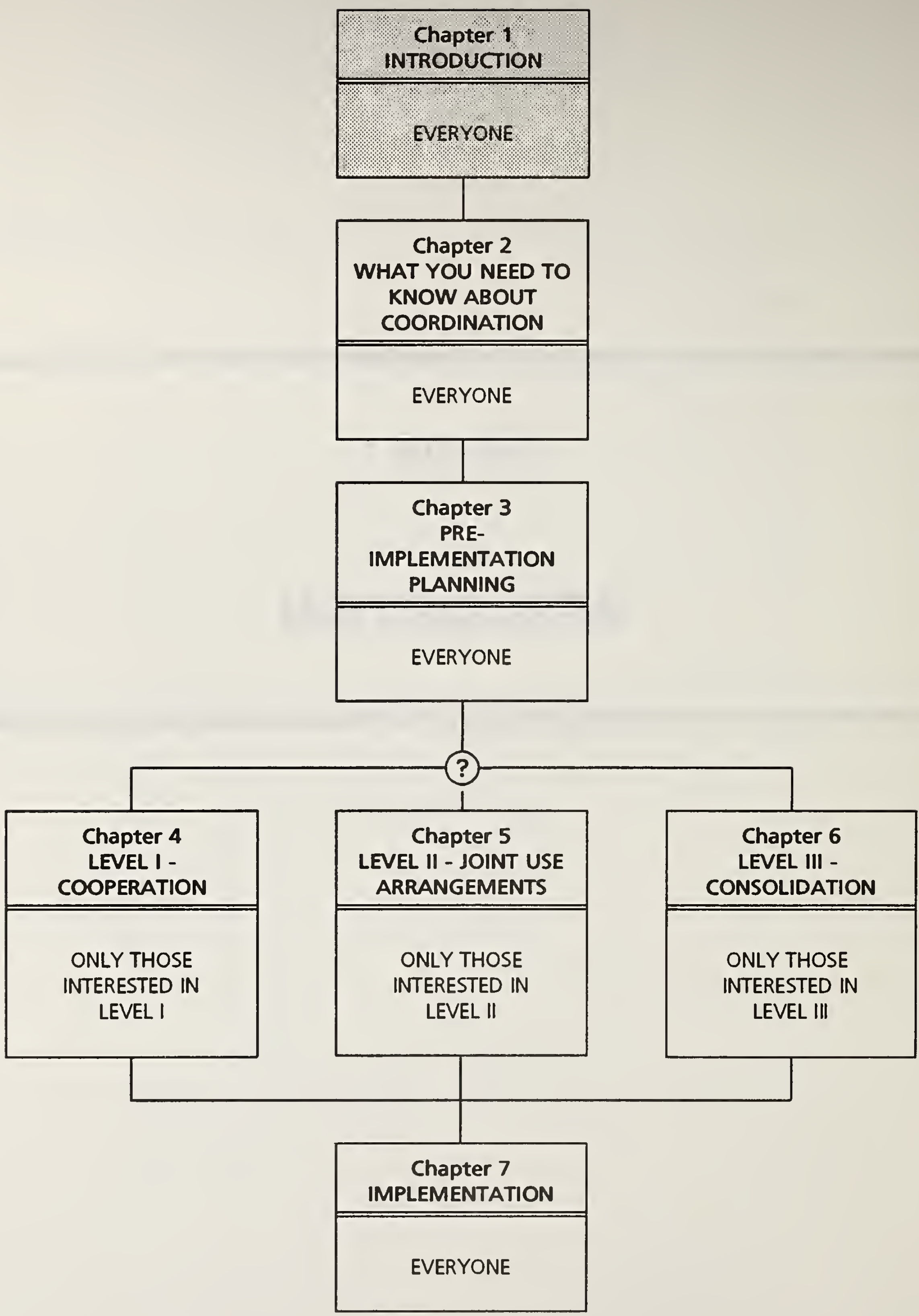
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CHAPTER 1

INTRODUCTION

INTRODUCTION

WHY WAS THIS MANUAL DEVELOPED?

Among the most critical issues facing the transportation industry and the nation as a whole is the Federal deficit. Often state and local government entities are also faced with limited budgets and insufficient funding. The corresponding cutback in aid provided for many human service and transportation programs has made it difficult for many agencies to continue providing their essential services. Often, difficult choices have had to be made between which services are provided and which are not.

In the years to come, most believe human service and related transportation funding programs will remain stable at best. However, many expect further reductions of a critical nature. This financial crisis is occurring at a time when the demand for services has never been greater. With improvements in health care and the country's social conscience, the population is aging, health care demands are soaring, and a minimum quality-of- life standard is expected for all, regardless of mental or physical capability. In addition, many new mandates have recently come into place that make the situation more difficult.

AMERICANS WITH DISABILITIES ACT

The most far reaching of the new mandates is the Americans with Disabilities Act (ADA). The intent of ADA is to ensure that all facilities open to the public, including transportation programs, are fully accessible to all Americans, including those with disabilities.

The manner in which ADA will impact human service transportation providers is unknown at this time. However, it is known that local public fixed-route services (UMTA Section 9 and Section 18 recipients) will be required to have wheelchair lifts installed on all newly purchased and rehabilitated vehicles. In addition, fixed-route services will have to provide paratransit services comparable to the fixed-route service in terms of accessibility. When determining compliance with this latter requirement, fixed-route systems are allowed to consider the transportation services provided by other transportation providers in their service area including human service agencies. Given this ADA mandate, there is a new potential for the coordination of public and human service transportation programs that can be mutually beneficial.

CLEAN AIR ACT

Another requirement that may impact the way transportation services in a region are provided include the 1990 Clean Air Act Amendments. The Clean Air Act Amendments require that all new vehicles purchased for public transportation purposes meet very stringent clean air requirements. Should any of the transportation services in the region be open to the public, the choice of vehicle type, size, cost and timing of vehicle purchases or rehabilitation will be impacted.

COMMERCIAL DRIVERS LICENSE

The Commercial Drivers License (CDL) requirements is also an issue facing any agency that utilizes vehicles larger than 16- passenger (including the driver) or 26,000 pounds. Any driver who operates a qualifying vehicle must have an official CDL prior to April, 1992. In order to obtain a CDL, drivers must undergo a difficult written test that assesses their knowledge of vehicle operation, air brakes, and the rules of the road. In addition, a skills test is required for inexperienced drivers, or those existing drivers who do not meet various standards regarding prior experience and traffic violations. This requirement may affect the manner in which human service transportation is provided as driver availability may be reduced, driver cost may rise reflecting the increased demand for certified drivers in the local labor market, and fleet make-up (i.e. vehicle size) may be modified.

DO MORE WITH LESS

In addition, many other demands are being placed on the human service agencies for new or expanded programs. Often, these new programs or mandates are under-funded or not funded at all. Consequently, those agencies providing transportation services are expected to do more with less funding.

Given the existing State of Ohio financial conservatism, State transportation funding levels are expected to have only modest increases at best.

The Federal Section 16(b)(2) program for capital assistance to private non-profit human service agencies and administered by the State, is very competitive. For years there have been insufficient funds for all vehicle requests. The competition for these funds is expected to become more intense as other funding sources are eliminated or reduced.

CAPITAL REQUIREMENTS

Another major problem facing many of the local agencies is their overall fleet age and vehicle condition. Many of the vehicles being used in service today are operating beyond their useful life, increasing vehicle maintenance cost and compromising reliability and passenger safety. With the intense competition for Section 16(b)(2) capital assistance, there are few, if any, options available for vehicle replacement for human service agencies.

SERVICE DEMAND

The general perception within many communities is that the demand for transportation services in their region is growing and the existing transportation services are unable to meet the demand. As each area's population ages, funding constraints increase, and new program mandates are issued, the unmet demand is likely to grow. Often discussions at the local level indicate financial resources available from local sources to help fund transportation services are limited.

THE FUTURE OF HUMAN SERVICE TRANSPORTATION

In whole, the future of human service transportation is not promising unless additional funding for operating and capital assistance can be found. The probability of additional funding is very unlikely given the existing and future financial constraints facing the nation, state, and local communities. Consequently, the local human service transportation providers are faced with a difficult challenge and must look to innovative, non-traditional methods of service provision and inter-agency cooperation to meet the growing demand for transportation services.

The coordination of transportation resources in some areas has resulted in the elimination of duplicative efforts, enhancements in service quality, and improvements in overall system cost-effectiveness. Others have found that coordinated systems are better able to effectively compete for grants and contributions, and that they are often in a position to pool fiscal and capital resources available within the region to maximize service delivery and promote operational efficiency. The actual benefits to be derived from a coordination effort, however, will depend in large part on the level of commitment within the community, the organizational structure, and the program administration.

This Handbook was developed to assist those interested in coordination activities and to provide step-by-step guidance through the planning and implementation process.

KNOW HOW TO USE THIS HANDBOOK

This handbook provides a step-by-step process for getting a coordination program started. At the beginning of each step, guidance is provided as to who should read that step. Depending upon decisions which you will be making along the way, some of the steps (and even chapters) may not apply to you. It is important that you read the "Who Should Read This Step?" paragraph under each step. You will then be able to decide if that step applies to you.

Within each chapter and at the end of each step there is a Checklist. As you work your way through this handbook you will find yourself moving along to those chapters that apply to you. Before proceeding to work through a chapter, it is helpful if you read each Checklist at the end of each step in each chapter before you go on to read the entire chapter. By following this advise you will get an idea of the kinds of activities that must be completed. Note that you need not read the entire handbook. You only need to read and work through those chapters and steps that apply to you. Once you have determined that a step applies to you, work through that step and do not go further until you can answer "yes" to each question in the Checklist.

Be sure to follow each step. Do not skip a step unless it does not apply to you.

Following the Checklist at the end of each step, materials have been prepared for you to use in completing the step. Feel free to adapt these as necessary to meet your needs.

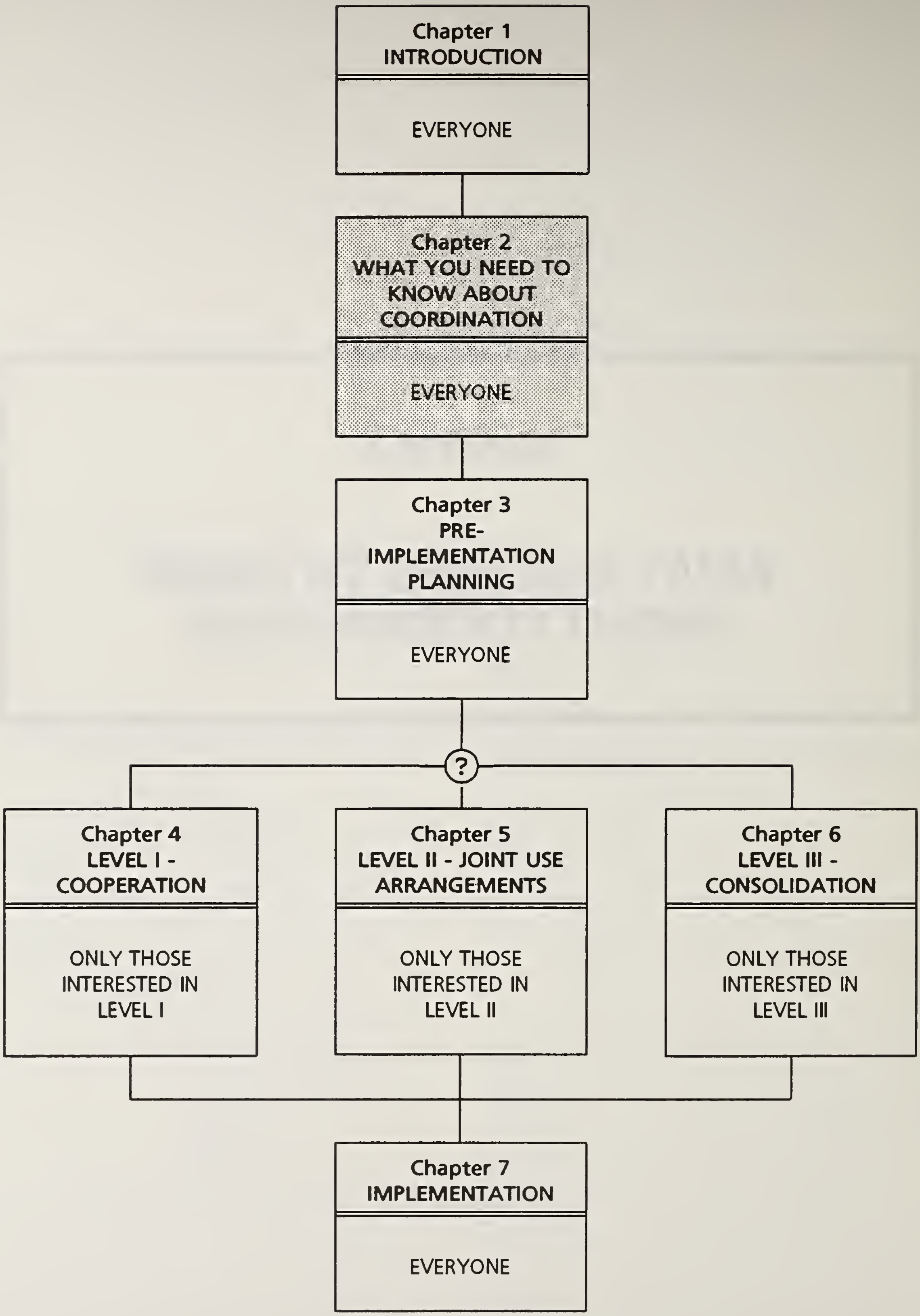
CHECKLIST

☐ Do you know how to use this handbook?

If you feel you know how to use this handbook proceed to Chapter 2.

CHAPTER 2

WHAT YOU NEED TO KNOW ABOUT COORDINATION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CHAPTER 2

WHAT YOU NEED TO KNOW ABOUT COORDINATION

STEP 1: UNDERSTANDING WHAT COORDINATION MEANS

WHO SHOULD READ THIS STEP?

The purpose of this Step is to provide all readers with a good understanding of coordination. Everyone who is considering starting the coordination planning process needs to read this Step.

WHAT IS COORDINATION?

Coordination. What does it mean? How does it apply to transportation operations? What does it offer?

In the transportation industry coordination can involve many different activities. Coordination occurs when a group of people (public, private non-profit, and/or private for-profit entities) work together to expand one or more transportation related activities through joint action for getting increased benefits. Simply put, coordination is cooperation in the delivery of transportation services.

In most areas of the country there are numerous public and/or private non-profit human service agencies. Each of these agencies coordinate their programs with the needs of their clients. Often agencies have set up transportation systems to get their clients to programs or services. Their transportation services then are coordinated with their other programs to get clients and members to their destinations on time. This is internal-agency coordination. Sometimes two or more agencies work together to transport their clients or patrons where they need to go. This is agency-to-agency coordination. This handbook addresses agency-to-agency coordination.

THE THREE LEVELS OF COORDINATION

Coordination covers a wide range of possible activities. Three levels of coordination are defined in this handbook.

- Level I - Cooperation;
- Level II - Joint Use Arrangements; and
- Level III - Consolidation.

There are many ways that the coordination of transportation services or activities can occur. Always remember that you need not coordinate every activity to have a successful coordination program. There is no right or wrong degree or Level of coordination. Coordination efforts can be successful at any Level, they can be focused on one particular Level or they can be phased in (e.g. Level I, Level II, Level III), stopping anywhere along the way. What you believe will work in your area is the best place to start.

How to make coordination happen at each Level is explained in greater detail within this manual. Before proceeding you need to have a good understanding of each Level and the range of opportunities that each Level provides in delivering more cost-effective or efficient transportation services.

Level I - Cooperation

The word cooperation means two or more people (or groups) working together toward a common end. Level I has been named Cooperation because cooperation must first exist if any Level of coordination is to occur.

When two or more agencies, organizations or private for-profit companies agree to work together for improved transportation services they have started the Level I coordination process. These can be informal, such as a verbal agreement. They can also be formal, requiring actions by governing boards and the signing of contracts.

An example of informal cooperation is when two or more agency administrators agree to exchange information. That information may include the transportation services that the agencies provide, eligibility requirements for receiving those services, and information on how to apply for help. Each cooperating agency refers inquiries from the public to whichever agency may be in the best position to provide the needed help.

Another example of informal cooperation would be when an agency, such as a Goodwill program, tells its clients about other transportation services that they may be able to use. Don't forget that the other transportation services may be operated by a public entity or the services may be provided by a private for-profit company.

A more formal example of cooperation would be when two or more agencies agree to submit a joint application for an UMTA Section 16 (b)(2) grant. In this case each participating agency would need to take formal action to approve participation in the application.

A second example of a more formal cooperation program would be when an agency agrees to reimburse clients or members for their transportation costs. The clients or members are then free to purchase their own transportation, for example from a local taxicab operator, and the person is then reimbursed by the agency. Or an agency may enter into a purchase of service arrangement with the local private company directly and pay the operator for their client's or member's travel.

Remember that cooperation can occur in many activities.

Level II - Joint Use Arrangements

A joint use arrangement occurs when one or more of the resources of the involved participants are available for use by other participants. The resources could be vehicles, staff time, staff knowledge, or facilities. In a joint use arrangement all participants can be contributors. In this case, each participant offers something that the other participants need and want. It is also possible that only one participant might be the contributor. In this situation the other participants become the users.

Arrangements for joint use can be informal or formal. An example of an informal joint use arrangement would be where one agency or company agrees to provide driver training for other agency or company drivers. In exchange, the participants would agree to help pay for the training costs (trainer's time, course materials, and training facilities).

A second example of an informal joint use arrangement would be when one entity takes the lead in putting together an informational brochure that explains all of the transportation services provided in the area. Other participants, which can be both public and private, then help in paying the costs for brochure development, production and distribution.

An example of a formal joint use arrangement would be where one participant agrees to pay an agreed upon rate per vehicle mile for using another participant's vehicle on certain days of the week. This use could be for certain times of the day or for special trips when additional seats are required.

A second example of a formal joint use arrangement would be when one participant provides office space for another participant or when a certain room in a building is used by two different participants at different times of the day.

As with cooperation, joint use arrangements can apply to many activities.

Level III - Consolidation

Consolidation is the most comprehensive level of coordination. It is defined as the joining or merging of transportation resources for the benefit of all participants. In a consolidated transportation system the services of two or more providers are combined into a single system. Consolidation arrangements require formal relationships. Consolidation also requires one of the participants or a new entity to take on the role of coordinator. It is also possible for a private for-profit company to perform the coordinator role.

Even though examples of variations and numerous combinations are in existence, there are primarily two types of consolidated systems: Single Provider systems and Brokerage systems. Each is briefly explained.

- **Single Provider** - In this type of consolidated system, one existing or newly formed agency, organization or company assumes the responsibility for all aspects of administration, management and service operation. Included are a range of responsibilities, from the preparation of grant applications through hiring drivers and providing on-street operations. The service provider undertakes all activities necessary to provide transportation.

- **Brokerage** - In a brokerage system, the responsible entity oversees all of the coordination activities. This responsible entity then becomes the "broker/coordinator". In most cases the broker/coordinator contracts with other entities to operate vehicles. These "other entities" may include public agencies, public and private non-profit organizations as well as private for-profit companies. Since multiple operators are used, often the service providers in a brokerage include a combination of public and private entities. Sometimes the broker also contracts out work on selected administrative or management duties to public or private entities. The broker enters into agreements with other agencies or private providers to hire drivers and deliver the service. Usually, the broker takes all trip requests and determines which participant or contractor is best suited to provide the service.

  There are no rules as to what activities should be performed by the broker and which should be contracted. For example, a broker may do the grants, set up the schedules, and do all the marketing. Contractors may hire drivers and operate service. They also may do all the maintenance and purchase all the materials and supplies necessary for keeping the vehicles in operation. Conversely, the broker may purchase all of the parts and supplies and provide maintenance but contract to one or more operators for setting up the schedules and operating service.

It is also possible to set up a coordination program which combines portions of the single provider and brokerage concepts. Some coordinated systems, for example, provide nearly all of the service with their own drivers. However, they contract with one or more other service providers for selected services or routes. In other systems, the broker only provides a small amount of service and contracts with others for most of the services. The possibilities are unlimited.

HOW DO YOU CHOOSE?

Hold on. It's not yet time to select that Level of coordination that will be best for you and your area. Remember that coordination can produce benefits for all participants at any Level. It is true that each Level gets more complex. However, the higher Levels of coordination produce the greatest benefits. The remainder of this Chapter, along with Chapter 3 provides all of the preliminary steps that are critical to the implementation of any form of coordination. At the end of Chapter 3 you will need to make a choice. If you follow this handbook, when you reach the decision point in Step 5, Chapter 3, you will be prepared to select the level of coordination that is best for you.

CONSIDERATIONS AND BENEFITS OF COORDINATION

There are many specific reasons why coordination should be considered. Agencies and organizations who either provide transportation services directly or want to purchase transportation for their membership can benefit. The benefits normally fall into one or more of four categories:

- Increasing the number of trips they can provide;
- Improving service quality;
- Freeing up staff to handle other work; and
- Long term cost savings.

Increasing the Number of Trips

Most human service agency transportation providers want to be able to provide more trips for their clients or members. However, in most areas there are simply not enough resources to meet the volume of service needed. In a coordination program where people share the use of vehicles, frequently more trips can be provided for the same amount of money.

How does this work? If Agency A is now operating a service and only one-half of the seats are full, the Agency has additional capacity. Through coordination, Agency A has an opportunity to fill those seats by making them available to Agency B. Now the service costs can be divided between both agencies. As a result, Agency A has saved money. This savings can be used to provide additional service for its clients, assuming of course that the Agency has either vehicles to provide other service or that the Agency can purchase added services from another public or private service provider. Agency B, on the other hand, has service that it may not otherwise have been able to afford or even secure.

EXAMPLE

AGENCY A

Operates a 15 passenger van with 5 empty seats on a run each morning.

Vehicle operating cost for this run is $30.00.

Agency A cost per passenger = $3.00.

AGENCY B

Has 5 passengers with no service each morning.

Agency A offers their empty seats to Agency B.

Agency A passengers (10) plus
Agency B passengers (5) = 15 passengers

Agency A vehicles operating costs of $30.00 divided by new total passengers (15) equals new per passenger cost of $2.00.

RESULTS

1) Reduced per passenger cost for Agency A.
2) Agency A cost savings could be used to provide more trips.
3) Agency B gets service for unmet need.
4) Vehicle utilization improved.

Improving Service Quality

Service quality is important. It determines the way people think about the transportation services that are being provided. In transportation, service quality is measured in many ways. For example, vehicles being on time is one measurement. The cleanliness of vehicles is another example. Having safe, dependable and friendly drivers may also impact service quality.

The area of driver training provides one example of how service quality can be improved through a coordination program. In a small agency or company, drivers are either part-time or have other non-driver responsibilities. Because the agency or company may have all part-time drivers, it is both difficult and costly to provide an on-going driver training and development program. Also, when only part-time driver jobs are available, turnover can be high. This results in the need to train new drivers. In this situation, the training provided focuses primarily upon essential skills. In a coordinated system, it is easier to set up full-time driver positions. This then can lead to drivers staying longer. As a result the training provided can go beyond essential skills and cover such topics as defensive driving, passenger assistance techniques, and public relations. Increasing the skill levels of drivers can result in higher driver wages and increased fringe benefit costs (due to going from part- to full-time). However, these increased costs can be spread over more participants. The payback from the more advanced training can be measured in terms of service quality and increased driver loyalty.

Freeing Up Staff Time for Other Work

Many human service agencies do not have full-time staff assigned to transportation activities. Rather, the responsibilities for ensuring that transportation service occurs are assigned to one or two persons whose primary duties are non-transportation related (ie. casework). These responsibilities can cover a range of activities, from driving, scheduling maintenance, and scheduling rides, to writing grants for vehicles and even preparing vehicle specifications. Through coordination, these duties can be assigned to a full-time person whose primary job is transportation-related. The result is that other staff are free to focus upon their primary jobs.

Long Term Cost Savings

In certain situations, coordination of transportation services can save money. These potential savings are usually long term. Saving money, therefore, should not be the only factor influencing a decision to coordinate. How much can be saved depends upon the Level of coordination decided upon and the activities undertaken. One example of where a savings can occur would be in those situations where the total number of vehicles in an area can be reduced. Through sharing vehicles, not only is the capital investment reduced, but the costs for insurance and maintenance are also reduced.

Another example would be when two organizations agree to hire a common transportation staff person to oversee their transportation operations and to divide the employment costs. While neither may have personnel dedicated solely to the transportation function and the addition of new staff will add cost to the agencies, these costs may be less than if each agency had to hire their own full-time staff to meet future demand. By working together today, each may eventually avoid having to individually fund a full-time employee.

REAL AND PERCEIVED BARRIERS TO COORDINATION

Road blocks to coordination are called barriers. Barriers to coordination do exist. These are referred to as real barriers. Sometimes, however, people think that coordination cannot occur for reasons which are not based upon fact. These are perceived barriers. A barrier is real only when all the options have been explored and none offers a solution.

Some of the more commonly expressed real barriers are:

- Restrictions on grant funds;
- Insurance restrictions;
- Vehicle ownership;
- Incompatible client/membership group; and
- Lack of flexibility in making travel changes.

Agency regulations are often viewed as real barriers. It is true that these rules can make coordination more difficult but not impossible. In the majority of cases, most barriers, perceived or real, can be overcome with perseverance and creative solutions. Do not stop at the first "no"!

In setting up a coordination program it is important to recognize the possible barriers. You need to determine which of the barriers are real and which are perceived. Ask questions and investigate. You won't know which barriers are truly real unless you check them out thoroughly.

Make a list of barriers that you feel you may run across in developing your coordination program. Organize that list by those barriers which you feel are real and those which you believe are not real. As you go through the planning process contained within this handbook keep this list handy. Refer to it frequently and make changes as you go along. Remember. You do not need to know everything nor do you have to have an answer for everything!

But how do you investigate possible solutions to anticipated barriers? Where do you go? Who do you ask? How do you investigate? The best advise is to cover all of the bases. Talk to persons locally to see if they feel that a real barrier exists. If local opinion confirms that you have one or more potential barriers, explore if others have overcome the barrier or barriers and if so, how? Three good places to inquire are as follows:

- National Rural Transit Assistance Program (RTAP) Hot Line
  1-800-527-8279
- American Public Transit Association
  1-202-898-4000
- Public/Private Transportation Network
  1-800-522-7786 (PPTN)

With the information collected you can then focus upon solutions designed to address potential barriers.

MYTHS

Myths are false beliefs or impressions. They can be positive or they can be negative. As a coordinated system is being developed, it is important to be on the lookout for myths. You will want to be sure that unrealistic expectations do not develop. This can lead to disappointment later and may restrict your efforts to implement coordination.

Several examples of common myths are:

- We will see immediate cost savings;
- We will get more service;
- We will lose our flexibility;
- Our clients have special needs which a coordination program cannot address; and
- Our total transportation costs will increase.

Both positive as well as negative myths may or may not become true. This depends upon how your system is put together.

In planning your coordination program it is important to be on the lookout for myths as they surface. Be prepared to offer statements of fact or to refer to the experience of others to dispel the myths. Always guard against unrealistic expectations.

Make a list of both the positive and negative myths that you expect to come across. Refer to this list as you proceed with the planning process and make changes to the list as you go along.

CHECKLIST

- ☐ Do you understand the three Levels of coordination?
- ☐ Have you identified possible real and perceived barriers?
- ☐ Have you listed both positive and negative myths that you expect to encounter?

If you can answer "yes" to each of the questions in the Checklist you are ready to move on to Step 2: Become Familiar With Funding Agency Policy Issues.

STEP 2: BECOME FAMILIAR WITH POLICY ISSUES

WHO SHOULD READ THIS STEP?

Everyone who is considering the initiation or expansion of a coordinated transportation program should read this Step. The purpose of this Step is to encourage all readers to become aware of their funding agencies' policies on coordinated transportation programs.

In addition, this Step will provide all readers with a good understanding of the Coordination Policy established by the Ohio Department of Transportation (ODOT) for small urban and rural transportation programs funded in part by Federal and State funds.

THE ODOT COORDINATION POLICY

The Ohio Department of Transportation through its Division of Public Transportation (Division) administers the Federal Section 8, 16(b)(2), and 18 Programs of the Urban Mass Transportation Administration (UMTA). In addition, ODOT administers the Section 9 program for urbanized areas with populations less than 750,000. Likewise, ODOT administers State funds through the Ohio Public Transportation Grant and the Ohio Elderly and Handicapped Transit Fare Assistance Programs.

The growing demand for transportation services along with the limited and uncertain State and Federal funding prompted ODOT to establish a formal coordination policy. The policy was designed to define ODOT's priorities and to outline the Division's responsibilities. The policy is as follows:

Coordination Policy

"The Ohio Department of Transportation (ODOT), through its Division of Public Transportation, administers Federal transit funds allocated to Ohio and State General Revenue funds appropriated for State transit programs. Consistent with Federal guidelines, it is ODOT's policy to coordinate these programs and funds; to provide the most cost efficient and effective programs and services possible; and to avoid any duplication of programs and services to the maximum extent feasible. Further, these programs will be reviewed for possible coordination with other programs and funds and ODOT will cooperate with other Federal and State agencies to accomplish this coordination."

ODOT ADMINISTERED FUNDING PROGRAMS

All applications for funding through ODOT including Sections 16(b)(2), 18 and 9 will be evaluated carefully for existing and potential coordination efforts. Applications that document coordination efforts will be rewarded with a more favorable review than those without such efforts. The specific criteria, weighting, and incentives/disincentives for each funding program are defined in detail in each respective funding application.

Any agency or governmental entity wishing to obtain public transportation funding should strive to understand the criteria established for coordination in the grant applications and to document all coordination efforts to maximize the scoring of their applications. At a minimum, agencies are encouraged by ODOT to explore coordination opportunities within their area, and to participate in established coordination committees and task force groups. ODOT staff are available to assist with interpretation of the grant application requirements, explanation of funding criteria and corresponding incentive programs for coordination.

Those agencies seeking public transportation funding should make a list of all the coordination activities currently in place and write a detailed description of each. Include discussions on all planning activities, group meetings, and formal and informal arrangements. Likewise list and describe all of those activities that are planned. Document your progress through this manual to help define your goals, accomplishments, and anticipated course of action. Include this discussion in grant applications as appropriate to document your coordination efforts. Be sure to include everything to ensure the maximum scoring of your application.

OTHER FUNDING AGENCY POLICIES

In addition to ODOT, there are a number of other Federal and State agencies that provide funding in one form or another for transportation. Many of these agencies and funding programs support coordination efforts. In addition, efforts are being made at the state and federal levels to remove many of the program generated barriers to coordination. Consequently, anyone interested in pursuing coordinated activities should contact their funding sources to determine their official policy and how this is reflected in the administration of their funding program.

CHECKLIST

- ☐ Do you understand your funding agency's policy on coordination?
- ☐ Have you reviewed the grant application to determine the criteria established for coordination efforts?
- ☐ Have you documented your coordination efforts in your grant application?

You are now ready to move on to Step 3: Before You Begin.

STEP 3: BEFORE YOU BEGIN

WHO SHOULD READ THIS STEP?

If you are still interested in developing a coordination program, it is critical that you read this Step. It has been designed to provide instructions on using this handbook effectively and to help you determine if coordination is possible in your area.

WHO WILL LEAD THE WORK EFFORT?

By now you know that someone will need to take the lead in putting together a coordination program. You also know there is a lot of work to do. You must decide who will be the leader. You must also decide who will do the work. Is that someone you? Before proceeding, the person or persons who will take responsibility for leading and doing the work must be identified. Remember that time is necessary, and time often also means money.

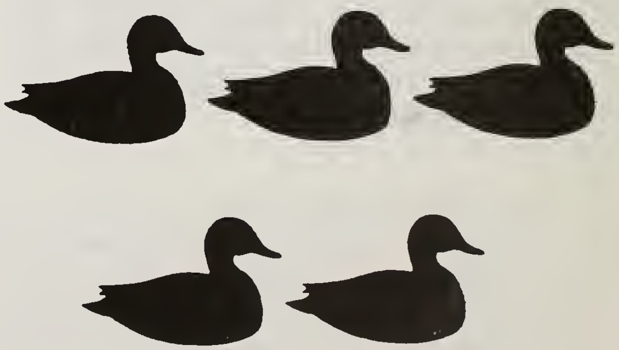
Keep in mind that the keys to success are time, dedication and perseverance.

LINE UP YOUR DUCKS

Talk to people about your plan to work toward a coordination program. Share your knowledge with human service agencies and other public and private transportation providers within your community. Be sure to talk not only to staff, but also to executive directors or program administrators, company owners and others who hold top leadership roles. Also be sure to talk to members of your governing board! If you do not know these persons, now is the time to get to know them. It is important that you get a feel for what others think. Are they supportive? Are they unsure? Are they strongly opposed? Take the time to meet and talk with others.

WHAT DO YOU HOPE TO ACCOMPLISH?

After talking to people you will be able to begin the process of identifying what may or may not be possible in your area. Sit down and put onto paper where you would like your program to go. Putting your thoughts down on paper will make it easier to communicate your vision to others. It may be helpful to list possible obstacles and those activities that you think will be most difficult to accomplish. As you continue to "spread the word" to others, they may offer possible solutions to overcome the obstacles and barriers you may have listed in Step 1 of this Chapter. As you continue through the planning process keep these lists handy. You may want to make changes to them as you go along.



TACKLING THE FIRST ISSUE: IS COORDINATION FEASIBLE IN YOUR SERVICE AREA?

Before you spend much time on coordination, determine the answer to each of the following questions:

- Is there more than one organization, agency or company in your area that operates transportation service?
- In your discussions with others is there anyone else from another agency, organization or company who agrees that coordination is worthwhile?
- From that discussion, can you expect their support and cooperation, even if more convincing is needed?
- Is your governing board or boss supportive of a coordination effort?
- Is there someone who is willing and able to take the lead?
- Does the lead person have the commitment, board support, time and resources to proceed?
- Is that someone you? (If not, get this handbook to the lead person and tell them to start at the beginning.)

Do not proceed until you can answer all of the above questions with a "yes."

GET AN ENDORSEMENT FOR YOUR EFFORT

If you answer to a board or committee, or if you answer to a superior, you will need to get their support before you proceed. If a committee or board is involved, it is important to have a resolution passed that authorizes you to undertake the planning activities contained within this handbook. A sample resolution is provided at the end of this Step.

CHECKLIST

- ☐ Have you read Chapters 1 and 2 of this handbook?
- ☐ Have you identified who will lead the coordination effort?
- ☐ Have you talked to other people who may also be interested in coordination?
- ☐ Have you written your objectives on paper?
- ☐ Can you answer "yes" to all the questions listed under "Tackling the First Issue" in this Step 3?
- ☐ Do you have a committee or board resolution authorizing you to proceed or do you have your supervisor's approval?

If you can answer "yes" to each of the questions in the Checklist you are ready to move on to Chapter 3, Pre-Implementation Planning.

STEP 3: BEFORE YOU BEGIN

Supplementary Materials

- **SAMPLE AUTHORIZING RESOLUTION**

AUTHORIZATION FOR DEVELOPING A TRANSPORTATION COORDINATION EFFORT

FOR ______________________________

RESOLUTION NUMBER ____

WHEREAS, the ______________________ (name of board or committee) believes that the transportation services provided in _______________________ (name of county, city or region) can be improved through a coordination program, and

WHEREAS, the ______________________ (name of board or committee) desires to proceed to develop a coordination program in ________________________ (name of county, city or region),

NOW, THEREFORE, the __________________ (name of board or committee) hereby adopts this Resolution as evidence of its support for and commitment to the development of the coordination effort.

BE IT HEREBY resolved by the __________________ (name of board or committee) that it endorses and supports ___________________ (name of participant who will lead the coordination program) in the development and implementation of a coordination effort for _____________________________ (name of county, city or region).

APPROVED, PASSED AND ADOPTED THIS _____ DAY OF ____, 19____.

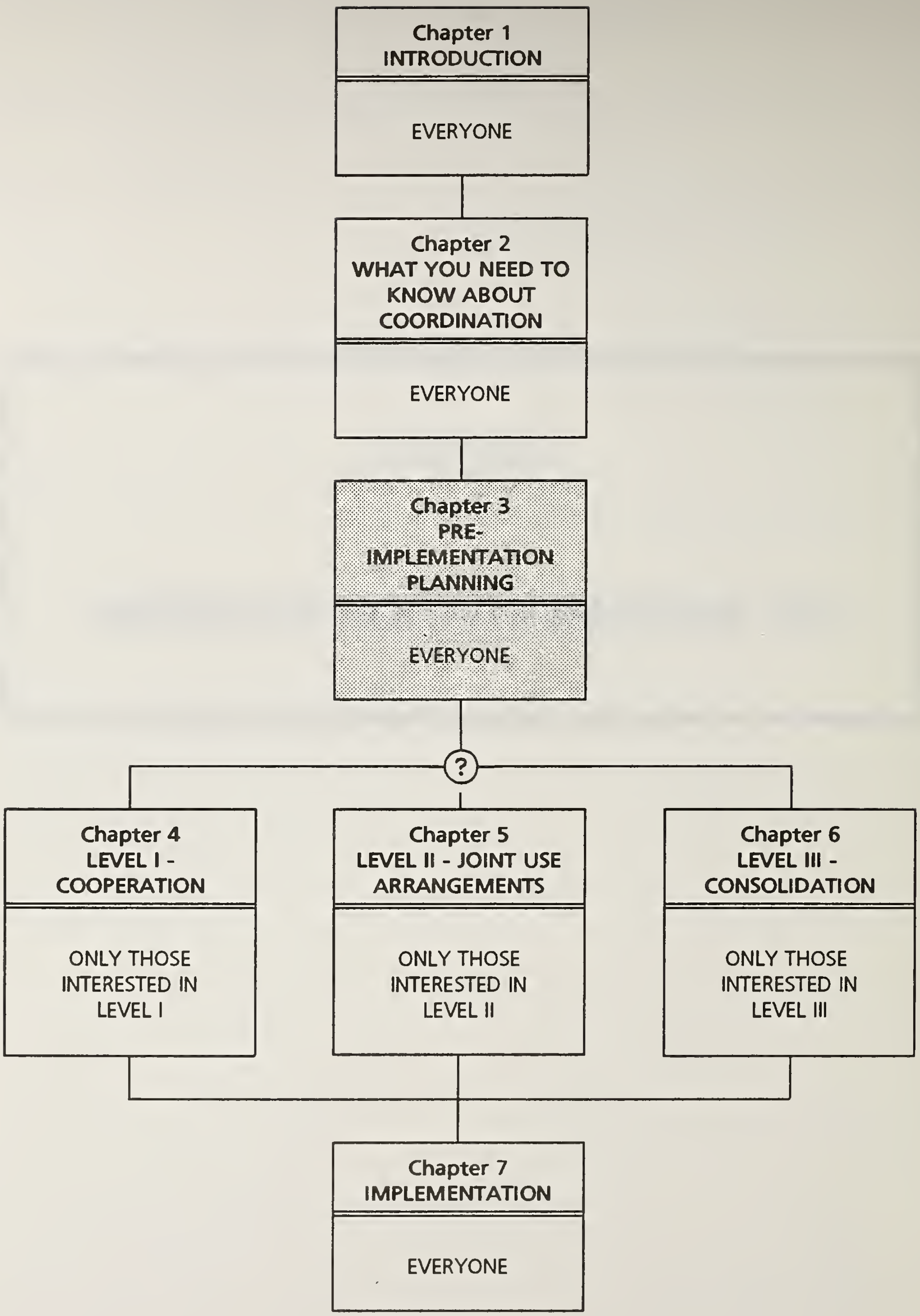
Signed __________________________

Title __________________________

Date __________________________

CHAPTER 3

PRE-IMPLEMENTATION PLANNING



Chapter 1
INTRODUCTION
EVERYONE
Chapter 2
WHAT YOU NEED TO KNOW ABOUT COORDINATION
EVERYONE
Chapter 3
PRE-IMPLEMENTATION PLANNING
EVERYONE
?
Chapter 4
LEVEL I - COOPERATION
ONLY THOSE INTERESTED IN LEVEL I
Chapter 5
LEVEL II - JOINT USE ARRANGEMENTS
ONLY THOSE INTERESTED IN LEVEL II
Chapter 6
LEVEL III - CONSOLIDATION
ONLY THOSE INTERESTED IN LEVEL III
Chapter 7
IMPLEMENTATION
EVERYONE

CHAPTER 3

PRE-IMPLEMENTATION PLANNING

STEP 1: ASSESS LOCAL INTEREST

WHO SHOULD READ THIS STEP?

The purpose of this Step is to help identify possible participants in a coordination effort and to make a preliminary assessment of the potential level of interest. Everyone who is considering coordination should read this Step.

POSSIBLE PARTICIPANTS

Identifying possible participants may or may not be easy depending upon how well you know the area and the transportation service consumers, agencies and private companies. You will want to include on your list not only the obvious service providers, but also those groups or agencies that purchase transportation services. You may be surprised by the number and type of agencies (private and public) that need transportation services. Solicit input from other contacts in your community to make sure your list is as comprehensive as possible. Be open to add names to your list as you become aware of new agencies, companies or institutions with transportation needs.

Candidates will include public and private non-profit and private for-profit service operators, agencies or institutions. Your list could include bus, van and taxi operators, human service agencies that serve elderly persons or the disabled, hospitals, nursing homes, churches, etc. A list of potential agencies, organizations and companies is provided at the end of this Step.

Before contacting any potential participant, be sure you have a clear understanding of the possible benefits of or objections to coordination. Making such a preliminary assessment could be helpful when you are trying to entice participation and gain support. Ignorance or misconceptions of what coordination is can keep people from participating. Similarly, <u>building false hopes about the benefits may cause significant problems further along</u> in the planning and implementation process.

Contact each of the agencies, organizations and companies identified with a formal letter (see the example provided at the end of this Step) to inform them of the interest in transportation service coordination. The letter should include a brief survey form soliciting general information about their transportation needs and services and the manner in which they are currently being met. The letter should also inquire if the entity would like to participate in the establishment of an <u>inter-agency task force</u> to further pursue coordination efforts.

Keep in mind that many of those contacted may be more interested than you would have thought. Why? With the passage of the Americans With Disabilities Act of 1990 (ADA), <u>all</u> public and private transportation providers must be able to meet the needs of persons with disabilities, including persons in wheelchairs. While the regulations differ somewhat between public and private transportation providers, each must still meet very specific requirements. You may find that many transportation providers may consider your coordination efforts as potential solutions to their ADA requirements.

ESTABLISHING AN INTER-AGENCY TASK FORCE

Based on the level of interest, obtain from the initial mailing a preliminary assessment of the level of interest. Specifically, the number and type of entities interested and the type of transportation services provided and/or required needs to be defined. Don't become discouraged if the responses do not meet your expectations. Remember! To have a successful coordination program it only takes two different entities!

A date should be established for an organizational meeting of the interested parties. Again, a formal letter (see the example at the end of this Step) should be sent to these agencies, organizations and companies inviting them to attend the meeting. The primary purpose of the meeting should be to form an inter-agency task force to address the coordination issues and to share information about their programs and services. An agenda of the meeting should also be included with the letter. An example of an agenda is provided at the end of this Step.

In preparation for the meeting, summarize the results of the preliminary interest survey. Provide this information at the first meeting as a handout. Also prepare a handout of a list of issues that should be discussed at the meeting. Be prepared to hold an election of officers, establish committees, and set up procedures for future meetings including locations, times, who is responsible, and how the costs, if any, will be shared. If possible, the responsibilities for the meetings should be shared with the participants taking turns as the host. You should also be prepared to provide a list of names, addresses, telephone numbers, and contact people for each of the participants.

The primary purpose of the first meeting should be to establish the goals and objectives of the task force, obtain a consensus on the potential for coordination in the area, identify others that should be invited to participate, and to establish a strategy for the planning process using this handbook as a guide. You may want to provide a set of draft task force goals and objectives to present at the meeting.

Most importantly, however, the task force will serve as a forum for becoming acquainted and sharing information about each others transportation services and needs.

CHECKLIST

- ☐ Have you identified possible participants?
- ☐ Have you sent a letter to potential participants soliciting their initial level of interest?
- ☐ Have you made all the arrangements necessary to hold the first inter-agency task force meeting?

If you can answer "yes" to each of the questions in the Checklist you are ready to hold your first inter-agency task force meeting and move on to Step 2: Collect Information.

STEP 1: ASSESS LOCAL INTEREST

Supplementary Materials

- POTENTIAL PARTICIPANTS
- SAMPLE LETTER SOLICITING INTEREST AND PARTICIPATION
- SAMPLE TRANSPORTATION PROGRAM SURVEY
- SAMPLE LETTER OF NOTIFICATION OF FIRST INTER-AGENCY TASK FORCE MEETING
- SAMPLE AGENDA

Potential Local Participants
(Not All Inclusive)

- Local Elected Officials or Representatives
- Department of Aging
- Mental Retardation/Developmental Disabilities Boards
- Private Industry Council
- Council for the Blind
- Bureau of Employment Services
- Alcohol, Drug and Mental Health Services
- Children's Services Board
- Department of Health
- Department of Human Services
- Rehabilitation Services Commission
- Vocational Education Programs
- Special Education Programs
- Red Cross
- United Way
- Salvation Army
- Hospitals
- Care Facilities
- Senior Centers
- Cancer Society
- Local Colleges
- Taxi Operators
- Private Bus Companies
- Public Transportation Providers
- Other Private Transportation Companies
- Veteran's Administration
- Community Action Agency
- Housing and Urban Development
- Religious Affiliations
- YMCA and YWCA
- Metropolitan or Regional Planning Organizations
- Other agencies or organizations that you know about in your area

Date

Agency/Company Name
Address
City, State Zip Code

Dear Agency/Company Representative:

Limited funding and increased demand for transportation services is making it difficult for many agencies in our community to provide transportation services to their membership and clients. The coordination of transportation services has been suggested as one means by which the problem can be addressed.

Consequently, the ______________________ (name of board or committee) has chosen to pursue the development of a transportation coordination effort to address the coordination issue. Our first objective is to obtain a preliminary assessment of the level of interest in a coordinated transportation program within the area. Therefore, we would like you to complete the enclosed questionnaire and return it to this office no later than ____________ (insert date).

In addition, an inter-agency task force will be formed to address the coordination issues, guide the effort and serve as a forum for information sharing. Please indicate on your survey form if you would like to take part in this inter-agency task force.

Thank you for your assistance; your timely response is appreciated.

Sincerely,

Signature
Title

AGENCY/COMPANY TRANSPORTATION PROGRAM SURVEY

Agency/Company Name: ______________________
Address: ______________________
____
Contact Person: ______________________
Telephone Number: ______________

1. Does your agency/company use its resources, financial or otherwise, to provide transportation directly or indirectly to your clients or membership?

   ____ Yes. If yes, please continue. ____ No. If no, please skip to Question 10.

2. Please describe the type of transportation services your agency/company provides. (Attach additional sheets if necessary.)

   Service Type (i.e. fixed route, demand response: ______________________
   ____

   Service Provision (i.e. directly provided, purchase service): ______________
   ____

   Fares: ______________________

   Days and Hours of Service: ______________________

   Service area: ______________________

   Number and Type of Personnel (i.e. volunteer, paid): ______________
   ____

3. Does your agency/company own or lease vehicles for transporting your clients or membership?

   ____ Yes. Please attach fleet roster. ____ No.

4. Indicate the total number of <u>one-way</u> passenger trips provided directly or indirectly by your agency/company during your last fiscal year. (A "passenger trip" is defined as one person traveling <u>one</u> direction. If a passenger completes a round trip record this as 2 one-way trips.) __________

5. How many of these <u>one-way</u> trips require lift equipped vehicles? __________

6. Indicate the number of passenger trips your agency/company purchased from other public or private operators, the name of the provider, and the per trip cost.

Service Provider	Person Trip	Cost
		$
		$
		$
		$

7. Are clients, members or employees reimbursed for mileage when using personal cars for agency/company sponsored programs?

____ Yes. Rate Per Mile $______________
Total Cost for Last Fiscal Year $______________
____ No.

8. Please indicate sources and amounts of local, state and federal program funding for your transportation services (i.e. UMTA Section 16(b)(2), Title III, etc.). ______________

____

____

9. What was your total agency/company transportation budget for your last fiscal year.

$______________

What does this budget include (i.e. personnel, fuel, insurance, maintenance, depreciation, overhead, etc.)?

____

10. Does the lack of transportation keep people from participating in your agency's or company's programs, activities, or services?

____ Yes ____ Somewhat ____ No ____ Don't Know

Please describe the unmet demand. ______________________________

____

11. What are the biggest problems facing the transportation program for your agency or company?

____

____

12. Is your agency or company interested in participating in a coordinated transportation program? To what extent? Under what conditions?

____

____

____

13. Would you like your agency or company to be represented on an inter-agency task force to address the coordination issue and guide the planning process?

____ Yes. Contact Name: ______________________________
____ No.

Please return this questionnaire to the following address no later that ______________(date):

(List Address of Agency Conducting Survey)

Thank you for your assistance.

Date

Agency/Company Name
Address
City/State/Zip

Dear Agency/Company Representative:

As you know, the ________________________ (name of Board or Committee) has chosen to develop a coordinated transportation program. As part of this effort, an inter-agency task force is being formed to address the coordination issues and to guide the planning process. A representative of your agency or company is requested to participate on the task force.

The representative should be knowledgeable about your agency's or company's policies and your agency's or company's transportation program. The first meeting is scheduled for ___________(time) on ______________(date) at _________________________________(location). Please contact ____________________________(contact person) at ______________________(telephone number) to indicate who your representative will be and if they will be able to attend.

Thank you for your assistance and we look forward to your participation.

Sincerely,

Signature
Title

Inter-Agency Task Force

First Meeting Agenda

I. Introduction and Task Force Purpose

- Goals and Objectives

II. Task Force Member Introductions

III. Coordination

- Definition
- Levels
- Coordination Handbook

IV. Local Transportation Needs

- Preliminary Survey Results
- Unmet Need
- Agency/Company Contributions
- Identify Local Human Resources

V. Planning Process

- Issues To Be Addressed
- Perceived Barriers
- Time Frame
- Implementation Strategy

VI. Task Force Organization

- Meeting Dates
- Location of Next Meeting
- Election of Officers
- Establishing Working Committees

STEP 2: COLLECT INFORMATION

WHO SHOULD READ THIS STEP?

This Step should be read by all who have performed their preliminary needs assessment (Chapter 3, Step 1) and have decided that there is sufficient interest in coordination to continue.

TASK FORCE PARTICIPATION

Among the most important first steps that the inter-agency task force should undertake is the detailed surveying of existing transportation consumers and providers. A subcommittee should be established to address and administer the survey. The subcommittee should be responsible for the development of the survey instrument, establishing a list of recipients, survey distribution, and analyzing the survey results.

DATA REQUIREMENTS

Data collection requirements should focus on what you need to know to develop coordination strategies. This will include, but not be limited to operating characteristics, ridership profile, fleet roster, vehicle utilization chart, and detailed budget information. This survey will vary from the preliminary questionnaire in that there will be a greater level of detail requested and only those that have expressed interest in the coordination activities will be surveyed. At the end of this Step materials have been provided to assist you in compiling the information underlined above.

Operating characteristics of each agency's or company's transportation service include the type of service provided, size and geographic location of the service area, miles and hours of service consumed, and the level of assistance customarily provided. This information will be critical in determining the type of coordination activities that will be the most successful in your area.

Rider profiles should be obtained by requesting information on who uses the service and how. Specifically, information on the number of trips, special equipment or service requirements, and passenger characteristics including any type of mental or physical disability should be included.

A list of resources used to provide transportation service is critical to understanding the coordination options. A fleet roster listing the vehicle's identification number, manufacturer, size, age, mileage, capacity, and accessibility of vehicles used to provide transportation services is critical in determining the vehicle acquisition schedules and for determining the needed capacity by vehicle type and accessibility. Fleet condition, accessibility, composition, and availability are often major considerations in an agency's or company's decision to join a coordinated service.

A vehicle utilization chart that shows the operation of each of the agency's and company's vehicles by day of the week and time of day is also a critical piece of information in determining the feasibility of a coordinated program. The utilization chart can show where there are gaps in service, where there is duplication, and where there is excess capacity on the existing services.

Detailed financial information **by budget line item** is also critical to determine the actual cost of current service provision and those resources that might be available to support coordination efforts. The revenue profile should include funding sources, funding levels, and real or perceived limitations associated with funding programs. The expense profile should include fully allocated costs for all administrative, management, operations, and maintenance line items. Capital budgets with corresponding sources of capital funding should also be provided.

The survey should also include several open ended questions to allow input from the respondents regarding their most pressing transportation related issues, the nature and extent of their unmet demand, and their expectations and inhibitions regarding the potential coordination efforts.

THE SURVEY

Once the data requirements have been established, the survey instrument can be developed. A sample survey with instructions is provided following this Step. Before distributing the survey to the entire mailing list, the survey form should be completed by two or three agencies to determine if the questions are adequately phrased. The survey should be modified as necessary to make it as simple as possible.

Prior to distribution of the survey, the task force members should be advised of the time frame and content of the survey. They should be encouraged to forewarn their respective agencies or companies that the survey is coming and encourage a timely, accurate response.

Accompanying the survey should be specific instructions on how it should be completed, a definition of terms, the deadline for completion, and directions on where to return the completed form. If possible, a self-addressed, stamped envelope may be provided along with the survey form to encourage a response. Follow-up telephone calls should be made to the organizations to answer any questions that may arise and to encourage a timely response. A second call should be made to those that do not return completed surveys by the due date. The printing, postage, and time required to administer the survey can be donated by participating task force agencies and companies.

CHECKLIST

- ☐ Has a task force subcommittee been formed to administer the survey?
- ☐ Has the survey instrument been developed and tested?
- ☐ Have the surveys been distributed and have the follow-up telephone calls been made?

If the answer is "yes" to each of the questions in the Checklist, you are ready to proceed to Step 3: Analyzing the Survey Results.

STEP 2: COLLECT INFORMATION

Supplementary Materials

- SAMPLE INSTRUCTIONS FOR THE TRANSPORTATION SURVEY
- SAMPLE DATA COLLECTION SURVEY

INSTRUCTIONS FOR THE TRANSPORTATION SURVEY

The attached survey is designed to provide vital information to the ______________________ (insert name of agency or task force) for its planning efforts in assisting agencies in meeting the transportation needs of their clients and the general public. Completed surveys need to be received by ___________ ___________ (insert contact name and address) by ____________________ (insert due date) to be processed.

If your agency has more than one location or program that arranges or provides transportation independently, please complete a separate survey for each.

The survey includes questions about your clients' needs and the transportation services you provide either directly or through contracts with private carriers. To clarify the meaning of these questions, please note the following definitions:

- <u>Clients</u> refers to all service recipients of your agency.
- <u>Lease</u> refers to an arrangement by which vehicles are rented for extended periods of time.
- <u>Contract Service Provider</u> refers to an ongoing agreement under which a private or public transportation provider (for-profit or non-profit) owns and operates the vehicles used to transport your clients for a fee.
- <u>Attendant</u> is a person who accompanies the driver on trips for the purpose of assisting passengers.
- <u>Standing Order</u> is a regularly scheduled client trip.
- <u>Demand Responsive</u> refers to one-time client trips (responding to individual requests as opposed to standing orders).

Please answer each question to the best of your ability. For each multiple choice question, please check the correct answer in the box provided. If a numerical answer is requested and you cannot give an actual figure, please make an estimate and indicate that it is only an estimate. If you need additional space to explain any of your answers, please use the back of the form or attach additional pages. If more than one answer applies, mark it accordingly and provide an explanation as appropriate.

If you have a question about how to respond, please call __________________ (insert contact's name and telephone number).

Thank you for your assistance!

AGENCY TRANSPORTATION SURVEY

Agency Name: ______________________________
Agency Address: ______________________________
Your Name and Title: ______________________________
Telephone Number: ______________________ Date: __________

Name of Transportation Coordinator: ______________________________

---

1. How many clients does your agency serve on a typical day (all services)? __________

2. Please estimate the number of your agency's clients that obtain your agency's services on a typical day by each of the following means of transportation.

   _____ use transportation service that your agency operates
   _____ use transportation service for which your agency contracts
   _____ walk
   _____ use private auto (i.e. drive, get dropped off, carpool)
   _____ use other van service; specific: ______________________
   _____ use other means; specify: ______________________
   _____ total (should equal the number indicated in question 1.)

3. Do you provide transportation service on a regular basis for your clients by operating your own vehicles?

   _____ Yes (Check all that apply)
      _____ operate agency vehicle(s)
      _____ contract service provider
      _____ volunteers/private autos
      _____ other

   _____ No (if No, go to question 21)

4. What percentage of your clients who use any of your transportation services require special equipment?

   _____ % requiring wheelchair lifts
   _____ % requiring car seats
   _____ % requiring other; specify: ______________________

5. What percentage of your clients who use any of your transportation service need an attendant/family member to assist them on their trip? __________

6. How are clients scheduled to receive service? (check all that apply)

   _____ standing order trips
   _____ demand responsive
   _____ advanced reservation; specify (i.e. 24 hour) ______________________

7. Please indicate the types of trips typically served by your agency. (Check all that apply)

_____ Program at your agency (including Day Treatment, Day Training, Recreation, Education, etc.)
_____ Congregate Meals
_____ Program at another agency
_____ Medical appointment
_____ Employment
_____ Education
_____ Shopping/Personal Business
_____ Field Trip/Recreation
_____ Other; Specify: ______________________________

8. Please indicate how many vehicles of each type listed below, you currently operate to provide client transportation.

Type	Number	Number With Two-Way Radios	Average Annual Mileage Per Veh.	Capital Funding Source
Non-Lift Van				
Lift Van				
School Bus				
Other Bus				
Other Bus w/Lift				
Sedan/Wagon				
Other: Specify				

9. Please attach a current vehicle roster to the survey form. The roster should list each vehicle, vehicle ID number, total vehicle miles (odometer reading), age, seating capacity, lift equipment, radio equipment, and source of funding.

10. When you need to purchase replacement vehicles, what source of funding will you most likely use?

____

11. How many driving hours are spent annually actually providing client oriented transportation? (Does not include breaks, office time, or other down time). ______________________________

12. Attach a vehicle utilization chart that lists the type of service each vehicle provides by time of day. If service varies substantially by weekday, create one vehicle utilization chart for each day. (see example).

Vehicle Number	5:00 - 6:00 AM	6:00 - 7:00 AM	7:00 - 8:00 AM	8:00 - 9:00 AM	9:00 - 10:00 AM	10:00 - 11:00 AM
Monday OOO	xxxxxxxxxxxxxxxxxxxxxxxx+++++++++++++++++++++++++++++++++++======== job training nutrition trips (site) demand response					
123	xxxxxxxxxxxxxxxxxxxxxxxxxxxxx###############ooooooooooooooooo workshop dialysis break					

13. How many miles are driven annually providing client oriented transportation? ____________

14. How many client oriented trips do you serve annually? ______________________________

15. Estimate the percentage of annual passengers that are:

%	Age	%	Income	%	Physical/Mental Capacity
	Less than 6		Under $8,000		Able Bodied
	6 - 18		$8,000 - $15,000		Wheelchair
	19 - 59		Over $15,000		Ambulatory with Assistance
	60 +				Other, Specify:

16. Please attach any route maps or client location maps that will provide an indication of your agency's route/service pattern and/or client residential locations for a sample weekday.

17. Please indicate your 1990 annual operating cost and operating funding for the agency sponsored transportation.

EXPENSES	
$	dedicated transportation staff labor and benefits
$	prorated labor and benefits of staff who spend only part of their time on transportation
$	fuel and oil
$	maintenance
$	insurance
$	leasing (if any)
$	administrative overhead

FUNDING	
$	Passengers (attach fare structure if appropriate)
$	Local Government Contributions
$	State Subsidies; specify each source:
$	Federal Subsidies; specify each source:
$	Others; specify:

18. Would these funding sources be available to support a coordinated transportation effort?

_____ Yes _____ No

If yes, to what extent (describe restrictions, if any)? ______________________________

____

19. Are clients or employees reimbursed for mileage when using personal cars for agency sponsored programs?

_____ Yes. Rate Per Mile $____________ Total Annual Cost $____________
_____ No

20. Please indicate the number of persons on your agency's staff expressed in labor equivalents who serve as:

Category	Full-Time Dedicated Transportation Personnel	Full-Time Partially Dedicated to Transportation	Part-Time Transportation Personnel	Unpaid Volunteers
Drivers				
Attendants				
Dispatchers				
Other				

21. How do you maintain your vehicle fleet?

_____ perform in-house
_____ contract to outside vendor
_____ other, please specify ______________________________

22. How much vehicle liability insurance do you carry?

$______________ per person
$______________ per occurrence
$______________ property damage
$______________ combined single limit coverage

23. Looking toward the next five year period, do you see your agency's funding:

_____ increasing
_____ decreasing
_____ remaining stable

24. Do you currently participate in any cooperative transportation program with another transportation agency or provider?

_____ No
_____ Yes, please describe the arrangement and specify the type of trip and number of clients:

____
____
____
____

25. Do your clients routinely have transportation needs that you cannot serve?

_____ No
_____ Yes, please indicate the estimated volume and nature of these trips:

____
____
____

26. Please describe the types of problems that your agency is experiencing with your client oriented transportation.

____
____
____

27. Does your agency have any interest in joining a County-wide coordinated transportation system?

_____ No
_____ Yes
_____ Don't Know

If yes, under what circumstances? ____________________
____
____

We invite any other comments you have on transportation. Use this space to add any explanation, remarks or comments. Thank you!

____
____
____

PLEASE RETURN THIS SURVEY BY ____________ (INSERT DUE DATE) TO:

____
(INSERT CONTACT'S NAME AND ADDRESS)

STEP 3: ANALYZING THE SURVEY RESULTS

WHO SHOULD READ THIS STEP?

This Step should be read by anyone having conducted a detailed transportation survey as described in the previous Step 2.

ANALYZE SURVEY RESPONSES--AREA-WIDE

Once the surveys have come back you can begin to analyze the results. It will be necessary to analyze the survey results in a number of ways. First, provide an overview of the survey responses including the response rate and the number of surveys completed. List the agencies and companies that responded and those that did not.

Next, summarize the answer to each question as appropriate. Determine the number of passenger trips transported per day, the number of vehicles used in client or membership transportation, the number of vehicles operated in the region, and the number of lift-equipped vehicles used in service. Define the service area and the hours of operation. This analysis will provide an indication as to the scope of the transportation services provided in terms of sheer numbers.

Information on rider demographics should be used to determine a rider profile. The profile might include a discussion of the number of client groups served, the number of trips made, the number of riders by age, trip purpose, income and/or type of disability, if any. These statistics can provide insights into the extent of specialized demand in the area and may also indicate which client groups could be intermingled and which ones cannot.

The information provided on vehicles can be used to develop a community-wide fleet roster that lists the vehicles of each agency/company including age, mileage, capacity, and special equipment. This information along with estimates on annual vehicle mileage can be used to determine the current status of the vehicles used in operation and their estimated remaining life. A corresponding vehicle replacement schedule can be generated that will describe when vehicles will be ready for replacement or rehabilitation. Comparing this need for vehicles with the corresponding funding availability for capital purchases will provide insight into the capability of agencies to provide transportation services in the future. The information can also serve as one indication of the need for service coordination.

The vehicle utilization charts for each of the agencies and companies should be compared to one another and a master chart prepared. The chart will list by day of week and time of day, the number of vehicles that are in operation, the type of service provided, and if possible the general geographic area in which they are operating. This master chart will indicate where there are gaps in service, where there is duplication in service, and where there is the greatest potential for vehicle sharing, trip-sharing, or dispatch sharing.

The financial profile should include a summary of the funding sources with a brief explanation of how the funds may be utilized. The level of funding by agency or company along with its projected stability and availability for operating and/or capital expenses should be summarized. This information will be used to determine any potential funding limitations.

The expenses for each transportation provider should be defined by line item. In areas where information is incomplete, inconsistent or inaccurate, follow-up telephone calls should be made to clarify the data. Many agencies, and even small companies, do not fully allocate their costs and therefore are not aware of the true cost of their transportation services. Assistance should be provided, to the maximum extent possible, to help them determine their fully allocated costs. At a minimum try to determine the amount of out-of-pocket costs that each agency or company spends for transportation services.

From the information available, try to develop a five year community-wide operating and capital budget. Compare these numbers with estimated operating and capital revenues to determine anticipated shortfalls on a community-wide basis. Realizing that these numbers will be inexact, you should use your most conservative estimates and express the results in ranges rather than in exact numbers. The results can be summarized in best-case and worse-case scenarios.

The open ended questions regarding unmet demand, problem areas, and level of interest in coordination should be summarized in general terms unless specific examples or a consensus between participants is apparent.

ANALYZE SURVEY RESPONSE--INDIVIDUAL AGENCY/COMPANY

The survey results for each agency and company should also be summarized to determine the level of service provided, the client or membership base, service demand, and funding. This analysis will allow you to identify which participants are facing the greatest current and future dilemmas in regard to their transportation programs as well as those that are not anticipating problems. In addition, each agency's and company's specific response to the open ended questions should be reviewed in detail to determine the circumstances unique to each individual agency and company.

This analysis will help define the need and nature of the coordination efforts that should be pursued. The analysis will also help to define the feasibility and potential benefits of the coordination activities.

PRESENTATION OF RESULTS

Once the analysis of the survey results has been performed, the results should be presented to the task force and all participants for their review and comment. Modifications should be made as appropriate. Once finalized, the Ohio Department of Transportation and other funding agencies should be notified of the results.

CHECKLIST

- ☐ Has the area-wide analysis based on the survey results been performed?
- ☐ Has the area-wide analysis of the survey results for each individual agency and company been performed?
- ☐ Have you presented the results to the task force members and the participants?
- ☐ Have you notified your funding sources?

If you can answer "yes" to each of the questions in the Checklist, you are ready to move to Step 4: Identify Service Deficiencies and Problems.

STEP 3: ANALYZING THE SURVEY RESULTS

Supplementary Materials

SURVEY RESULTS ANALYSIS

SURVEY RESULTS ANALYSIS

Survey Results

1. Response Rate: ______________________% (Number Surveys Returned/Number of Surveys Distributed)

2. List Respondents

3. List Non-respondents

Operating Characteristics

4. Number of Agency Clients (Question 1) ________________

5. Number of clients requiring transportation assistance (total all responses to Question 2 except for walk and private auto) ________________

6. Indicate number of agencies from Question 3 that:

   _____ operate their own vehicles
   _____ use private contract service providers
   _____ use volunteers/private autos

7. Indicate the number of agencies from Question 6 that provide the following service types.

   _____ standing order trips
   _____ demand responsive
   _____ advanced reservation

8. Indicate the total number of clients that require special equipment or attendants from Questions 4 and 5.

   _____ Wheelchair Lifts
   _____ Car Seats
   _____ Attendants
   _____ Other

9. Total annual miles operated from Question 13. ________________

10. Total annual number of driving hours for client transportation from Question 11. ________________

Rider Profile

11. Total Annual Passenger Trips from Question 14? ____________________

12. Estimate the Number of Riders By Age, Income, and Physical/Mental Capacity. (To obtain a count by agency, multiply the responses given in Question 15 by the total number of trips listed in Question 14 for each agency. Add each agency's numbers together to get a composite.)

#	Age	#	Income	#	Physical/Mental Capacity
	Less than 6		Under $8,000		Able Bodied
	6 - 18		$8,000 - $15,000		Wheelchair
	19 - 59		Over $15,000		Ambulatory with Assistance
	60 +				Other

13. Summarize the number of trips by trip type from Question 7.

_____ Agency Program
_____ Education
_____ Shopping/Business
_____ Congregate Meals
_____ Employment
_____ Recreation
_____ Other Agency Program
_____ Medical
_____ Other

Vehicle Requirements/Fleet Roster

14. Total number of vehicles used for client transportation from Question 8.

_____ Non-Lift Vans
_____ Sedan/Wagon
_____ Bus w/Lift
_____ School Bus
_____ Lift Van
_____ Other
_____ Other Bus

15. Total number of vehicles with two-way radios from Question 8. ____________________

16. List capital funding sources. Are these sources still available for future vehicle purchases? What are the limitations associated with these funding programs?

17. Make a composite vehicle roster from Question 9 including vehicles from all agencies. Flag those vehicles that have already exceeded their useful life in terms of total miles and/or age as defined by your primary funding agency. Also identify those vehicles that will be reaching their useful life within the next two years.

18. What sources of funding are listed in Question 10 for capital replacement? Determine from the responses how many vehicle replacements may be postponed or rejected entirely due to limited funding.

STEP 4: IDENTIFY SERVICE DEFICIENCIES AND PROBLEMS

WHO SHOULD READ THIS STEP?

Everyone!

ARE EXISTING SERVICES ADEQUATE AND ARE THEY OPERATING EFFICIENTLY?

In Steps 2 and 3 of this Chapter, a variety of information was collected and analyzed. Using that information, it is now time to identify where your local transportation services fall short of meeting the needs of agencies that directly provide service to their clients, agencies that purchase services for their clients, and the general public.

Identifying duplicated service delivery and unmet needs for transportation should be the first order of business for the task force. Recognition includes an awareness that the problems exist: namely, that many agencies are providing transportation to their clients or membership, but the level of service and/or the manner in which it is provided may be inefficient in light of the needs that exist.

From the information provided during the Step 2 data collection efforts, the task force should examine and make a determination of the following:

Unmet Needs - It is likely that both provider and service purchaser agencies have client transportation needs that they are unable to meet. These needs may be due to funding limitations, grant regulations, or simply the lack of adequate vehicles.

Inaccessible Vehicles - Many agencies may not have a sufficient number of accessible vehicles to accommodate their ever growing number of disabled clients.

Limited Fleet Size and Vehicle Capacity - Some agency fleets may be so small that they are unable to provide daily transportation services to their membership, forcing them to offer transportation services on a very limited basis, to a small client group.

Some agencies may have what they feel is a sufficient number of vehicles, but may need vehicles that have a larger ambulatory seating capacity or that can accommodate a larger number of wheelchairs. Also, groups such as senior citizen and youth programs may have a need for larger vehicles for special outings.

Excessive Travel Time - Due to the lack of coordinated transportation services, some agency members may have excessive travel times. Routes may be circuitous so that as many clients and members as possible can be served.

Equipment Replacement - Funding for the replacement of vehicles and other capital equipment may not be available to all agencies in the area, either due to the ineligibility for capital grant funds or the lack of local matching funds. From the data collected, you may find some agencies with excessive maintenance costs due to their inability to replace capital equipment.

Under-Utilization of Equipment - Idle equipment is not uncommon in a human service agency operating environment. Many agencies fully utilize their equipment during peak morning hours (bringing clients to sheltered workshops, day treatment centers, etc.) and peak afternoon or evening hours (returning clients to their homes). During the day vehicles sit idle.

Insufficient Personnel - It is a common occurrence in the human service transportation delivery environment for agency staff, such as caseworkers, to also have transportation responsibilities. These responsibilities can range from determining eligibility and scheduling rides, to actually driving the agency's vehicles.

Transportation Service Costs - Many agencies spend substantial amounts of money to provide transportation services. These amounts may not even be fully known because no one has ever looked before. Transportation services are not cheap, and no matter who provides it, someone, somehow, somewhere, at a minimum, pays for vehicles, oil, gas, insurance, recordkeeping, and administrative and management costs.

ARE THERE OPPORTUNITIES FOR COORDINATION IN OUR AREA?

From your data collection and analysis in Steps 2 and 3, and the task force's identification of the efficiency and adequacy of existing services, you (and the task force) can begin to identify opportunities for coordination among local transportation providers. Some of the most common coordination opportunities have been listed below, along with guidance on which previously collected data will help you determine if opportunities exist in your area.

Common Service Areas - If two or more transportation providers are operating within a given area some, if not all, of their service areas and/or routes may overlap. Common service areas can be identified by using the service area descriptions provided by each agency during the data collection completed under Step 2.

To make your determination even easier, use a large map illustrating the entire area served by all your local agencies to show the different routes. Carefully read each service area description and, using different color markers, draw a large circle enclosing the service area of each agency on the map. When completed, you will have developed a graphic illustration of "who's operating where".

Common Operating Parameters - While some agencies may not provide services or operate program activities at the exact same times of day or on the same days of the week, it is likely that many agencies function on similar schedules. Using information collected in Step 2, you can compile a list of organizations with similar operating/program schedules. An example and sample format for this listing has been provided in the supplementary materials for this step.

Even if program activity and transportation service times are slightly different, many agencies may be flexible in adjusting their schedules in order to coordinate services. When compiling your list, do not rule out any agencies at this time. Remember, you are simply trying to identify potential opportunities for coordination.

Similar Ridership Base - Due to the socioeconomic and demographic characteristics of human service transportation service patrons, it is very likely that an individual will be receiving service from more than one agency. An example would be senior citizens who are transported to a congregate meal site by a nutrition provider and also utilize the transportation services of the local Medicaid provider for accessing health care. Another example might be that two (2) providers are operating in the same geographic area. Once again, it is likely that both agencies are serving the same individual.

Utilizing the information collected in Step 2, particularly any route maps or client locator maps that may have been provided, you will be able to examine each agency's route/service pattern and/or client residential locations. From this examination, you should compare agencies with each other to determine where similar ridership groups might be occurring.

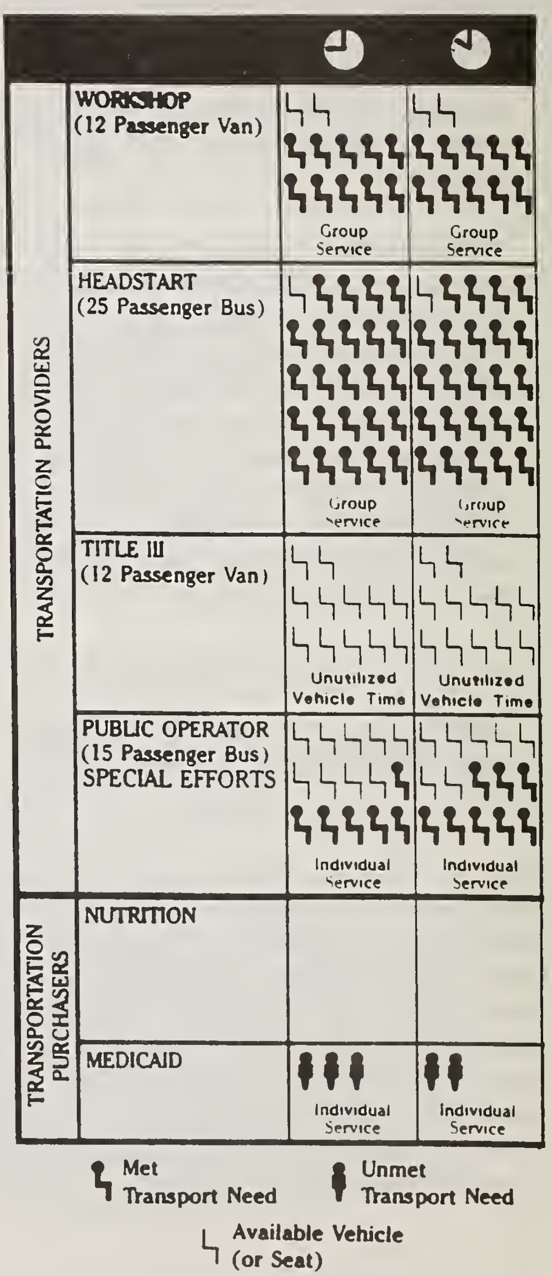
Another method of making this determination would be to hold a meeting and bring together a group of agency drivers for an informal discussion of where they think similar bases of ridership might exist. Typically, drivers know both the area where they provide services and their regular clients better than anyone else in the organization.

Vehicle Utilization Trends - Many agencies utilize their vehicles only during specific times of the day, while others use their vehicles sporadically throughout the day. For example, most Head Start vehicles operate early in the morning to transport children to the Head Start Program and again in the afternoon to transport children to their homes. These operating hours may be 7:00 AM - 8:15 AM and 2:30 PM - 3:45 PM. During the hours between 8:15 AM and 2:30 PM, it is highly likely that these vehicles are idle. Another example might be made with Sheltered Workshop vehicles. These vehicles, like the Head Start vehicles, also operate during specific morning and afternoon hours, with a late-morning to early afternoon idle period.

Regardless of which example is most like your area, the times of day when vehicles are idle will correspond to a time of day when some other agency could use those vehicles to meet its transportation needs.

As you can see from the illustration below, the <u>unmet needs</u> of the Medicaid service users could possibly be met by the public operator, the sheltered workshop, the Title III van, or a combination of these providers.

Transportation Resources and Needs



The Vehicle Utilization Charts collected under Step 2 will allow you to make an initial assessment of both common utilization trends and idle vehicle time.

Availability of Other Resources - When we speak of "other" resources, we are referring to staff and facilities. One organization may have drivers that are not occupied with driving their clients during a specific time of day. These drivers could possibly be used to transport another agency's members during their idle time. Another example might be that a sheltered workshop has a fenced and lighted area where its vehicles are parked at night and on weekends, and where there is space available for additional vehicles. The senior citizens agency, with no secure vehicle parking area, could use the additional sheltered workshop parking area.

Along with the data collected in Step 2, the best way to discover what other resources might be available for sharing or coordination is to have open discussions at the inter-agency task force meetings.

After you have completed the identification of service deficiencies and initially identified the opportunities for coordination that may exist, you will have gained an indepth understanding of the magnitude of the transportation services in your area.

In the chapters that follow, you will evaluate and select the desired level of coordination that suites your area and you will determine an organizational structure for the coordination effort.

CHECKLIST

- ☐ Have you identified all inadequate or inefficient local transportation service characteristics such as duplication, unmet needs, inaccessible vehicles, etc?
- ☐ Using the simple mapping techniques shown in the Supplemental Materials for this Step, have you identified common service areas or portions of service areas?
- ☐ Have you listed and grouped together providers with common operating parameters?
- ☐ Have you identified vehicle utilization trends among agencies that might be able to be coordinated?
- ☐ Are there "other" resources within your area, such as staff or facilities, that might represent an opportunity for coordination?

If you can answer "yes" to each of these questions, you are ready to proceed to Step 5: The Next Work Effort.

STEP 4: IDENTIFY SERVICE DEFICIENCIES AND PROBLEMS

Supplementary Materials

EXAMPLE - LISTING OF COMMON OPERATING PARAMETERS

LISTING OF COMMON OPERATING PARAMETERS FORM

LISTING OF COMMON OPERATING PARAMETERS

Example

AGENCY NAME	PROGRAM HOURS OF OPERATION	TRANSPORTATION SERVICE HOURS	DAYS OF WEEK
AnyTown Senior Citizens	11:00AM - 1:30pm	9:30 AM – 11:00 AM 1:30 PM – 3:00PM	Mon. - Fri.
Anywhere Sheltered Workshop	8:30AM-2:45pm	7:15 AM – 8:30AM 2:45PM – 4:00PM	Mon. - Fri.
Local Area Head Start	8:15AM-2:45PM	7:15AM – 8:15 AM 2:45PM – 3:45PM	Mon. - Fri

LISTING OF COMMON OPERATING PARAMETERS

AGENCY NAME	PROGRAM HOURS OF OPERATION	TRANSPORTATION SERVICE HOURS	DAYS OF WEEK

STEP 5: THE NEXT WORK EFFORT

WHO SHOULD READ THIS STEP?

Everyone who has worked through this manual and who has arrived at this Step, must now make an important decision. You therefore must complete this Step before moving ahead.

WHERE DO YOU GO FROM HERE?

Implementation activities will vary according to the level of coordination chosen by each local area. The planning activities will take one of three directions depending upon the local area's choice. These are:

- Level I - Cooperation;
- Level II - Joint Use Arrangements; and
- Level III - Consolidation.

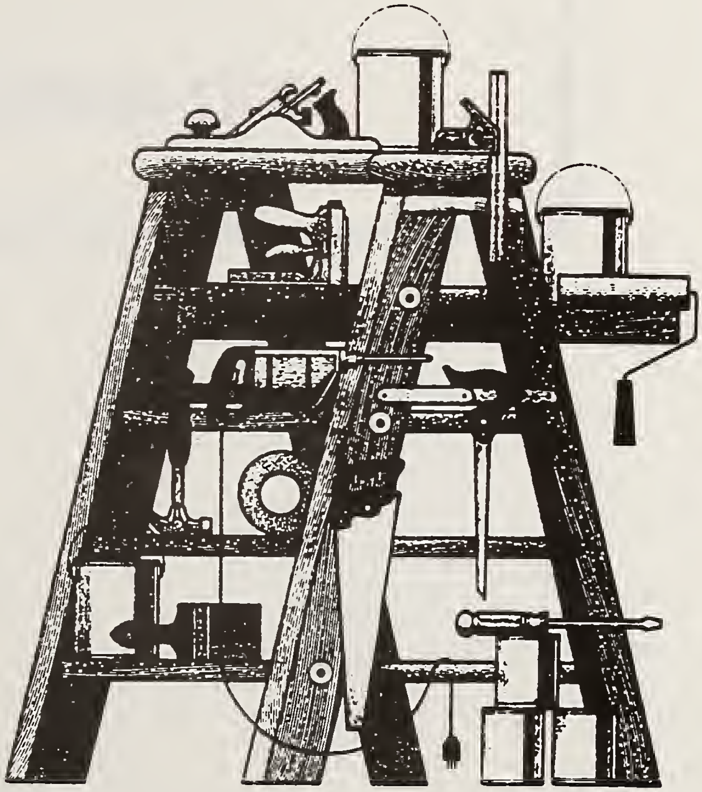
If you have decided to implement "Level I - Cooperation" **go to Chapter 4**. If you want to get "Level II - Joint Use Arrangements" started, **go to Chapter 5**. Or if you want to start a "Level III - Consolidation" program **go to Chapter 6**. No matter which Level you want to implement follow the directions and steps in the appropriate Chapter and you will be on your way to coordination!

Remember. You may want to implement some activities in Level I, as well as some in Level II. There is no right or wrong way to coordinate. What works best in your area is the best approach.

CHECKLIST

☐ Do you know which level of coordination you want to implement?

If you can answer "yes" to the above question, turn to the appropriate chapter and proceed.

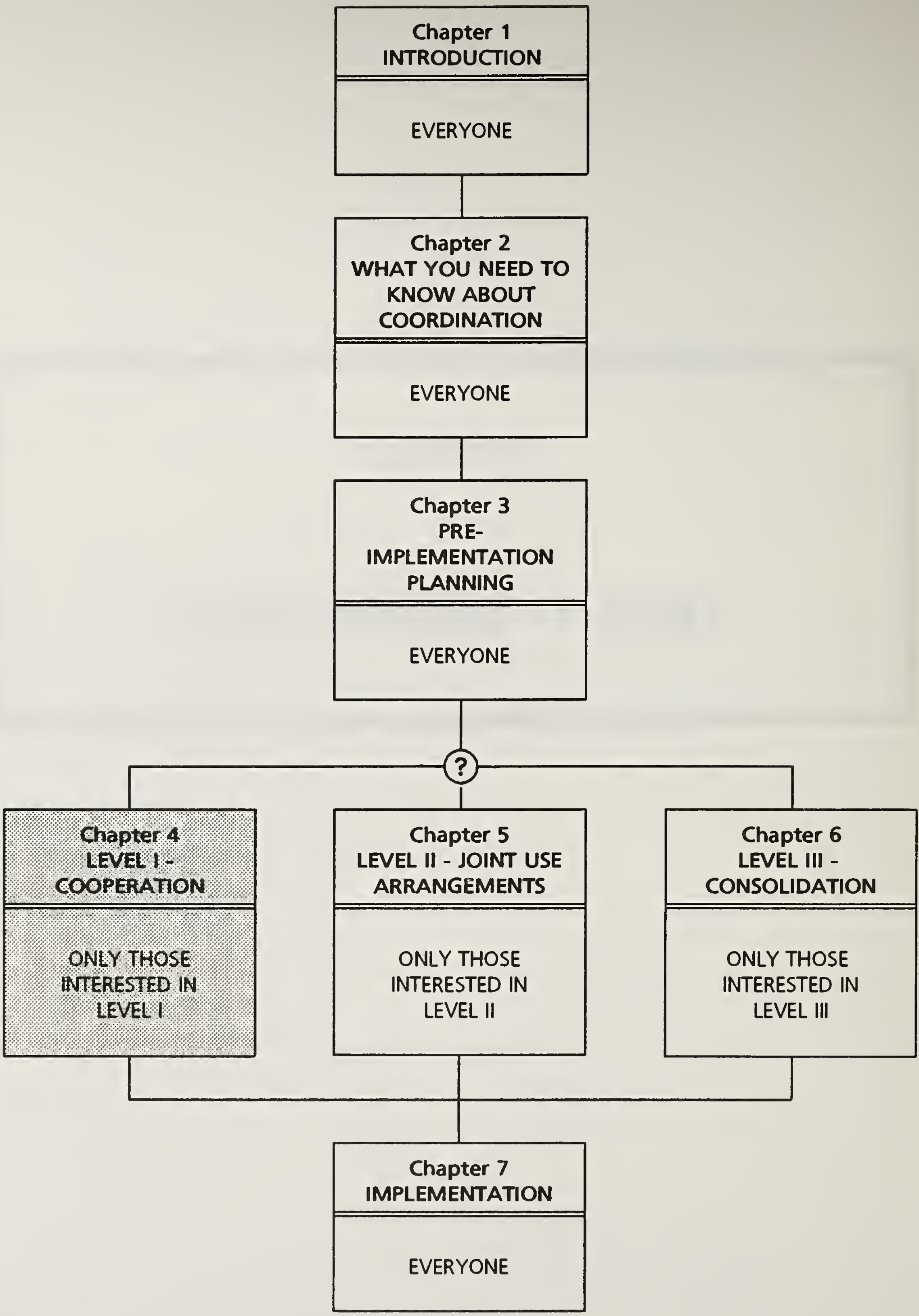


BE ORGANIZED! BE PREPARED!

"Knowing what you want to do makes the job easier"

CHAPTER 4

LEVEL I - COOPERATION



Chapter 1
INTRODUCTION
EVERYONE
Chapter 2
WHAT YOU NEED TO KNOW ABOUT COORDINATION
EVERYONE
Chapter 3
PRE-IMPLEMENTATION PLANNING
EVERYONE
?
Chapter 4
LEVEL I - COOPERATION
ONLY THOSE INTERESTED IN LEVEL I
Chapter 5
LEVEL II - JOINT USE ARRANGEMENTS
ONLY THOSE INTERESTED IN LEVEL II
Chapter 6
LEVEL III - CONSOLIDATION
ONLY THOSE INTERESTED IN LEVEL III
Chapter 7
IMPLEMENTATION
EVERYONE

CHAPTER 4

LEVEL I - COOPERATION

CHAPTER 4
(Continued)

LEVEL I - COOPERATION

Step 6: Development of Cooperative Agreement and Execution By Participants

STEP 1: ESTABLISH COOPERATION PROGRAM

WHO SHOULD READ THIS STEP?

If you have read the first three chapters of this handbook and you have decided that the coordination program called **"Level I - Cooperation"** would be the best choice for your local area, the following five (5) steps and their respective checklists will help establish a cooperation program among public and private agencies and operators in your area.

Always keep in mind that **cooperation means two or more agencies, organizations, companies or groups working together toward a common end. These can be public or private, non-profit or for-profit and any combination can be made to work.**

DO WE NEED INFORMAL OR FORMAL ARRANGEMENTS?

When two or more agencies, organizations or companies agree to work together to improve transportation services, they have started the **Level I - Cooperation** process. A <u>cooperation</u> program may be set up on an <u>informal</u> or <u>formal</u> basis. If set up on an informal basis, two options are available. You can simply have oral agreements to work together or you can have semi-formal agreements by putting the understanding into a letter. You can also make your program formal. This can include having each participant's governing board adopt a resolution to cooperate and/or through executing a <u>contract or agreement</u>.

An example of an informal cooperation effort would be when two or more agency administrators agree to exchange program and service information. That exchange would allow appropriate referral by one agency to another when individuals request services. Each participant can refer public inquiries to the agency, organization or company most likely to be able to meet their needs.

An example of a formal cooperation effort would be when two or more agency governing boards take formal action (adopt a resolution) to initiate the development of a joint Section 16(b)(2) funding application.

In Chapter 3, Step 1: "Assess Local Interest," you identified possible participants for the cooperative effort. One thing that you must think about in deciding whether or not an informal or formal agreement is needed, is **"how many organizations will be involved with our cooperation efforts?"** When just a few (2-4) agencies are participating, an informal agreement, either orally or in a letter, will probably be all that is needed. As the number of participants grows, so does the need for a formal agreement among the participants. Depending upon the activities undertaken, board resolutions and possibly formal contract documents may be required.

By the time you get to Step 5 of this Chapter you will be able to decide how informal or formal your Level I - Cooperation program will need to be. Also, at the end of this Step, an example of a governing board resolution for setting up a formal program has been included in case you decide that resolutions are needed.

GOVERNED BY WHOM?

In order to ensure the success of the cooperation effort, participants will need to decide among themselves, **"who will oversee our efforts and keep us on the right track?"** The number of participants, the following questions, and your answers will help you decide how the cooperative effort can best be governed.

- Are there state, county or city regulations that may require a particular method of overseeing or governing our cooperative effort?
- Should each participant select a representative and form an inter-agency council made up of those representatives to oversee our cooperation efforts? Will this be the same group of people that comprised the inter-agency task force which was organized in Chapter 3 ? (Note that members of the inter-agency task force may or may not be the same persons who would serve on the inter-agency council. This is because not all of those who participated on the inter-agency task force may elect to actually join the cooperation program.)

CHECKLIST

- ☐ Do you understand the meaning of cooperation?
- ☐ Do you understand formal and informal agreements and when they are appropriate?
- ☐ Do you know the number of potential participants for the cooperation effort?
- ☐ Have you decided what is the best way to oversee (govern) the cooperation effort?

If you can answer "yes" to these questions, you are ready to move on to Step 2: Refine the Cooperation Program.

STEP 1: ESTABLISH COOPERATION PROGRAM

Supplementary Materials

- SAMPLE COOPERATION PROGRAM RESOLUTION

RESOLUTION SUPPORTING THE CREATION OF A COOPERATION PROGRAM

FOR IMPROVING TRANSPORTATION IN ______________________________

RESOLUTION NUMBER ____

WHEREAS, the ______________________ (name of board or committee) believes that the transportation services and activities in ______________________ (name of county, city or region) can be improved through a cooperation program, and

WHEREAS, it is the desire of the governing board of ___________________ (name of board or committee) to participate and that a cooperation program be established to improve the delivery of transportation services in __________________________ (Name of county, city or region).

NOW, THEREFORE, the __________________ (name of board or committee) hereby adopts this Resolution as evidence of its support for, commitment to, and participation in a cooperation program, the purpose of which will be to coordinate transportation services and activities in ____________________________ (name of county, city or region).

APPROVED, PASSED AND ADOPTED THIS _____ DAY OF _____, 19_____.

Signed __________________________

Title __________________________

Date __________________________

STEP 2: REFINE THE COOPERATION PROGRAM

WHO SHOULD READ THIS STEP?

All agencies, organizations and companies that have agreed to the concept of a cooperation program and that have indicated they are interested in participating should carefully read this Step.

INTRODUCTION

Now that you understand what cooperation means and have identified potential participants (in Step 1, Chapter 3), it's time to review some of the kinds of activities that can be developed in a cooperation program.

There are many transportation-related activities that can be included in a cooperation program. Listed below are several of the most common and easily implemented areas of cooperation and a brief explanation of each.

Information and Referral - One of the simplest forms of cooperation is an information and referral (I & R) network. A basic I & R network can be established simply by having all participants provide each other with descriptions of their transportation programs and services. So that the descriptions would be consistent, a standard data sheet should be completed by each participant. Listed below are the kinds of information that should be included:

- A one or two sentence statement of the primary mission of the participant;
- Basic program/service eligibility requirements;
- Description of transportation services offered;
- Accessibility of services;
- Transportation scheduling requirements, and telephone number;
- Transportation fees (if applicable); and
- Availability of escorts (if applicable).

Before setting up your information and referral network be sure to check for any state or local networks. Also look in the Yellow Pages of local telephone directories to see if any organization in your area is currently providing this service.

It is important that each participant provide all other participants with notification of any program/service changes <u>before</u> the changes go into effect and it is very important that each participant's staff person who answers inquiries from the public get copies of the standard data sheets and all updates.

Instead of each participant distributing information to all other participants it is also possible to have one participant both collect and distribute all information. This method provides a central clearinghouse through which information can flow.

Planning - Cooperative planning efforts may consist of simply bringing all participating agencies and private operators together to discuss their future transportation needs. By bringing the group together for this open discussion, participants may find that others have the same ideas or needs and that there may be an opportunity to expand from Level I - Cooperation to Level II - Joint Use Arrangements. For example, one agency may feel that it must make a major capital purchase in order to meet the rise in the number of clients requiring handicapped accessible transportation, but by participating in the cooperative planning efforts, learns that another participating agency has an accessible vehicle that could be used to meet the increased demand. The two agencies could develop vehicle sharing if they decide to pursue the idea.

Don't forget about any local private transportation service providers operating in your area. Many benefits can be derived from involving the private sector in the planning process early on. Also, keep in mind that many local, state and federal funding agencies have a private sector involvement/participation pre-requisite associated with eligibility and receipt of funds.

Applying for Grants - Cooperative planning often leads to joint applications for grants. In the cooperative planning process, two or more agencies may have found that each agency needs a vehicle with 3-5 wheelchair tiedowns, for approximately one hour each day, and that the times that each agency needs the vehicle are different. These agencies could develop a joint capital equipment grant application. Usually, funding sources are very interested in the cooperative use of equipment, since cooperation results in the need for only one vehicle rather than two, thus making available grant funds go farther.

Typically one agency takes the lead in developing the joint grant application and all participating agencies share in the provision of any matching funds required by the funding source. Also, if an inter-agency council was formally developed in Step 1, (which might be the same group as the inter-agency task force which you used in Chapter 3), the council could serve as the "grant applicant." Depending on how each agency is organized, governing board approval of participation in the joint application may be required.

It is important to note here that program eligibility requirements differ by funding agency. Before proceeding with any application, contact the appropriate funding agency to verify that the lead agency and the proposed project meets all eligibility requirements.

Specification Development - Cooperation in the development of specifications can result in consistency between the types of equipment used by participants. For example, if equipment is consistent, drivers in a vehicle sharing arrangement won't need to learn how to operate new vehicles.

Another specification cooperative effort could be when a participant that primarily uses vans develops van specifications, while a participant that uses primarily small buses could develop specifications for small buses. Each set of specifications could be used by others when they need to purchase similar vehicles.

Training - Just like specification development, cooperation in training is a good idea too! Training is an investment, both in terms of employee time and course costs. Also, training is often recognized by employees as a morale booster and/or fringe benefit. By starting a cooperative training program, participants are able to make better use of training materials and personnel. Participants can take advantage of training that might be too expensive for an individual participant, such as national driver training programs. Also, as a group the participants can access training not usually available to very small groups, such as Red Cross courses or courses offered by local police or emergency medical personnel.

The primary benefits of cooperative training efforts are two-fold. First, cooperative training activities allow participants to exchange ideas and develop better training programs. Depending on the staffing and resources available, training efforts can be combined so that employees of the various participants can be trained at one time. Secondly, a coordinated training program can help to ensure the proper handling of all clients and patrons.

While safety, first-aid and defensive driving training will be nearly identical for every participant, sensitivity training programs can be tailored to the needs of specific agencies. Cooperative sensitivity training might show participants that certain types of clients can share rides on the same vehicle because their sensitivity needs are alike. In fact, a cooperative training program might pave the way for other more advanced coordination activities such as trip-sharing.

Joint Policy/Procedure Agreements - A variety of local human service agencies, each providing transportation and offering their own special services to local residents (mental health services, job/employment assistance and training, senior citizen services, etc.), may have very different policies and/or procedures governing the receipt of assistance. Very often local residents are clients of more than one agency. When participants agree to a cooperative effort to establish joint transportation policies and/or procedures, it becomes much easier for clients and patrons to understand the rules governing the receipt of transportation services.

Common joint policy/procedure agreement topics include trip reservation/cancellation procedures, no-show regulations, user (client) eligibility and identification, and fare charges. If two or more services in an area are public and a fare is charged, joint policies concerning fare costs, discount tickets, and pass programs can also be cooperatively designed. Coordinated fares are very useful when two or more transportation providers establish transfer connections between their services.

Joint policy and/or procedure agreements may be either formal or informal. When just a few (2-4) entities are participating, an informal verbal agreement will probably be all that is needed. As the number of participants increase, so does the need for a more formal agreement.

Escort Services - Cooperation in the provision of escorts can be coordinated very easily. It is likely that more than one participant in your local area is currently providing escorts to ride with elderly or disabled clients. Typically, escorts are drawn from a participant's pool of volunteers, however, some may actually be paid staff (case workers).

To establish a cooperative escort program you can use one of two methods. One participant (preferably one with a large volunteer network) may function as the coordinator for arranging for escorts on an as-needed basis. With this method, participants needing escorts should contact the coordinator not less than 24 hours in advance, and place their request. The coordinator would then contact volunteers until an escort was scheduled. Once the escort was confirmed, the coordinator would notify the participant needing the escort and all arrangements would be finalized.

Another method of establishing a cooperative escort service would be for participants to develop a combined list of volunteers who are willing to serve as escorts. Each participant would then arrange its own escorts, drawing from the combined listing, on an as-needed basis.

As was mentioned earlier in this Step, there are many transportation-related activities that can be included in a cooperation program. The ones listed and described above are intended to give you a place to start. At the end of this Step, a form has been provided that you can use to list potential participants for each of the activities described above. The form also provides space for you to list any other activities that you think could be included in your area's cooperation efforts.

CAN THE COOPERATION PROGRAM'S SUCCESS BE EVALUATED?

Yes! In order to determine the value and success of cooperative efforts and/or activities, some form of monitoring/evaluation system must be decided upon by the participants. For example, in a cooperative training program the number of individuals receiving training and the cost of their training might be looked at to answer the following kinds of questions. How many individuals received training? Did more individuals receive training this year than last year? What was the cost per person (or per participant organization) for the training? And was cooperative training less expensive than the training conducted by the individual entity the year before the cooperation training program was started?

Two important decisions are required in establishing a monitoring/evaluation process for cooperative activities. First, when the activity is identified, all participants should reach an agreement on the goals and objectives in undertaking the activity. Goals and objectives can then be used as the evaluation standard. For example, in a cooperative training program, one goal might be to provide training to a maximum number of people during the first year of the cooperative agreement. The second decision is the determination of who (or which participant) will be responsible for conducting the monitoring and evaluation of the activity and reporting back to the other participants?

CHECKLIST

- ☐ Have you read all of the common areas of cooperation listed above?
- ☐ Do you understand what these activities are and how participants might benefit from a cooperative program?
- ☐ Have you reviewed the "Cooperation Program Activities and Potential Participants" form and listed the agencies, including the private sector, you think might be interested in participating?
- ☐ Did you add any other activities to the form that you think might be good for your area's cooperation program and listed the potential participants?

If you can answer "yes" to these four questions, you are ready to move on to Step 3: Determine Participation Levels.

STEP 2: REFINE THE COOPERATION PROGRAM

Supplementary Materials

- COOPERATION PROGRAM ACTIVITIES AND POTENTIAL PARTICIPANTS

COOPERATION PROGRAM ACTIVITIES AND POTENTIAL PARTICIPANTS

PAGE 1

ACTIVITY	POTENTIAL PARTICIPANTS
___ Information and Referral	______
	______
	______
	______
	______
	______
___ Planning	______
	______
	______
	______
	______
	______
___ Grant Applications	______
	______
	______
	______
	______
	______
___ Specification Development	______
	______
	______
	______
	______
	______

COOPERATION PROGRAM ACTIVITIES AND POTENTIAL PARTICIPANTS

ACTIVITY	POTENTIAL PARTICIPANTS
___ Driver Training	______
___ Joint Policy Agreements	______
___ Escort Services	______
___ Other ______ (Specify)	______
___ Other ______ (Specify)	______

STEP 3: DETERMINE PARTICIPATION LEVELS

WHO SHOULD READ THIS STEP?

All public and private entities that have agreed to the concept of a cooperation program and that have indicated interest in participating need to read and complete this Step.

DETERMINE EACH ENTITY'S LEVEL OF PARTICIPATION

Now that you have read the descriptions of several transportation related activities that can be started as a part of your cooperation program, it's time to decide which activities you will start first, and which agencies, organizations and companies will probably participate.

First, you will need to make copies of the written narrative for Steps 1, 2 and 3 of this Chapter. Also make copies of the "Cooperation Program Interest In Participation" form (provided at the end of this Step). Send these materials to those entities that were identified in Chapter 3, Step 1 as a possible participant and/or agencies, organizations and companies that have already agreed to the concept of a cooperation program. Ask each to review the materials, complete the form and return it to you.

After you have received the completed forms, you should complete the "Activity/Participants Tally Form" found at the end of this Step. When completed, the Tally Form will show you which activities received the most interest from the group of potential participants. Now it's time to bring the group together to decide which activities to pursue first.

Choosing an activity all participants have indicated they will participate in probably has the best chance for success. Each party must then decide to what degree they will participate. For example, some may participate in a cooperative training effort by taking courses, but they may not be interested in making arrangements or serving as instructors. Also, others may participate in every training course, while still others may only wish to participate in the driver training courses.

Determining the activities that have the most interest and determining the number of entities likely to participate in each activity will help the group establish an order of priority for the cooperation effort. Use the "Cooperation Program Activity Priority List" provided at the end of this Step to record the group's decision on which activities to pursue and in what order. This will also make the group ready to move on to Step 4: "Define the Scope of Responsibilities."

CHECKLIST

- ☐ Have you read the description of this Step?
- ☐ Do you understand how to determine potential participation levels?
- ☐ Have you sent copies of Steps 1, 2 and 3 of this Chapter and a blank "Cooperation Program Activities and Potential Participants" form to each of the potential participants?
- ☐ Have all potential participants returned their completed forms?
- ☐ Have you completed the Activity/ Participants Tally Form and scheduled a meeting of the group?
- ☐ Has the group decided what activities to pursue and in which order?

If you can answer "yes" to each of these questions, then you are ready to move on to Step 4: Define the Scope of Responsibilities.

STEP 3: DETERMINE PARTICIPATION LEVELS

Supplementary Materials

- COOPERATION PROGRAM INTEREST IN PARTICIPATION
- COOPERATION PROGRAM ACTIVITY/AGENCY TALLY FORM
- COOPERATION PROGRAM ACTIVITY PRIORITY LIST

COOPERATION PROGRAM
INTEREST IN PARTICIPATION

Name of Agency/
Organization: ______________________________

Address: ______________________________

____

____

Telephone: ______________

Contact Person: ______________________________

Title: ______________________________

Person Responsible
for Transportation: ______________________________

Listed below are some of the possible cooperation programs that can be implemented. Please check all in which you would like to participate. Feel free to add any other activities you can think of in the space provided.

<u>ACTIVITY</u>

___ Information and Referral

___ Planning

___ Grant Applications

___ Specification Development

___ Driver Training

___ Joint Policy Agreements

___ Escort Services

___ ______________________

___ ______________________

___ ______________________

COOPERATION PROGRAM
ACTIVITY/PARTICIPANTS TALLY FORM

Page 1

Activity	Number of Organizations Indicating Interest	Name of Organizations Indicating Interest

COOPERATION PROGRAM
ACTIVITY/PARTICIPANTS TALLY FORM

Activity	Number of Organizations Indicating Interest	Names of Organizations Indicating Interest

COOPERATION PROGRAM ACTIVITY

PRIORITY LIST

1. ______________________________

2. ______________________________

3. ______________________________

4. ______________________________

5. ______________________________

6. ______________________________

7. ______________________________

8. ______________________________

STEP 4: DEFINE THE SCOPE OF RESPONSIBILITIES

WHO SHOULD READ THIS STEP?

All that intend to participate in the local Cooperation Program will need to read this Step.

WHO'S RESPONSIBLE FOR WHAT?

Now that the participants and activities to be undertaken have been determined, responsibilities can be defined.

It will be necessary for someone (or some entity) to lead the development efforts for the cooperative activities to be undertaken. If you have not already done so, get a commitment from a participant or person who will take responsibility for leading the cooperation program. (This role may already be yours!) This leadership role does not necessarily mean that the participant or person will have the sole responsibility for carrying out the program. In fact, this person should be primarily involved in getting the cooperation program underway and keeping it going. Depending on the activities selected in Step 3 of this Chapter, responsibilities can be divided among several participants. The division of responsibility will probably vary from activity to activity.

For example, if cooperative training is to be started, one participant might be responsible for surveying all other participants to determine their training needs. The participant conducting the survey would then prepare a compilation of the survey responses. Another participant could assume responsibility for securing instructors and assembling training materials. Still another participant could assume responsibility for finding a suitable training facility and notifying all potential participants of the date, time and place for the training session.

There are two other important "responsibility" considerations that must be addressed. These are: "How will the cooperative effort participants be financially responsible for the activity;" and "What agency/organization/company will be responsible for meeting the manpower needs of the cooperative activity?"

Financial Responsibility: In a cooperative effort, each participant should share equally in the financial responsibilities that might be required by an activity. There are a variety of sources that participants can draw from to support the cooperative effort, from actual cash contributions to the provision of materials or supplies in support of the effort.

Manpower Responsibility: It is likely that the person or participant assuming responsibility for leading the cooperative effort will be a large contributor of manpower resources. However, staff time (manpower) could also be applied to a participant's financial contribution as donated staff (or in-kind) services. This would be particularly helpful for participants with very limited budgets but who have either staff or volunteer time that could be devoted to carrying out the cooperative activity. For example, the local senior citizens agency may have a limited budget, but could call on its membership or volunteers to conduct surveys, make training arrangements, prepare mass mailings, etc.

In Step 1 of this Chapter 4, formal and informal agreements were discussed and it was noted that the number of participants is an important factor in determining what type of agreement is needed. Consideration must be given to the type of agreements (informal or formal) that should be used when responsibilities are identified and accepted by members of the cooperative group. If you review Step 1 it will help you decide what type of agreement is needed.

Defining responsibilities clearly and getting participant as well as individual commitments to accept responsibility will be very important to the success of the cooperative activity. This commitment will also be important for the continued participation of the members of the cooperative group.

CHECKLIST

- ☐ Do you understand the importance of defining responsibilities in a cooperative effort?
- ☐ Do you have a commitment from a participant and/or an individual to accept responsibility for leading the development efforts for each of the cooperative activities?
- ☐ Have you determined how financial and manpower needs and responsibilities will be handled?
- ☐ Did you review Step 1 again so that you can decide whether formal or informal agreements are needed regarding responsibilities for carrying out the cooperative activity?

If you can answer "yes" to these four (4) questions, you are ready to move on to Step 5: Develop a Start Up Budget.

STEP 5: DEVELOP A START UP BUDGET

WHO SHOULD COMPLETE THIS STEP?

While cooperation programs do not usually result in major expenditures of money, if you are planning on implementing a Level I - Cooperation" program and you expect to incur costs, you **must** complete this Step.

THE BUDGET

A transportation budget consists of three major expense categories. These are:

- administrative/management expenses;
- operations expenses; and
- capital expenses.

As you think about the activities you want to implement, the resources that will be needed and the persons that will need to work on implementing and maintaining your program, consider potential expense categories. Be sure to also consider one-time start-up costs that may be incurred.

Administrative/Management Expenses

The budget will be highly dependent upon the level of activity by a Coordinator. If the Coordinator will be very active and involved with many activities, it may be necessary to charge some salary or wage and benefit costs to your Cooperation program. If, however, the Coordinator plays only a minor role, you may not need to prepare a budget.

At the end of this Step a sample budget format has been provided. You will need to review the format and make decisions as to which of the expense line items, if any, apply to your program. You will also need to decide if a portion of an existing employee's time will be used to get cooperation going, or if you will need to hire a person whose primary responsibility will be the development of the cooperation program. You will also need to decide whether the Coordinator will need additional staff help. Once you have reviewed the possible range of expense items, you will need to decide whether or not you need a budget. If you do need a budget you will need to estimate expected expenses for each activity. This may involve allocating certain expenses between cooperation activities and other non-cooperation work.

Operating Expenses

For the most part, vehicle operating expenses are not incurred by the Coordinator in a Level I - Cooperation program. Nevertheless, review the list of operating costs at the end of this Step. Based upon your program, decide if you need an operating budget. If so, you will need to make estimates for each operating cost that you anticipate.

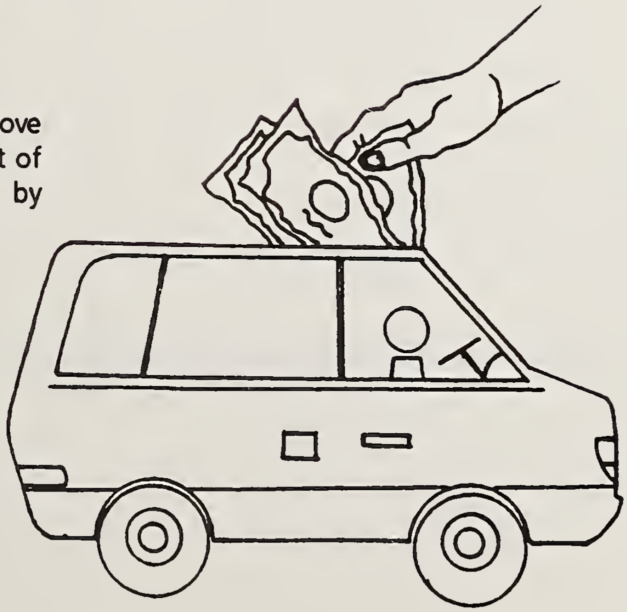
Capital Expenses

It is unlikely that the Coordinator will have vehicle capital expenses in a cooperation program. The Coordinator may have other capital expenses such as office equipment and computer hardware and software especially if staff expenses will be incurred. Other expenses may include such things as office supplies, copying and communications expenses. Based upon your planned activities, make a list of what capital equipment you expect to need. You will then be able to call various suppliers of that equipment to determine how much each item on your list will cost. Using the estimates provided by the suppliers you will be able to complete your capital budget.

CHECKLIST

- ☐ Have you reviewed the activities you want to implement and have you determined whether or not you need to develop a budget?
- ☐ If you discover that you will need a budget, have you itemized where you expect to incur expense and have you prepared a budget?

If you can answer "yes" to each of the above questions proceed to Step 6: Development of Cooperative Agreement and Execution by Participants.



STEP 5: DEVELOP A START UP BUDGET

Supplementary Materials

- EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES

EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES

EXPENSE ITEM	TOTAL	ALLOCATED TO COORDINATION
I. WAGES, SALARIES & FRINGE BENEFITS		
A. Wages & Salaries		
1. Coordinator		
2. Administrative Assistant		
3. Bookkeeper		
4. Secretary		
5. Other		
Sub-Total Wages & Salaries		
B. Fringe Benefits		
1. Workmen's Compensation		
2. Unemployment Compensation		
3. Employee Insurances		
4. Health Plans		
5. Other		
Sub-Total Fringe Benefits		
TOTAL WAGES, SALARIES & FRINGE BENEFITS		
II. OFFICE SUPPLIES/SMALL EQUIPMENT		
A. Supplies		
B. Copying		
C. Facsimiles		
D. Minor Office Equipment		
E. Other		
TOTAL OFFICE SUPPLIES/SMALL EQUIPMENT		
III. UTILITIES		
A. Telephone		
B. Electric		
C. Heat		
D. Water		
E. Sewage		
F. Other		
TOTAL UTILITIES		
IV. INSURANCES		
A. General Liability		
B. Hired and Non-Owned Automobiles		
C. Property		
D. Other		
TOTAL INSURANCES		

EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES (CONTINUED)

EXPENSE ITEM	TOTAL	ALLOCATED TO COORDINATION
V. GENERAL SERVICES		
A. Custodial/Caretaking		
B. Data Processing		
C. Bookkeeping/Accounting		
D. Other		
TOTAL GENERAL SERVICES		
VI. PROFESSIONAL SERVICES		
A. Attorney Fees		
B. Accounting/Auditing		
C. Consulting		
D. Marketing		
E. Other		
TOTAL PROFESSIONAL SERVICES		
VII. MARKETING		
A. Advertising		
B. Promotional Materials (Brochures/Posters)		
C. Other		
TOTAL MARKETING		
VIII. DEPRECIATION		
A. Buildings and Grounds		
B. Capital Equipment		
C. Other		
TOTAL DEPRECIATION		
IX. TRAVEL		
A. Mileage Reimbursement		
B. Out-of-Area		
1. Air		
2. Hotel		
3. Rental Car		
4. Subsistence		
5. Other		
Sub-Total Out-of-Area		
D. Other		
TOTAL TRAVEL		
X. MISCELLANEOUS		
A. Conference Registrations		
B. Dues/Subecriptions		
C. Other		
TOTAL MISCELLANEOUS		
GRAND TOTAL ALL EXPENSES		

STEP 6: DEVELOPMENT OF COOPERATIVE AGREEMENT AND EXECUTION BY PARTICIPANTS

WHO SHOULD READ THIS STEP?

All entities that intend to participate in the local cooperation program are advised to read this Step.

WHAT TYPE OF AGREEMENTS SHOULD WE HAVE AMONG OUR PARTICIPANTS?

To decide what type of agreement will work best in your area, you should first review Steps 1, 2, 3, 4 and 5. By the time you have completed Steps 1 through 5, you should have reached a decision whether informal or formal agreements were initially needed by the participants in your cooperation program as well as if you anticipated costs. After completing Step 2 you should have determined which of the cooperation programs you will be implementing as well as which public and/or private entities will be potential participants. Also, in determining the participation levels (Step 3), the scope of responsibilities among participants (Step 4), and potential costs (Step 5), you may have decided to rethink what type of agreements are needed. Remember: Agreements can be informal (verbal or in a letter), or formal (through board resolutions and/or a written contract document).

Keep in mind that the number of participants and their financial commitments to the program are important factors in choosing the best agreement type for your group. It is strongly recommended that, if funding (money) is involved, a formal written agreement be entered into by all participants.

THE AGREEMENT, ITS PARTS, AND THEIR MEANING

If you determine that a formal contract agreement is needed, the remaining topics in this Step will help you in preparing the contract. If you do not want or need a formal contract (agreement) go to the Checklist at the end of this Step.

A formal written agreement between or among the participants in the cooperation effort forms the basis of understanding between the participants. The purpose of the agreement is to clearly define the responsibilities of each participant, the nature of the responsibilities to be undertaken, what happens when one of the participants fails to fulfill its obligations and, if applicable, what financial compensation or requirements are involved.

The following is a list of the basic elements that are typically found in an agreement. Following each element are the major points to be covered under each.

- Agreement Preamble
  - Identifies parties to the agreement.
  - States the purpose of the agreement.
- Glossary of Agreement Terms
  - Defines terms used in agreement.
  - Used to clarify interpretation of agreement provisions and intended meaning of terms.

- Period of Performance (Participation)
  - States the life of the agreement.
- Scope of Cooperative Efforts
  - Defines the cooperative activity/ activities covered by the agreement.
  - May list activities in order of priority.
  - Defines each party's level of participation.
  - Defines each party's responsi-bilities for each cooperative activity (i.e., Manpower/staff commitments, facility availability, financial contributions, etc.).
- Payments (if applicable)
  - Sets forth payments to be made including the basis for payments, invoice and payment schedules.
- Termination of Agreement
  - Defines reasons (cause or convenience) for agreement termination.
  - States time frame for notifica-tion of intent to terminate.
  - Describes process for agreement termination [e.g. final payment provision (if applicable)].
- Penalties (if applicable)
  - Sets forth what would happen in the event that a party to the agreement does not meet the responsibilities set forth.
- Amendments to Agreement
  - States terms for amendment of the agreement.
  - Describes amendment process.
  - States that amendments must be agreeable to all parties.
  - States that amendments must be incorporated as written attachments to the agreement document.

Be sure to keep in mind that when developing a formal agreement, each element should be described in clear, concise terms. Agreements are intended to prevent misunderstandings between or among participating parties.

The agreement elements described above constitute the basic issues that should be addressed. However, due to the variety of local and State laws and/or ordinances, consultation with legal counsel is needed to ensure that the agreement meets all the necessary requirements.

WHO SHOULD DEVELOP THE AGREEMENT DOCUMENT?

It is recommended that the individual or participant who agreed to lead the development effort under Step 4 of this Chapter ("Define the Scope of Responsibilities"), develop a draft agreement. Do not be afraid to write the agreement. Simply put into words what you and the other participants want to do. The draft agreement should first be reviewed by an attorney. Incorporate the attorney's comments into the draft agreement and distribute the revised document to all participants for their review and comment. It may be helpful to bring the group of participants together for a meeting to discuss the further refinement of the agreement. Should this occur it may be beneficial to have a legal representative present.

When all comments have been received and all necessary revisions have been completed, legal review is once again needed. The lead participant should then once again bring the group of participants together for a final review and discussion of the document. After this final review, if any additional changes are needed, the agreement needs to be reviewed by legal counsel to ensure its validity. Note that it is important to have an interactive process that enables all participants to refine the agreement. Legal counsel should be included throughout this process.

WHAT HAPPENS NEXT?

After the document has been completed, and undergone legal counsel review, there are several ways in which the agreement can be executed. Some examples are listed below:

- A meeting of the participants can be called and authorized representatives of each can all sign master agreements. Note that each participant should be provided an original agreement. When fully executed (signed by all participants) all participants would be provided an original of the full document for their files.

  Calling all members of the group together for the signing of the cooperative agreement can be an excellent opportunity to gain local publicity for the project. Typically, the local media is very interested in activities that may result in improved services to local residents and/or efforts to contain costs.

  Should you decide to hold a group signing event, be sure to invite participating agency board members and local officials, as well as appropriate funding representatives. Also, it is very important to provide your local media (radio, television, newspaper) with advance notice of the event. Also provide the media with a brief fact sheet on the project and a list of anticipated guests for the contract execution event.

- The master agreements (enough so that each participant can have an original document) can be prepared and passed from participant to participant until all members of the group have signed and entered into the agreement. <u>Be sure that all participants sign all of the copies</u>. The agreement can either be hand carried from party to party or can be sent through the mail. The last participant to execute the agreement should be requested to return it to the individual that agreed to lead the development efforts for the cooperation program. This lead participant can then send to each of the other participants their copy of an original agreement.

  This method of executing the agreement can also be a good opportunity to gain local publicity for the cooperative effort. The lead agency/individual or some other member of the participating group, can prepare a press release/fact sheet on the project and provide it to the local media.

IS THERE ANYTHING ELSE WE SHOULD DO WITH THE AGREEMENT?

Yes. Once fully executed by all participants, a copy of the agreement should be provided to the appropriate local or state funding representatives for their records. It is suggested that each of the participants take care of this detail. You may need to remind them to do this, however.

CHECKLIST

- ☐ Have you reviewed Steps 1,2, 3 and 4 to help you determine whether an informal or formal agreement will be needed among the participants of the cooperation program?
- ☐ Have you decided which type of agreement (formal or informal) is needed?
- ☐ Do you understand the purpose of a written agreement, its parts and their meaning?
- ☐ Have you developed a budget if you expect to incur any costs?

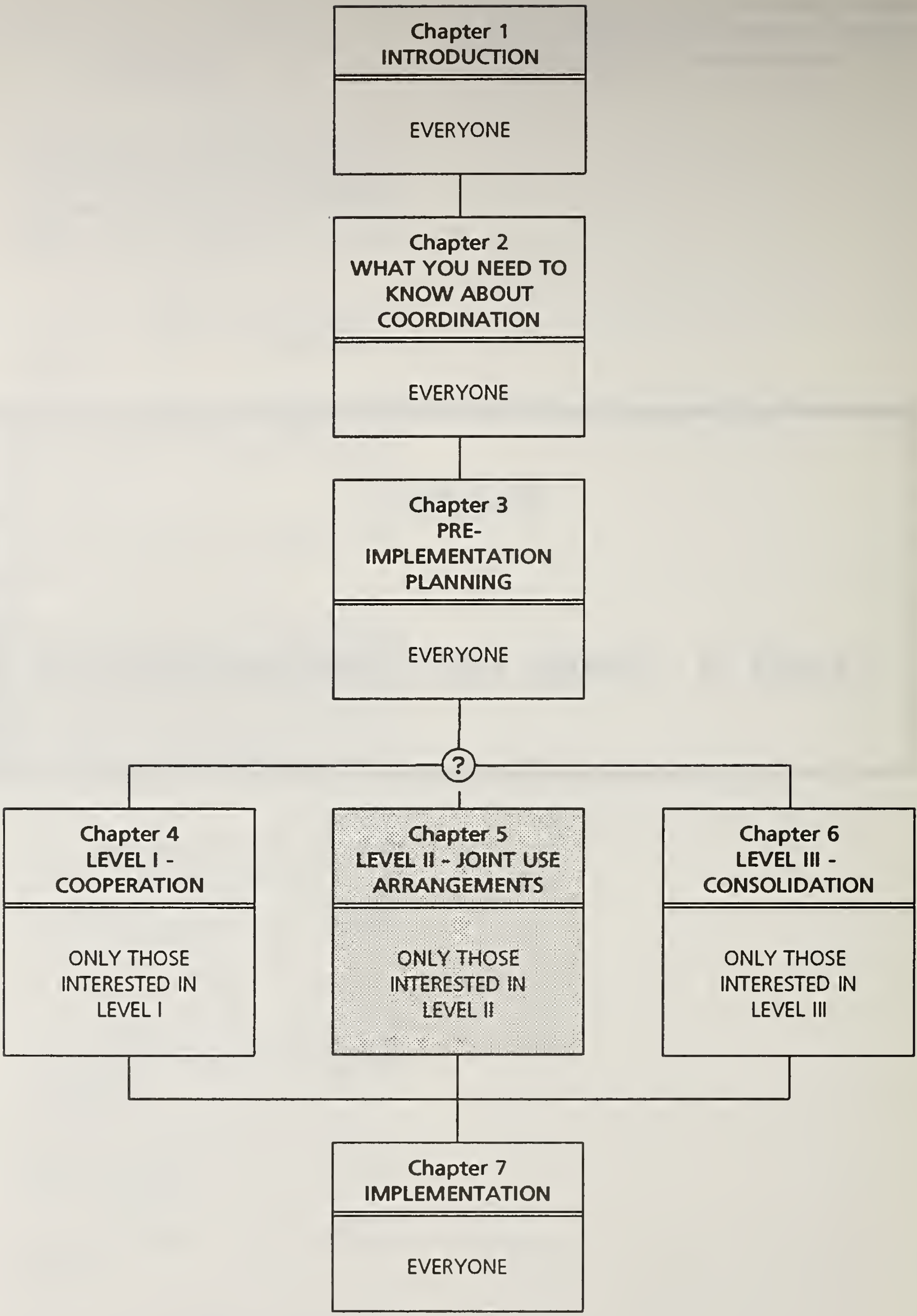
If you do not need a contract and if you can answer "yes" to all the questions on the above checklist, you are ready to Implement Level I - Cooperation. Go to Chapter 7. If, however, you feel you do need a formal agreement proceed with the remainder of this Checklist.

- ☐ Has it been determined who will develop the draft agreement document?
- ☐ Has that party written the agreement?
- ☐ Has a legal review been completed?
- ☐ Have all participants had an opportunity to review and comment on the draft agreement?
- ☐ Has it been decided how the agreement will be executed?
- ☐ Is the agreement now fully executed (signed)?
- ☐ Have all participants and funding agencies been provided a fully executed original copy of the agreement for their records?

If you can answer "yes" to all of the questions on the Checklist your are ready to implement Level I - Cooperation. Go to Chapter 7.

CHAPTER 5

LEVEL II - JOINT USE ARRANGEMENTS


Chapter 1
INTRODUCTION
EVERYONE
Chapter 2
WHAT YOU NEED TO KNOW ABOUT COORDINATION
EVERYONE
Chapter 3
PRE-IMPLEMENTATION PLANNING
EVERYONE
?
Chapter 4
LEVEL I - COOPERATION
ONLY THOSE INTERESTED IN LEVEL I
Chapter 5
LEVEL II - JOINT USE ARRANGEMENTS
ONLY THOSE INTERESTED IN LEVEL II
Chapter 6
LEVEL III - CONSOLIDATION
ONLY THOSE INTERESTED IN LEVEL III
Chapter 7
IMPLEMENTATION
EVERYONE

CHAPTER 5

LEVEL II - JOINT USE ARRANGEMENTS

CHAPTER 5
(Continued)

LEVEL II - JOINT USE ARRANGEMENTS

LEVEL II - JOINT USE ARRANGEMENTS

STEP 1: DEFINE JOINT USE ARRANGEMENTS TO BE IMPLEMENTED

WHO SHOULD READ THIS STEP?

Complete this Step if you are planning on developing a "Level II - Joint Use Arrangement" coordination program. As a reminder, a joint use arrangement occurs when the resources of the participating agencies are available for use by others.

WHICH STEPS IN THIS CHAPTER APPLY TO ME?

Depending upon the specific activities that you want to implement, all of the steps within this Chapter may not apply to you. Everyone, however, must complete Steps 1, 2, 8 and 9. Read over Steps 3 through 7 to see which of these steps you will need to complete as well.

DECIDE WHICH ACTIVITIES YOU WANT TO DO

You have decided to develop a joint use arrangement program. This involves sharing agency resources available in your area. You first need to decide what items or services are to be jointly used. Next, you will need to decide which agencies will provide what resources. Finally, you will need to decide which agencies will use those resources. Remember: Joint use arrangements are usually more complex than "Level I - Cooperation."

In this Step 1 the most common joint use arrangements are briefly described. While more complete information on how to set up your program will be provided in later steps within this Chapter, it is first important that you have a good understanding of the range of possible joint use arrangements. This understanding will help you "pick-and-choose" which arrangements you want to get going. Remember: You need not implement all of the activities! Select only those that you want to implement. After you get one or two going you may want to go on to implement other activities.

As you review each, think of how that activity can benefit your area. When you understand each, you will be ready to decide which of the activities you want to include in your program. Complete this Step by filling out the "Joint Use Arrangements to Be Implemented and Participant Form." You will find this form at the end of this Step.

Some of the coordination activities described in this Step work well on an informal basis. Other activities are difficult and complex. These complex activities require formal arrangements. At the end of each activity description, guidance is provided on the complexity of each activity. This guidance will help you decide whether informal or formal structures need to be set up.

As a general rule-of-thumb, if money is involved or if formal board action is required, a formal arrangement is desirable.

Information and Referral

There are two ways to set up an information and referral network. In the first way each participant provides all other participating organizations with a description of the transportation services they provide. The kinds of information that would be necessary would include the following:

- Description of transportation services offered;
  - service areas
  - days of the week
  - times of the day

- Client eligibility requirements;
  - age
  - income
  - other

- Availability of escorts;

- Availability of accessible vehicles;

- Transportation scheduling requirements and telephone number; and

- Fees for transportation services.

Here is how it works. A participant in your joint use coordination program receives a call for transportation service. The participant, however, cannot provide the service. Because the participant has information about other organizations in the area, participant staff are then able to refer the caller to another organization that may be able to help. Should you elect this implementation method, either a formal or informal structure will work.

Another and often more effective way to set up an information and referral network is when one agency assumes the role of the "Coordinator". The Coordinator establishes a transportation information and referral telephone number. All participants help to inform citizens of the telephone number. The Coordinator takes responsibility for providing information on all the transportation services provided by participants. In processing calls for transportation assistance, the Coordinator attempts to match the caller's transportation need to one of the participants. The Coordinator seeks to refer the caller to that agency, organization or company which may be able to provide the needed transportation service. A formal arrangement should be established if there is to be a single "Coordinator."

Grant Applications

The appointment of a Coordinator is essential for completing this activity. A good example where coordination can occur would be in preparing an UMTA Section 16 (b)(2) capital grant application. During a planning period the vehicle needs of each participant are identified. One grant application is then prepared on behalf of all eligible participants. Board or committee authorization from each participant will likely be necessary.

The coordination of the grant application process, while not difficult, is one of the more formalized joint use arrangements. Actions by governing boards or local planning organizations are a requirement for submitting a grant request. Also, in most grant programs, a commitment for a local matching share is required. A formal relationship among the participants is therefore recommended.

One agency must take the lead and responsibility for developing the grants and related budgets. Be sure to check with any local or regional planning organizations as these agencies often are willing to assist in the coordination of grant applications. If you choose to start coordinating grant applications in your area be sure to itemize, by participant, any local matching share requirements.

Specification Development

Coordinating the development of vehicle specifications makes good sense. The range in vehicle styles and sizes makes this work effort a good one to share among two or more participants. Each would take the lead for a specific kind of vehicle. For example, a participant that uses primarily vans can prepare a basic van bidding package. Another participant that uses small buses might take the lead in developing a small bus specification package.

While developing and packaging vehicle specifications can be time consuming and difficult, coordinating this effort is not complex. An informal or a formal structure will work equally well.

Marketing

Marketing has two principle aspects: selling a service or product and developing good-will within the community. Public transportation systems, especially fixed route systems, are interested in both promoting (selling) service and in developing good will. The mission is to attract additional fare paying riders to the system and to maintain local financial support. The more fare paying riders there are, the lower the operating loss becomes. A program designed to generate good will in the community is called "public relations." Normally, human service agencies do not have funds to provide higher levels of service and therefore do not try to "sell" their service. They do (or should), however, promote and practice good public relations. This is especially important for gaining the support of local elected officials as well as to strengthen support from their memberships.

Marketing can be simple or it can be complex. This depends upon how much and what kind of marketing you want to do. If for example, the extent of the marketing effort is the sharing of newsletter articles between agencies, this activity can be done informally. If you want to hire a marketing firm, a formal arrangement is necessary. This is because a cost sharing arrangement must be developed.

Driver Training

All transportation networks depend upon drivers. Coordinating driver training programs therefore makes good sense. Examples of typical driver training programs include passenger assistance techniques, passenger relations, commercial driver's license requirements, defensive driving, driving on ice and snow, and in some communities, CPR and emergency first aid.

One participant can take the lead and arrange for all training programs. It is also possible for several participants to each provide a specific training package. A larger operator may already have a good training program for its drivers and may be willing to offer its training package to other participants. This could be as simple as offering unfilled trainee slots to others. It could also set up special courses specifically for the other participants.

Coordinating driver training is not difficult. This activity can be carried out on an informal or formal basis.

Joint Purchasing

Participants can unite to buy transportation service as well as all kinds of supplies and equipment. Vehicles can even be included in a joint purchase arrangement. As with other "joint use" activities, joint purchasing will probably be most effective if lead by a single "Coordinator."

In a joint purchasing arrangement where the product to be bought is transportation services, this service can be potentially procured from either a public or private entity. Don't forget to consider private for-profit transportation providers as well as local general public transportation providers.

Transportation services can be purchased on numerous kinds of unit rates. For example, service can be negotiated on a vehicle mile, vehicle hour, passenger trip, or passenger mile basis. Service can also be purchased on a metered rate as well as on a daily or weekly rate. In seeking competitive quotes for service it is very important that all prospective service providers submit quotations (or bids) on an equal basis. Care must be taken in comparing costs to ensure that the comparisons are conducted "equally." For example, if bids are solicited on a per vehicle mile or per vehicle hour basis, selecting the lowest bidder might, in the long run, actually prove to be more expensive. This can happen when the lowest bidder consumes more miles to provide a specified number of trips then would another bidder. It is therefore important for the Coordinator to specify the maximum number of units that will be purchased.

In joint purchasing arrangements for other goods, products or services, it will be necessary to set up purchase schedules. All participants will need to know when to send in orders and they will need to plan their inventory needs to coincide with delivery schedules. For purchases such as fuel, oil, tires, or other vehicle supplies, the lead participant may only need to maintain an inventory. A storage place would then be required. In this case participants can purchase items from the inventory as needed.

Depending upon volumes, bulk purchases can save money and staff time. One person can get quotes and order 100 items as easily as 10.

Before forming a joint purchasing arrangement, it will be essential to review all participants' procurement regulations and develop a procurement process for the joint-purchasing activity that complies with each participant's regulatory requirements.

Joint purchasing involves the delegation of decision making and the transfer of money. For many public agencies board action is also required. For these reasons a formal structure is recommended.

Vehicle Sharing

Sharing vehicles offers an opportunity for participants to get more service while holding down both capital and operating costs. Vehicle sharing arrangements are helpful any time a participant needs more seats and other participants have idle vehicles.

Not only can vehicle sharing arrangements be set up for existing vehicles, but vehicles can be purchased with vehicle sharing in mind. This can result in the sharing of the purchase costs and the fixed operating costs (ie. insurance and routine preventive maintenance).

Details like whose driver will operate the vehicle, commercial driver's license requirements and insurance issues must be addressed. Vehicle sharing can be set up on a repetitive basis, such as between 10:00 A.M. and 2:00 P.M., Monday through Friday. Vehicle sharing can also be used for special events, emergencies, or as back-up equipment.

Vehicle sharing arrangements are complex. However, these arrangements offer some of the greater benefits of coordination. Due to liability issues, commercial driver's license requirements and the need for setting up cost sharing arrangements, it is recommended that vehicle sharing be formalized.

Trip-Sharing

When one participant has a vehicle operating with empty seats, the opportunity to develop trip-sharing is present. Trip-sharing can be designed to take agency clients to a service center on a repetitive basis. These arrangements can also be designed to serve the general public. By matching unfilled seats with other participant or general public travel needs, vehicle capacity is maximized. This results in reducing the cost per one-way trip for all riders. It also offers a participant the opportunity to provide service to persons that the participant would not otherwise be able to serve.

To set up a trip-sharing program, a method to collect and share information must be developed. That information will identify the specific service areas, times of the day, and days of the week when any unfilled seats are available.

An informal alternative for compiling and distributing this information is for each participant to identify when they have additional capacity. Each then sends a notice to all others advising them of the vacant seat(s).

Another alternative is for one participant to become the central focus for collecting information. That participant then organizes the list of all services noting where/when seats are available. This information is then distributed to all other participants.

In both alternatives, upon receiving this information each participant must take the initiative. This would include contacting the participant with the vacancy and making the trip-sharing arrangements.

A more formalized approach involves one lead participant as the Coordinator. The Coordinator collects information from all participants on available capacity. The Coordinator also collects information from all participants on transportation needs. The Coordinator is then responsible for matching unmet needs and available seats. One advantage of the Coordinator approach is that often it is possible to identify service duplications. The Coordinator can then work with the participants to eliminate duplicate service.

Trip-sharing arrangements, like vehicle sharing, requires detailed coordination. Due to liability issues and the need to share costs, it is recommended that this activity be formalized.

Escort Services

It is likely that more than one participant in your local area is currently providing escorts to ride with elderly or disabled clients. Typically, escorts are drawn from a human service agency's pool of volunteers, however, some may actually be paid agency staff (e.g. case workers).

To establish a coordinated escort program you can use one of two methods. One specific agency or organization, preferably one with a large volunteer network, may function as the Coordinator for arranging for escorts on an as-needed basis. With this method, participants needing escorts should contact the Coordinator not less than 24 hours in advance and place their request. The Coordinator would then contact volunteers until an escort was confirmed. Once an escort has been committed the Coordinator would then notify the participant needing the escort and all arrangements would be finalized.

Another method of establishing a coordinated escort service would be for participants to develop a combined list of volunteers who are willing to serve as escorts. Each participant would then arrange its own escorts drawing from the combined listing, on an as-needed basis.

Uniform Capital Replacement Standards

Creating uniform replacement standards for capital equipment is especially useful in a coordinated system. When any of the following activities are a part of your program, uniform standards should be developed: Grant application preparation, vehicle specifications, or joint purchasing. The development of standards for replacement helps in managing any of the related work activities.

Often grantors have already established replacement criteria. This may limit your success in developing common useful life definitions.

Most agency boards do not become involved in useful life issues. In cases where funding agencies do not have useful life standards local managers and directors establish the standard. Unless grantors have required standards, this activity can be coordinated among local agency managers. In this case informal agreements are satisfactory.

Before attempting to set up common useful life standards, contact the funding agencies of all participants to determine what (if any) useful life replacement standards are required of each grantor.

CHECKLIST

- ☐ Do you understand each of the areas where joint use arrangements commonly occur?
- ☐ Have you checked on the form provided, the joint use arrangements you want to set up?
- ☐ Have you listed on the form those participants that would be likely to participate in the desired joint use arrangements?

If you can answer "yes" to each of the questions in the Checklist you are ready to move on to Step 2: Define Necessary Administrative Structures to Oversee Joint Use Arrangements.

STEP 1: DEFINE JOINT USE ARRANGEMENTS TO BE IMPLEMENTED

Supplementary Materials

- JOINT USE ARRANGEMENTS TO BE IMPLEMENTED AND PARTICIPANT FORM

JOINT USE ARRANGEMENTS TO BE IMPLEMENTED AND PARTICIPANT FORM

ACTIVITY	LIST LIKELY PARTICIPATING AGENCIES
___ Information and Referral	______
___ Grant Applications	______
___ Specification Development	______
___ Marketing	______
___ Driver Training	______

JOINT USE ARRANGEMENTS TO BE IMPLEMENTED AND PARTICIPANT FORM (Continued)

ACTIVITY	LIST LIKELY PARTICIPATING AGENCIES
___ Joint Purchasing	______________________ ______________________ ______________________ ______________________ ______________________ ______________________
___ Vehicle Sharing	______________________ ______________________ ______________________ ______________________ ______________________ ______________________
___ Trip-Sharing	______________________ ______________________ ______________________ ______________________ ______________________ ______________________
___ Escort Services	______________________ ______________________ ______________________ ______________________ ______________________ ______________________
___ Uniform Capital Replacement	______________________ ______________________ ______________________ ______________________ ______________________ ______________________

STEP 2: DEFINE NECESSARY ADMINISTRATIVE STRUCTURES TO OVERSEE JOINT USE ARRANGEMENTS

WHO SHOULD READ THIS STEP?

This Step is designed to lead you through a very important process. It is critical that all readers who want to implement any type of joint use arrangement complete this Step. When you have completed all of the tasks in this Step you will be on your way to coordinating joint use arrangements.

INTRODUCTION

You now should have decided which of the joint use activities you would like to set up. When planning your program, remember that your programs do not all need to be coordinated by one person or one participant. Joint use arrangements can be established where each participant performs one or two coordination activities. Where several small participants are interested in coordinating, this arrangement helps to divide the work load. If your program is more complex, you may want to set up a single participant as the Coordinator.

In completing this Step you will make some important decisions. In making those decisions you will need to answer the questions listed here.

- Will the overall coordination program be set up on an informal or a formal basis?
- How will management decisions be made?
- What structure will be set up to obtain input from the participants?
- Will several participants each perform one or more of the coordination activities or will one participant be the Coordinator?
- If you decide that a single participant will act as the Coordinator
    - will one of the existing participants be designated as the Coordinator

      or

    - will a new entity be created

      or

    - will you use a private for-profit company to serve as the Coordinator?

As you read through this Step refer to the Decision Tree diagram at the end of this Step. It will help you follow the decision making process.

INFORMAL OR FORMAL?

In each activity description under Step 1, guidance was provided indicating whether an informal or a formal arrangement is best for a particular activity. Based on the activities you have selected, you must now determine how formal your program (activities) must be. Note that some activities may be informal while others may need to be formal.

As a reminder, an informal arrangement is one where people agree to participate either orally or in a letter. Informal arrangements are appropriate when decision making rests with management and when the exchange of money is not involved. Formal arrangements are necessary when board actions are required or if a contract needs to be executed and if money is to change hands.

Informal

If the coordination arrangements are to be informal, it will still be necessary for the Coordinator to set up management procedures. You must decide how decisions will be made; how to collect input; and who will make the final decision. Remember that any policy developed will need to reflect the interests of the participants.

Formal

As the number of activities in your program increases, coordination will become increasingly complex. With this greater complexity, the formal appointment of the Coordinator becomes more important. In a formal setting it is difficult to develop a program where different participants serve in different coordinating roles. The formalized approach works best in those instances where a single Coordinator is decided upon.

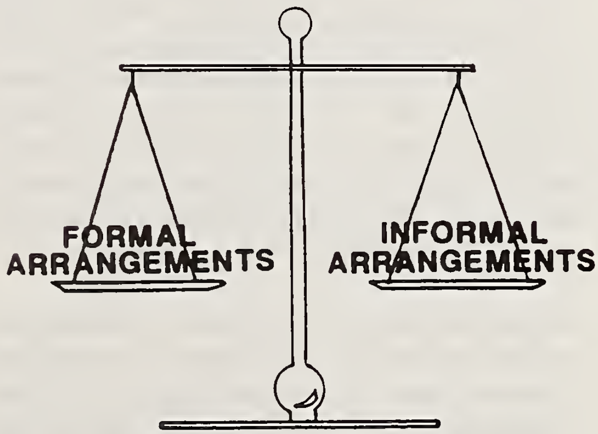
In setting up formal arrangements, it is important for the governing boards of participants to take formal action. Agency boards should: approve participation in the coordination activities; approve the designation of the Coordinator; and approve the execution of formal agreements.

With increased formality it is also important to set up other formal organizational structures. Decide whether or not a committee is necessary. The function of the committee would be to make recommendations to the Coordinator. If a committee is formed, representation from each participant is important. Each participant must delegate authority to their representative.

Three alternatives exist for the selection of the Coordinator. One of the participants can be named as the lead agency or Coordinator. As an alternative, you can create a new agency to serve as the Coordinator. Or you may elect to hire a private for-profit management company to serve as the Coordinator.

If one of the participants is to be the Coordinator, then all participants need to formally appoint that participant as the Coordinator. Have a resolution adopted by each participant's governing board. Each participant must be willing to delegate management authority to the Coordinator as agreed to in an agreement.

The participants may wish to develop a reporting process to be followed by the Coordinator. This process can also be used to provide information to participants. A method to monitor the performance of the Coordinator can also be developed.



If a new agency is to be formed, then steps must be taken to create that new agency. This can be a public or private non-profit organization. Start by getting a resolution passed by each participant's governing board. An example of a resolution designed for this purpose is provided at the end of this Step. The resolution must state that the participant supports the creation of a new entity to oversee coordination. Then follow the instructions outlined at the end of this Step entitled "Forming a Non-Profit Organization in Ohio."

After a new organization is formed, certain actions must be taken by each governing body of the participants. These are:

- Delegate authority to the new entity;
- Clarify the reporting requirements expected of the new entity;
- Decide how the organization's efforts will be monitored; and
- Determine who will oversee the monitoring effort.

If you elect to employ a company to serve as Coordinator it is recommended that you first develop a request for proposals (RFP). A RFP provides information on the services that you are looking for and solicits responses from interested companies on how they would go about delivering what you want and how much they would charge. If you want to take this approach you should contact either your funding agency or ODOT for additional technical advice.

Remember that the Coordinator, whether an existing agency, a new agency or a private company need not actually perform all the activities directly. The Coordinator can use any other source, including those of participants and the private sector, to deliver the service. The Coordinator's primary role will be to see that the needed services are provided and that the activities are coordinated.

CHECKLIST

- ☐ For each activity on your implementation list, have you determined whether an informal or formal arrangement will be set up?
- ☐ Have you determined which participants will participate in each activity?
- ☐ Do you know who the "Coordinator" will be?
- ☐ From those activities which you decided to carry out in Step 2, have you determined which participant will perform each activity?
- ☐ Have you arrived at one of the "Stop" points shown on the Decision Tree provided in the supplemental materials at the end of this Step?

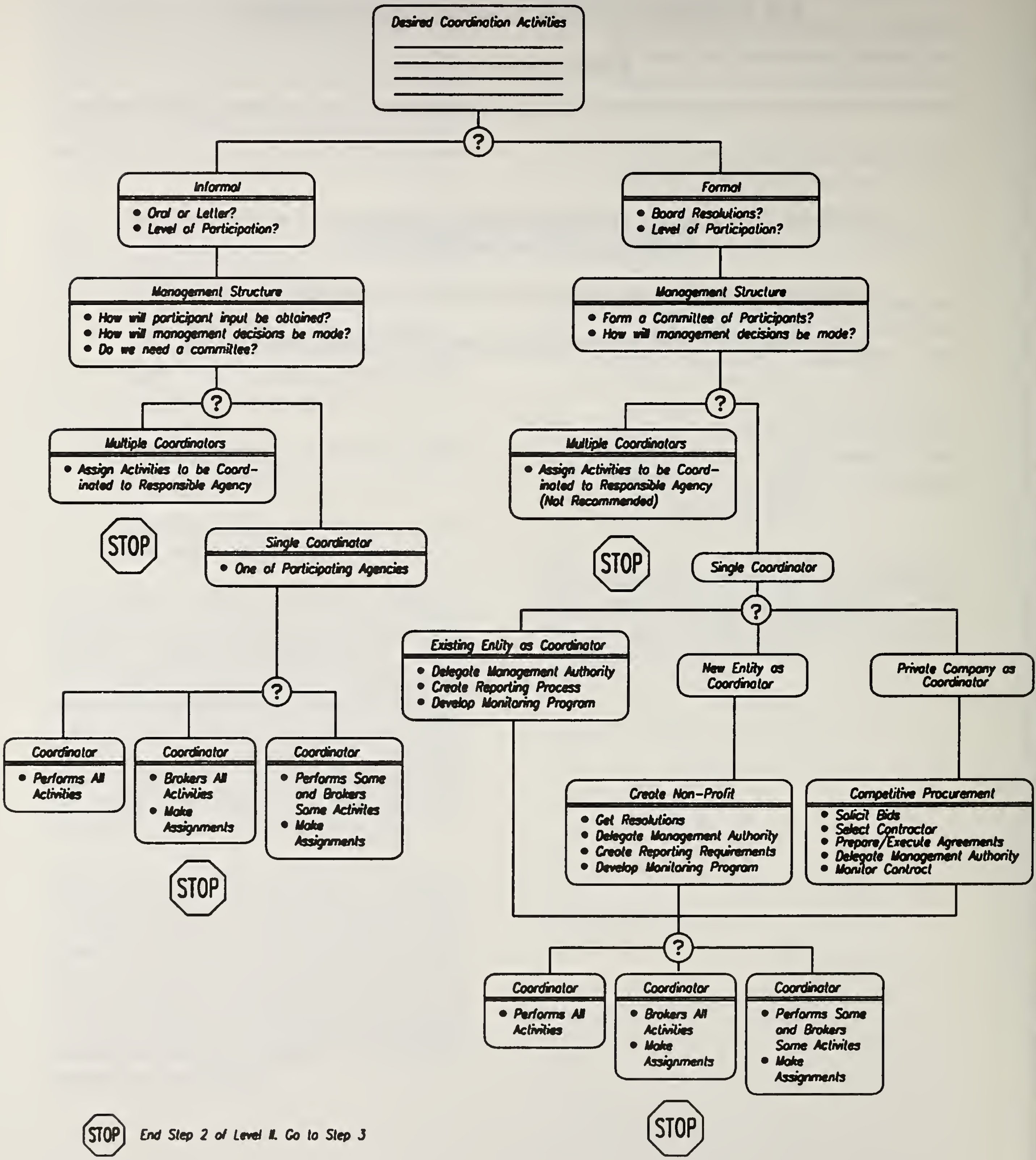
If you can answer "yes" to each of the questions in the Checklist you are ready to move on to Step 3: How to Set Up Simple Joint Use Arrangements.

STEP 2: DEFINE NECESSARY ADMINISTRATIVE STRUCTURES TO OVERSEE JOINT USE ARRANGEMENTS

Supplementary Materials

- DECISION TREE FOR DEFINING NECESSARY ADMINISTRATIVE STRUCTURES TO OVERSEE JOINT USE ARRANGEMENTS
- RESOLUTION SUPPORTING THE CREATION OF A NON-PROFIT CORPORATION
- INSTRUCTIONS FOR FORMING A NON-PROFIT ORGANIZATION IN OHIO

Decision Tree for Defining Necessary Administrative Structures to Oversee Joint Use Arrangements



RESOLUTION SUPPORTING THE CREATION OF A NON-PROFIT CORPORATION

FOR COORDINATING TRANSPORTATION IN ______________________________

RESOLUTION NUMBER _____

WHEREAS, the ________________________ (name of board or committee) believes that the transportation services provided in ________________________ (name of county, city or region) can be improved through a coordination program, and

WHEREAS, it is the desire of the governing board of ____________________ (name of board or committee) that a new non-profit corporation be established to serve in the capacity of coordinator,

NOW, THEREFORE, the ___________________ (name of board or committee) hereby adopts this Resolution as evidence of its support for and commitment to the creation of a new non-profit organization, the purpose of which will be to coordinate transportation services in ______________________________ (name of county, city or region).

BE IT HEREBY resolved by the ___________________ (name of board or committee) that it endorses and supports ______________________ (name of agency who will prepare the corporation papers) in the creation of a new non-profit organization to serve as the coordinator of transportation services in ______________________________ (name of county, city or region). The name of this new non-profit corporation shall be ________________________ (name of new organization).

APPROVED, PASSED AND ADOPTED THIS ______ DAY OF _____, 19_____.

Signed ___________________________

Title ___________________________

Date ___________________________

FORMING A NON-PROFIT ORGANIZATION IN OHIO

Forming a non-profit organization in the State of Ohio is not a difficult task, but many factors must be considered by all participants in the coordination effort before any formal actions are taken. The following is a list of the basic activities/considerations necessary to form a non-profit organization in the State of Ohio. Copies of the Legal Handbook for Non-Profit Organizations and several forms are available from the Ohio Secretary of the State at the address listed below:

- Read the **Legal Handbook for Non-Profit Organizations.**
- Determine the name of the Corporation.
- Determine the principal office location of the Corporation.
- Develop a brief but specific statement of the purpose of the Corporation. Take care to develop a statement that does not restrict the activities of the Corporation. Be sure that the statement is adequate to obtain the desired tax status of the Corporation. (This is a very important step. You may want to obtain legal/financial advice after you have developed your statement.)
- Meet with a qualified insurance agent to determine the availability of liability insurance for officers, trustees and/or employees of the Corporation. Present the statement of purpose for the Corporation to the agent. Be sure that the liability insurance can cover volunteers, especially if they will be providing transportation service.
- Define the qualifications needed for Board Members and Trustees.
- Determine who will serve as Trustees for the Corporation.
- Determine who will serve as a Statutory Agency for the Corporation.
- Complete and file application for incorporation with the Ohio Secretary of State.

ASSISTANCE RESOURCES

General information, publications and required forms are available from the Ohio Secretary of State at the following address:

30 East Broad Street
14th Floor
Columbus, Ohio 43266-0418

Tax information and guidance is available from the IRS Forms Distribution Center at the following address:

Post Office Box 6900
Florence, Kentucky 41042

In addition to these sources of assistance, do not forget about your local Bar Association and Association of Certified Public Accountants. Both of these organizations can provide you with a variety of sound advice in your efforts to develop a private non-profit organization in the State of Ohio.

STEP 3: HOW TO SET UP SIMPLE JOINT USE ARRANGEMENTS

WHO SHOULD READ THIS STEP?

In Step 1 you Identified those coordination activities you would like to carry out. If you decided to implement any of the activities listed below, you will need to complete this Step for each activity.

- Information and Referral
- Specification Development
- Driver Training
- Escort Services
- Uniform Capital Replacement Standards

IS THERE ANY OTHER ORGANIZATION IN YOUR AREA PROVIDING THIS SERVICE?

First, determine if another agency or organization in your community is already conducting the activity you want to start. Check with the local governments, school districts, the United Way, the local Chamber of Commerce, local churches and church organizations and other similar institutions.

If you discover that an agency or organization is already performing the activity, determine if the agency can also coordinate the activity for you. If so, work with that agency in completing this Step.

If an organization does not or cannot provide the desired service, you will need to develop your own program. Follow the guidance provided in this Step.

ORGANIZING THE ACTIVITY

In Step 2 you identified the desired administrative structures for your coordination program. You will need to build your activity around decisions which have been made in Step 2.

ASSIGNING RESPONSIBILITIES

It will be necessary for someone to coordinate the activity. If you have not already done so, get a commitment from the participant or person who will assume responsibility for coordinating this activity. Remember that information will need to be updated periodically, logistics will need to be taken care of, review processes will need to be established, and discussions will need to be held with other participants.

The designated agency or company needs to start all actions to get the activity going, and to keep the activity working.

DEVELOP POLICIES AND PROCEDURES

The Coordinator needs to set up policies and procedures. These will differ from activity to activity. The goal for developing policies and procedures is to provide a clear process for deciding who needs to respond, what data is needed, when the information is needed, where the information should be sent, why the information is needed, and how the information will be used.

CHECKLIST

☐ Have you checked to see if any other organization in your area is already providing the activity(ies) you want to implement?

☐ Have you secured a commitment from the participant or person who is to serve as the lead agency or Coordinator?

☐ Have policies and procedures been developed?

If you can answer "yes" to the questions above you are ready to proceed to implementation.

[Be sure to complete this Step for each of the activities that you want to carry out.]

STEP 4: HOW TO COORDINATE GRANT APPLICATION PREPARATION

WHO SHOULD READ THIS STEP?

If you have decided to coordinate the grant application process you will need to complete this Step. Setting up a program to coordinate the preparation of grant applications is more complex than the activities addressed in Step 3. A separate step has therefore been developed for this activity.

IS THERE ANY OTHER ORGANIZATION IN YOUR AREA PROVIDING THIS SERVICE?

First, investigate whether or not any other agency or organization in your area is currently coordinating the preparation of grant applications. In some communities this activity is provided by city or county planning offices. Check with all local political sub-divisions in your area or region. In some areas this function is performed by either a metropolitan or regional planning organization. If an agency is currently coordinating grant applications, determine if they are willing to assist you. If so, work with that organization to implement your program. If not, you will need to develop your own program.

IDENTIFY GRANT SOURCES CURRENTLY USED BY PARTICIPATING AGENCIES

Some of the participants in your area will have dedicated funding sources which finance their programs. Agency grantors provide funding for both transportation and non-transportation activities. These organizations are typically human service agencies. Funding for transportation is included as a part of their annual agency grant application process. <u>It is not the intent of this Step for you to develop grant applications for non-transportation related activities</u>.

Other agencies may also submit grants for federally-funded transportation programs. These may include UMTA Sections 3, 6, 8, 9, 16(b)(2) and 18. Section 16(b)(2) UMTA grant funds (which are awarded on a competitive basis) are the most common federal funds used by agencies that serve the elderly and disabled community. Other agencies may also receive Section 9 and/or 18 assistance. In addition, funding for transportation services is also available from the U.S. Department of Health and Human Services under Title XIX (Medicaid), Title XX (Social Services Block Grant), Title III-B of the Older American's Act (administered through Area Agencies on Aging), Head Start, Mental Health and Retardation, and Vocational Rehabilitation. Other transportation funding includes Community Services Block Grants and, on occasion, Community Development Block Grants.

It is important to determine the sources of the funds agencies are currently receiving for supporting their transportation program. You need to be especially aware of grant funds which are for transportation only. It is not likely that you would want, or be able, to coordinate grant applications for non-transportation related services. For this reason, focus upon transportation funding. Be sure to include state as well as federal sources. Remember that an agency may not directly provide transportation for its clients. It may, however, purchase transportation from another provider.

Use the letter and questionnaire provided at the end of this Step to obtain information about grant funds being used by each agency. Also, obtain information on the total dollar amount of those funds. Have each agency send to you a copy of their most recent applications for all transportation related grants. Also obtain a copy of the eligibility requirements for each, either from the agencies or from their grantors.

IDENTIFY POTENTIAL FUNDING

Using the completed questionnaires, make a list of all of the different funding sources currently being used by participating agencies. Then group agencies by their current sources of grant funds. If an agency receives funding from two or more sources, place that agency in each grouping.

Then make another list, grouping each agency under all funding sources for which they are eligible. Use the information from the questionnaire along with the specific grant eligibility requirements to make this decision.

Compare the two lists. Is any agency eligible for grant funds that it is not currently receiving?

DECIDE WHICH GRANT APPLICATIONS WILL BE COORDINATED

At this point you will need to make a decision on which grant applications will be coordinated. Your decision will be affected by

- Available staff time to prepare the applications; and

- The number of agencies eligible for each potential grant source.

Of great importance will be whether or not the grantor will consider your coordinated application. Contact the grantor and discuss what you would like to do. Ask if the grantor would be willing to consider your joint application.

Based upon your work thus far, you will be able to decide which grant funding applications you will coordinate. You will also know which of the participating agencies will be involved with each application.

IMPLEMENTATION STRATEGIES

When it is time to implement the application process you will need to compile a variety of information from all participating agencies. Using the specific grant application instructions, make a list of all of the information that you need. Request this information from each participant. Be sure to allow sufficient lead time for agencies to collect and send the information to you.

You will have collected a variety of information from each participant through the questionnaire process, however, some data may be confusing or appear to be inaccurate. Do not hesitate to contact agencies for clarification. A personal interview may even be necessary.

Remember, accuracy, clarity, and completeness are key to the receipt of grant funding!

CHECKLIST

- ☐ Have you checked to be sure there is no other organization in your area coordinating grant applications?
- ☐ If another agency is coordinating grant applications, have you explored how your programs can be coordinated?
- ☐ Have you identified all funding sources for all participating agencies?
- ☐ Have you evaluated all of the possible funding sources and have you made a decision which grants will be coordinated?

If you can answer "yes" to each of the questions in the Checklist you are ready to proceed to implement a coordinated grant application program.

STEP 4: HOW TO COORDINATE GRANT APPLICATION PREPARATION

Supplementary Materials

- LETTER TO PARTICIPANTS ON GRANT FUNDING
- QUESTIONNAIRE ON APPLICATIONS FOR TRANSPORTATION FUNDING

Dear _____________________:

As the coordinator of transportation services in ____________________(name of county, city or region), ____________________________ (name of the coordinator agency) is working on coordinating transportation grant applications for our area. Based upon information provided by your agency, we understand that you would be interested in participating in this joint application process. In order to determine which grant program you may be eligible for and also to determine your current funding source(s) we need your assistance.

Please complete the attached questionnaire and return it to us by _______________(date you want the questionnaires returned). After we have reviewed all responses from interested agencies we will advise you concerning which grant applications we will be preparing. At that time we will also request additional information from you which we will use to build the application.

If you have any questions please call ___________________________ (name of person to be contacted) at _____________________ (telephone number of person to be called).

On behalf of _____________________________ (name of coordinator) I thank you very much for your help.

Very truly yours,

__________________, ________________
(Name) (Title)

_________________________ (Name of coordinator)

QUESTIONNAIRE ON APPLICATIONS FOR TRANSPORTATION FUNDING

Instructions: Please answer each of the questions in this questionnaire. Do not leave any question blank. If a question does not apply place "N/A" next to the question. Be sure to fill in the name of your agency. Feel free to provide any comments in the space provided. Mail your completed questionnaire to us by ________________ (date questionnaires are to be returned) at the following address:

(Coordinator's name and address)

Agency or Organization: ____

Name of Person Completing This Questionnaire: ______________________________

Telephone Number: ______________________________

1. Our agency is considered a

(Check the appropriate response)

___ Governmental Body

___ Public Non-Profit Agency

___ Private Non-Profit Corp.

___ Private For-Profit Business

___ Transit Authority

___ Other (Please Specify)

__________________________________.

2. Check those grant funds which you currently receive and show the total amount of grant funds awarded in the most recent fiscal year period.

Funding Program	Name the Exact Funding Source	Most Recent Award
___ State categorical grants	______________________	$______________
(funds provided for a specific	______________________	$______________
program such as Aging, Mental	______________________	$______________
Health, Head Start, CDBG, etc.)	______________________	$______________
___ Federal categorical grants	______________________	$______________
(funds provided for a specific	______________________	$______________
program such as Aging, Mental	______________________	$______________
Health, Head Start, CDBG, etc.)	______________________	$______________
___ UMTA Section 9 (Urban general public)		$______________

Funding Program	Most Recent Award
___ UMTA Section 18 (Rural general public)	$________
___ UMTA Section 3 (Capital)	$________
___ UMTA Section 16(b)(2) (Capital)	$________
___ UMTA Section 8 (Planning)	$________
___ UMTA Section 6 (Demonstration/Special Projects)	$________
___ State of Ohio Operating Assistance (General Public)	$________
___ State of Ohio Elderly and Handicapped Transit Fare Assistance (OEHTFA))	$________
___ State of Ohio Capital Assistance (General Public)	$________
___ Other (Please specify) ____________ ____________	$________

3. Please send a copy of your most recent grant application for each of the programs in question 2 above.

4. Check those grant programs that you are not currently participating in but which you believe you may be eligible for.

   ___ UMTA Section 9 (Urban general public)

   ___ UMTA Section 18 (Rural general public)

   ___ UMTA Section 3 (Capital)

   ___ UMTA Section 16(b)(2) (Capital)

   ___ UMTA Section 8 (Planning)

   ___ UMTA Section 6 (Demonstration/Special Projects)

   ___ State of Ohio Operating Assistance (General Public)

   ___ State of Ohio Elderly and Handicapped Transit Fare Assistance (OEHTFA)

   ___ State of Ohio Capital Assistance (General Public)

5. Check each of the items below which most closely characterizes the transportation services provided or used by your agency.

___ Elderly (program clients only)

___ Elderly (general public)

___ Disabled (program clients only)

___ Disabled (general public)

___ Pre-School (Head Start, Daycare)

___ Low Income

___ School Pupil

___ General public (no age, income or other eligibility requirements)

___ Other Special Population Group (Please specify here ____________________)

6. Is your agency interested in applying for grant funds which you do not currently receive and for which your agency may be eligible?

(Check One) ___ Yes ___ No

7. If your agency provides transportation, or purchases transportation, and you have program eligibility requirements, please list all of those requirements here.

____

____

____

____

____

8. If you have any comments or concerns regarding a program to coordinate the grant application process, please use this space to explain.

____

____

____

STEP 5: DEVELOPING JOINT PURCHASING ARRANGEMENTS

WHO SHOULD READ THIS STEP?

If you want to establish a joint purchasing program you will need to read and complete this Step.

IS THERE ANY OTHER ORGANIZATION IN YOUR AREA OR STATE COORDINATING BULK PURCHASES?

Many communities already have joint purchasing arrangements set up. Before you begin to set up a new structure, find out if there is one already in existence. If so, find out if your coordination program can participate. If you learn that there is a program and your coordination program is eligible to participate, explore how the program works and decide if it will meet your needs. Remember that coordination is an effort to minimize duplication. If a program exists that will meet your needs and help you reach your goal, then work through the established joint purchasing program.

If, however, there is no program or you are not eligible to participate in an existing program, you will need to complete this Step. It may also be true that there is a program and your coordinated system is eligible, but the program will not meet <u>all</u> of your needs. In this case you may want to develop your own program for certain items and use the existing program for meeting some of your other purchasing needs.

IDENTIFYING COMMON PURCHASES

Items needed by transportation providers fall into two categories: Goods or services. <u>Goods</u> include consumable products such as office supplies, fuel, tires, industrial supplies and small and large capital purchases. <u>Services</u> can be such items as purchase of service contracts (vehicle operations), management services, insurance, contract maintenance, auditing, legal, consulting, and driver uniform service.

First you will need to find out what goods and services all participants need. This can be done using the letter and form provided at the end of this Step. Adapt the letter and form to meet your needs. Once you have received responses from all participants, organize your list so that for each product or service on the list, those participants needing specific items can be clearly identified.

Once your list is organized, see what goods and services are needed by at least two of the participants. Then look at the total dollar amounts those participants spend each year on each good or service.

You will need to decide at this point whether or not the number of participants needing a particular item and the total dollar volume of that item is sufficient to set up a joint purchasing arrangement. For example, if two participants each plan on buying one filing cabinet, it is unlikely that any savings would be obtained through joint purchasing. If however, among all participants 15 or so cabinets will be purchased, the Coordinator will be in a position to negotiate price.

ESTABLISH STANDARDS FOR EACH PRODUCT OR SERVICE

For some items, such as purchase of service arrangements with public or private providers, tires, office equipment, and diesel fuel, quality standards will need to be established. Through direct discussion with each participant, develop a standard basic specification for each item on your procurement list. Get an agreement from all participants that the standard developed is satisfactory and that it will meet their need.

DETERMINE TYPE OF PROCUREMENT NEEDED

There are two ways procurements can be made. The first is the out-right purchase of the items needed. The purchase of 100 tires is an example. In this case arrangements are usually made at the time of order for pickup and delivery. In some cases vendors are willing to store items until they are needed.

The second method is to negotiate a contract based upon the expected purchase quantity during a twelve month period. A good example would be the negotiation of a contract with a local gasoline station to purchase gasoline at a set price per gallon. In gasoline procurements it is common for several prices to be negotiated based upon a range of gallons to be purchased. It is also common for an escalator clause to be built into the agreement which ties the quoted contract rate to percent increases or decreases in the consumer price index. When items are purchased on this basis, as participants need the product they arrange for pickup directly at the point of supply.

For each item on your list, define the type of purchase procedure that will be used.

DEVELOP PROCUREMENT PROCEDURES

It is important to develop a set of procedures for putting into effect and managing a joint purchase program. Each area where a specific procedure needs to be developed is addressed in this section.

Timing

To be cost effective in using your staff wisely, it is extremely important to establish set time frames for each purchase. It would not be efficient for example, to purchase tires a dozen times a year. For this reason, decide how many times a year each item on your list will be purchased. In the case of out-right purchases, set dates. Note that participants may need to continue making purchases on their own until your program has gone a full 12 month cycle. Since participants may not be able to adjust to your schedule in the first year.

Notification

A notification process will need to be developed. This process will provide set guidelines which will be important in managing the joint purchasing arrangement. For example, arrange to notify all participants of the purchase schedule as soon as it is developed. Then, notify all participants one month before a purchase is scheduled. Provide each participant with the order forms, which you will develop later in this Step. Set cut-off dates for the receipt of all orders. Regardless of what type of notification process you develop, be sure that all participants understand the procedures.

Competitive Bid Versus Competitive Negotiation

Establishing this procedural policy will be impacted by

- Local and state bidding requirements and
- Volumes (and therefore cost) of the goods or services to be purchased.

Set up procurement procedures for both. From your list decide which items would require competitive bidding and which can be competitively negotiated. For competitive negotiations determine how many quotes are required. Also decide whether you want written price quotations or if telephone quotes are acceptable.

In all cases, be certain that you are receiving bids or quotes for comparable services or products! This is important whether you are purchasing tires, filing cabinets or purchasing service through a service contract with either another public body or from a private for-profit company.

Disadvantaged Business Enterprise Policy

Because some of the participants in your program may be subject to the Disadvantaged Business Enterprise (DBE) regulations established by the Urban Mass Transportation Administration, you may need to develop a DBE Policy. Obtain examples from those participants for which this requirement applies and design a policy consistent with federal requirements.

If you have any funding source that requires efforts to purchase goods or services from minority or disadvantaged firms, check with the Ohio Department of Transportation staff for guidance.

Requisition and Payment Procedures

You will need to develop standard operating procedures for your purchase program. This will involve written guidelines as well as forms. Each item you need to develop is briefly described below.

Award Criteria:

- On what basis will an award be made? Will lowest price prevail or will price and quality be taken into consideration? Remember that the lowest bid is not always the best bid. Also remember that for professional services, it is not necessary to take the lowest bid.
- Who will be authorized to execute the purchase? Will the approval of your governing board be required? Will the approval of the participants' governing boards be required?
- Who will be responsible for the payment to the selected vendor? Will the lead agency make payment and seek reimbursement from participants? Or will the participants be required to provide payment to the Coordinator in advance of delivery?

Commitment from Participants:

- Prior to ordering supplies, equipment or services it is wise to have a written commitment from each recipient participant. A form similar to the "Joint Purchasing Order Form" included at the end of this Step will work for most situations.
- In consideration of cash flow requirements a policy must be developed stating when payments are due from the participants. Will full or partial payments

be due at the time of order placement? Will payments be due with delivery? What penalties will be applied for late payments from participants?

Supplier Purchase Order:

- Using the "Joint Purchasing Order Forms" received from all participants, a procedure should be established for authorizing and making the purchase. Purchase order forms are available at office and equipment supply stores. Be sure to use numbered forms. Policies concerning who will sign the form should be developed by the Coordinator.

Participant Invoice:

- You will need to set up procedures for invoicing participants. A standard invoicing form similar to the one provided at the end of this Step will work. In establishing a policy for invoicing participants, the following questions should be addressed. What documentation will you attach to the invoice? Will a copy of the "Joint Purchasing Order Form" be attached? Will a copy of the supplier's total invoice be attached?

Supplier Invoice:

- Will the supplier of the goods or services be required to itemize the purchase by participant? If so you will need to develop a process for easily doing this. For example, you may want to complete a separate supplier purchase order for each participant. In this case each order can be tracked by number.

CHECKLIST

- ☐ Have you checked to see if there is any organization in your area already coordinating purchases?
- ☐ Have you decided that you need to set up your own joint purchasing program, even if there is another organization currently coordinating joint purchases?
- ☐ Have you identified common joint purchase opportunities through surveying participants?
- ☐ Have you worked with participants to set minimum quality standards for all goods and services?
- ☐ Have you determined the type of procurement for each product or service?
- ☐ Have you developed procurement procedures for each area discussed in this Step?

If you have answered "yes" to all of the questions in this Checklist you are ready to implement joint purchasing arrangements.

STEP 5: DEVELOPING JOINT PURCHASING ARRANGEMENTS

Supplementary Materials

- LETTER AND FORM FOR IDENTIFYING GOODS AND SERVICES NEEDED BY PARTICIPANTS
- JOINT PURCHASING ORDER FORM

Dear ___________________:

As the coordinator of transportation services in ___________________ (name of county, city or region) ___________________________ (name of the coordinator agency) is working on the implementation of a joint purchasing program. Based upon information previously provided by you, we understand that you would be interested in participating in the joint purchasing program. In order to determine which goods or services you need and which you may be interested in securing through this program, we need your assistance.

Attached to this letter is a list of goods and services which we believe may be purchased through a coordinated program. Please check those items that you use and would be interested in purchasing through a joint program. If there are other items which are not on the list, please add them. Beside each item checked on the list, provide an estimate as to how much you expect to be spending per year on that item. This information will be used to help us decide which items will be included in the program.

Please forward your completed list to us by ___________________ (date when you would like the forms returned). Your timely response will enable us to keep on schedule in setting up this new program. Once we have recorded all responses we will notify you of what goods and services we will be purchasing and we will provide you with instructions on how to place your orders.

If you have any questions about the planned program or the questionnaire, please call ________________________ (name of person to be called) at ________________ (telephone number of person to be called).

Thank you very much for your help.

Very truly yours,

___________________, ___________________
(Name) (Title)

__________________________ **(Name of coordinator)**

CHECKLIST OF GOODS AND SERVICES NEEDED

Instructions: Please review the list on the following pages. Place a check mark on the line to the left of those items or services which you purchase to support your organization's transportation program. For each item checked, please provide an estimate on the line to the right, in dollars, as to how much you spend in a year on that item or service. Be sure to fill in the name of your organization and the other information requested on this form. Mail your completed checklist to us by ___________ (date forms are to be returned) at the following address:

(Coordinator's name and address goes here)

Agency or Organization: ____

Name of Person Completing This Checklist: ____

Telephone Number: ____

GOODS

ITEM	AMOUNT SPENT PER YEAR
Office Products	
____ Office supplies (pens, pencils, legal pads, computer paper, etc.)	$________
____ Office equipment (storage and filing cabinets, calculators)	$________
____ Copy machine supplies (toner, paper, etc.)	$________
____ Computer printer supplies	$________
____ Other (______________________________)	$________
____ Other (______________________________)	$________
____ Other (______________________________)	$________
Maintenance and Vehicle Operating Supplies	
____ Minor shop tools	$________
____ Motor oil	$________
____ Windshield washer fluid	$________
____ Transmission oil	$________
____ Brake fluid	$________
____ Vehicle interior/exterior cleaners/supplies	$________
____ Antifreeze	$________
____ Freon	$________
____ Gasoline	$________
____ Diesel Fuel	$________
____ Tires and tubes	$________

____ Batteries $________
____ Other lubricants $________
____ Driver/mechanic uniforms $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________

SERVICES

Operations Related

____ Purchase of Service (miles, hours, trips, etc.) $________
____ Minor maintenance $________
____ Major maintenance $________
____ Vehicle cleaning $________
____ Janitorial/custodial (Interior and exterior) $________
____ Insurance $________
____ Fire extinguishers $________
____ First aid kits $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________

Major Capital Equipment

____ Station wagons and cars $________
____ Mini-vans $________
____ 12-15 passenger vans $________
____ Van conversions $________
____ Small buses (18-16 passenger cut-aways) $________
____ Medium Duty 25-30 passenger transit buses $________
____ School buses $________
____ Heavy duty transit buses (30', 35', and 40') $________
____ Mobile radio communications $________
____ Fareboxes $________
____ Bus stop signs $________
____ Passenger shelters $________
____ Major shop tools (air compressors, tire changers, hoists, etc.) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________
____ Other (________________________________) $________

____ Other (____) $________
____ Other (____) $________
____ Other (____) $________
____ Other (____) $________

Professional Services

____ Legal Representation $________
____ Audit/Accounting $________
____ Marketing $________
____ Consulting $________
____ Computer Services $________
____ Other (____) $________
____ Other (____) $________
____ Other (____) $________
____ Other (____) $________

Other Goods or Services

____ Other (____) $________
____ Other (____) $________
____ Other (____) $________
____ Other (____) $________

JOINT PURCHASING ORDER FORM

DATE: ______________________

RECEIVING AGENCY: ______________________

ADDRESS: ______________________

____

____

TELEPHONE: ______________________

Description of Goods or Services	Quantity	Cost/Each	Total Cost

By my signature below, I authorize ____________________ (name of coordinating agency) to complete all transactions and to purchase on our behalf, the goods or services listed above.

Signed: ______________________

Title: ______________________

Date: ______________________

STEP 6: DEVELOPING VEHICLE SHARING POLICIES

WHO SHOULD READ THIS STEP?

If you have decided to coordinate vehicle sharing you will need to complete this Step. Because setting up a program to coordinate vehicle sharing is more complex than the activities addressed in Step 3 of this Chapter, a separate step has been developed for this activity.

ADOPT UNIFORM RISK MANAGEMENT AND PREVENTIVE MAINTENANCE STANDARDS

In order for one participant to share another participant's vehicle, it is necessary for both to agree upon risk management practices as well as upon how the vehicle is to be cared for. Start by deciding upon the insurance requirements. Each participant will need to agree on the limits of liability that will be provided.

It is also essential for you to conduct an investigation of the market place. Changes occur in the insurance market from time to time. It is therefore important that you do some homework on the insurance industry before proceeding towards initiating a vehicle sharing joint use arrangement.

It will also be necessary to decide how insurance coverage and payments will be handled. Remember, it is not your intent to incur duplicating insurance. Explore arrangements to share the insurance costs among the vehicle's users without duplicating coverage. Remember, each participant will need to have coverage when the vehicle is being used by their staff.

Once the insurance requirements are agreed upon, the following standards need to also be agreed upon:

- Driver qualifications;
- Driver training and special certifications;
- Emergency procedures;
- Accident reporting and investigation;
- Driver pre-trip vehicle inspections and reporting format;
- Driver post-trip vehicle inspection and reporting format;
- Mechanical failure/deficiency report;
- Preventive maintenance requirements and;
- Vehicle log.

It will also be necessary to decide who is responsible for vehicle maintenance and upkeep, how fuel is to be purchased, where the vehicle is to be stored, and other details concerning vehicle care.

TEMPORARY LOANS OR ONGOING VEHICLE SHARING?

Vehicle sharing arrangements can be developed in two ways. These are on a temporary or "as-needed" basis and ongoing. Your program may contain elements of both. Based upon your understanding of your area, decide if you will coordinate one or both of these possible arrangements. Then follow the guidance provided for the sharing arrangements you want to implement.

Developing a Temporary Vehicle Loan Program

Vehicles can be shared on a temporary basis. This may be for special events, because a vehicle is out for repair, or for meeting temporary capacity shortfalls. If you have decided to implement a joint use arrangement for sharing vehicles on a temporary basis, you will need to complete each of the work activities outlined below.

Identify Vehicles: Contact each participant. Ask each to provide you with information on all vehicles that are available for use by others. You will want to collect the following information for each vehicle:

- Year and make;
- Seating capacity;
- Accessibility and number of wheelchair stations;
- Other special features (e.g. mobile radio system, farebox, etc.);
- Days of the week vehicle is available;
- Times each day vehicle is available; and
- Any applicable restrictions on use.

Reservation Procedures: Work with participants to develop a reservation procedure and policy. Through your policy, answer the following questions:

- How many days in advance does the vehicle need to be reserved?
- Will reservations be taken on a first-come, first-served basis or will a priority use policy be established?
- Will participants contact the vehicle owner directly or will all reservations go through a Coordinator?

Cost Structure: Each participant may have a preferred method of charging for the use of their vehicle. To the extent possible, the cost structure should be uniform for all participants. For example, leasing on a per vehicle mile basis is a reasonably easy method to monitor. In some cases it is a good idea to set a daily fee in addition to the mileage fee. This will help discourage a participant from tying up a vehicle when it is going to be used very little.

Minimum Care Standards: Procedures for vehicle care must be developed. Be sure that all participants understand their responsibilities. For example, who will clean the vehicle upon return to the owner? Will the user be required to replenish the fuel tank upon return? Also, the user should be required to complete standardized pre- and post-trip vehicle inspections. The user will need to complete the vehicle log during the time the vehicle is in their possession. A written policy concerning how often the user must check the oil (e.g. every other fill-up) should also be decided upon. An example of minimum vehicle care standards is provided in the Supplementary Materials at the end of this Step.

Standard Agreement: Once the reservation policy, the cost structure and minimum care standards are set, it will be possible to develop a standard lease agreement. The agreement should clarify all loan procedures and policies, the rates that will be charged by the owner, when payments are due, and other rights and responsibilities of all parties to the agreement.

Developing an On-Going Vehicle Loan Program

Vehicles can be shared on an on-going basis. This differs from a temporary arrangement in that participants agree to share the use of vehicles according to a pre-established use schedule. These joint use arrangements can be set up at the time a grant application is submitted or at any other time. If you are interested in developing an on-going vehicle loan (or shared use) program you will need to complete each of the work activities below.

Identify Vehicles: Contact each participant. Ask each to provide you with information on all vehicles that are available for use by others. You will want to collect the following information for each available vehicle:

- Year and make;
- Seating capacity;
- Accessibility and number of wheelchair stations;
- Other special features (e.g. mobile radio system, farebox, etc.)
- Days of the week vehicle is available;
- Times each day vehicle is available; and
- Any applicable restrictions on use.

Identify Vehicle Sharing Opportunities Between Participants

Next, determine when each participant will need a vehicle. Following this Step, a "Vehicle Needs Form" is provided to help you complete this task. Send the form to each participant. Request each to specify on the form when they need a vehicle. Be sure to ask each participant to state any special requirements needed in the vehicle. For example, is a wheelchair boarding device needed? Agencies also need to indicate how many passengers they intend to transport.

When the form is completed and returned, you will quickly see the times of the day, and the days of the week that each participant is in need of a vehicle. You will also know the location beginning and ending point of all needed service routes. Compare each participant's need with when vehicles are available. From this information you will be able to match participants and vehicles into compatible groupings. For example, a pre-school program may need a vehicle in the early morning and mid-afternoon. Another participant, such as a senior citizen organization, may have a vehicle that is only being used during the mid-day for a nutrition program.

Appoint a Caretaker

One of the participants will need to serve as the Caretaker of the vehicle. This Caretaker may not necessarily be the owner. It may be the Coordinator or company. For example, a vehicle may be titled to a county. The Caretaker may, however, be a local community action agency. Someone will need to be responsible for ongoing vehicle care. This responsibility will include making payments for operating expenses, allocating those costs among the users, and ensuring that the vehicle receives proper preventive maintenance. Examples of other issues you will need to address include the following: Where will the vehicle be stationed; will each participant provide its own driver or will the driver be hired by the Caretaker agency?

Develop Vehicle Logs/Records

Vehicle control forms will also be necessary. The vehicle log provides information on the miles and hours of use as well as on the number of riders and the user. The log generates information that can be used to develop user invoices at the end of each billing cycle. These logs can also serve as documentation for the different funding agencies. An example of a vehicle log is provided at the end of this Step.

Other vehicle forms should also be used. For example, a driver pre-trip vehicle inspection form should be developed. Each driver of the vehicle must be responsible for going over the vehicle prior to each trip. If two different drivers use the vehicle on any given day, both operators must complete a pre-trip inspection form. This process helps to ensure that the vehicle is safe. An example of a pre-trip vehicle inspection form is provided at the end of this Step.

A vehicle deficiency report form (or mechanical failure report) should also be used. This form is to be used in the event that a problem or failure occurs with the vehicle. This form should accompany the vehicle to the point of maintenance. An example of a vehicle deficiency report form is provided at the end of this Step.

A fuel form should be developed. An example is provided at the end of this Step. If each agency is going to provide their own drivers, you will need to develop a refueling policy. The caretaker agency would likely not want to provide a credit card for fuel with the vehicle. Each participant would therefore need to supply its driver with a credit card or some other method of securing fuel for the vehicle. An alternative would be for the caretaker to make arrangements with a local filling station for fuel. If participants are required to supply their own fuel or oil then a process to account for this expense must be incorporated into the billing process. For example, a policy that requires all users to replenish the fuel and check the oil at the end of each use period could be used. Or, if a participant puts fuel into a vehicle the cost could be deducted from their use bill as long as sufficient documentation is provided by the user.

Other control forms will also be needed. Examples of different control forms which you may need are provided at the end of this Step.

Develop Cost Sharing Arrangements

A method to share vehicle costs is necessary. These costs will either be "fixed," such as insurance, or "variable," such as fuel. A unit rate must be developed. Vehicle miles is a good method on which to base the cost sharing arrangement. Vehicle hours can also be used.

The most common method of billing is based upon vehicle miles. Mileage is easy to compile from the vehicle log. The log will provide information on the number of miles the vehicle was driven by each of the participants. The cost of operating the vehicle for a month is then divided by the number of vehicle miles traveled. In calculating the cost per mile it is important to take into consideration the non-productive vehicle miles. These would include miles consumed in traveling too and from a maintenance facility. If this mileage is used in the computation of the per mile cost of vehicle operation, then the non-productive miles consumed in any billing period must be allocated among the users. If, however, the per mile unit rate is calculated based solely upon productive miles, this task will not be necessary.

Assuming that the Caretaker is also paying all of the bills, this Caretaker will need to assign a portion of those costs to the users. Note that the caretaker agency may need to build into those costs an administrative charge. This charge would be to reimburse the Caretaker for costs incurred as Caretaker. Examples of possible Caretaker costs include bookkeeping and time spent scheduling vehicles. Naturally, other costs, such as tires, maintenance, vehicle cleaning, etc. also need to be included in the unit cost.

It may be desirable for the Caretaker to build into the per mile charge, an amount of money that can be used for major repairs. By setting up an account for paying for major repairs, the per mile cost to the users will be more stable than if these charges are billed to the users as they occur. This is also true for making insurance payments, which may only come due two or four times a year.

Depending upon the source of funds used to purchase the vehicle, you may also want to consider the creation of a "user fee." This fee would be used for capital replacement at some future date. User fees are calculated based upon the likely replacement cost and the likely replacement vehicle mileage. For example, you just purchased a vehicle for $25,000. You expect that it will need to be replaced in five years. At 5% inflation per year, the replacement vehicle cost after five years is calculated as follows:

Year 1	$25,000 x 1.05 = $26,250
Year 2	$26,250 x 1.05 = $27,563
Year 3	$27,563 x 1.05 = $28,941
Year 4	$28,941 x 1.05 = $30,388
Year 5	$30,388 x 1.05 = $31,907

Assuming that the vehicle will have 100,000 miles on the odometer at the end of the five years and that the trade-in (or re-sale) value will be $3,000, the per mile user fee would be ($31,907 - $3,000) ÷ 100,000 miles or $ .289 per mile.

In getting started, it may be necessary to base the initial charge per mile upon estimates. In the first month of the joint use arrangement the Caretaker can bill each user, at the end of the month, the estimated per mile rate. Once the actual bills are received for the month, the true rate can then be calculated. In subsequent months an adjustment can then be made to reflect the difference between the estimated and actual operating expenses.

Don't forget to build into your accounting and billing process, a method to credit a user for any expenses an agency might pay directly while the vehicle was in its possession. Included would be such items as any fuel that a user may have purchased directly, replacing windshield wipers, emergency road repairs and other out-of-pocket expenses.

<u>Secure Vehicle Sharing Contracts</u>

The next task will be to establish an agreement between the Caretaker and each participant. Since participants will be paying the Caretaker for use of the vehicle, a formal agreement should be developed. The agreement should contain sufficient information so that all parties understand their responsibilities. Naturally, the agreement should specify how charges will be developed, when billing and payments are to occur, and how adjustments in the billing rate will be handled. Be sure to have the agreement reviewed by an attorney!

CHECKLIST

- ☐ Have you adopted uniform risk management and preventive maintenance standards?
- ☐ Have you decided who will be responsible for vehicle maintenance and upkeep?
- ☐ Have you decided where the vehicle will be stored?

<u>If you are planning on implementing a temporary loan program have you</u>

- ☐ Identified vehicles available for loan?
- ☐ Established a reservation process?
- ☐ Developed a cost structure?
- ☐ Set up minimum care standards?
- ☐ Executed a standard agreement?

<u>If you are planning on implementing an on-going vehicle loan program have you</u>

- ☐ Identified vehicles available for loan?
- ☐ Identified vehicle sharing opportunities?
- ☐ Appointed a Caretaker?
- ☐ Developed joint use vehicle logs and other record keeping report forms?
- ☐ Decided upon a cost sharing structure?
- ☐ Secured a vehicle sharing contract with all users?

If you have answered "yes" to all of the questions in this Checklist you are ready to implement vehicle sharing.

STEP 6: DEVELOPING VEHICLE SHARING POLICIES

Supplementary Materials

- MINIMUM VEHICLE CARE STANDARDS
- VEHICLE NEEDS FORM
- VEHICLE LOG
- DAILY VEHICLE/PASSENGER MANIFEST
- DRIVER'S DAILY VEHICLE REPORT
- MECHANICAL FAILURE OR DEFICIENCY REPORT
- ROAD CALL FORM
- FUEL FORM
- VEHICLE REPAIR ORDER
- TIRE REPLACEMENT
- BUS DAMAGE REPORT

MINIMUM VEHICLE CARE STANDARDS

All participants of the Midlands City Vehicle Sharing Program shall abide by these minimum vehicle care standards.

1. Requests for vehicles must be received at least 24 hours in advance. Requests will be taken up to 14 days in advance.

2. Requests must include the desired time of picking up the vehicle, size of vehicle needed, number of wheelchair stations needed, length of time vehicle will be needed, purpose, and time vehicle will be returned.

3. Vehicles that have been scheduled in accordance with item 2 herein, may be picked up from the Coordinator between 6:00 P.M. and 7:00 P.M. on the day before the vehicle is needed or between 5:00 A.M. and 6:00 A.M. on the day the vehicle is needed.
4. Vehicle return times shall be arranged at the time of scheduling.

5. Arrangements for alternative pickup/return times must be made at the time of vehicle request.

6. All drivers must be registered with and approved by the Coordinator and each must have the following:

   a. Commercial Drivers License

   b. Eight hours of training by Coordinator personnel including passenger assistance techniques, defensive driving, use of vehicle special equipment, vehicle care, completion of reports, training in the use of the two-way communication system and accident procedures. Drivers must pass a certification testing program of the Coordinator. This shall include an over-the-road test. (Note: Periodic driver training workshops will be provided by the Coordinator.)

7. User agency drivers shall complete the Vehicle Preparation Form provided

   a. At the time of picking up the vehicle;

   b. In the case of use of the vehicle over multiple days, a new Vehicle Preparation Form shall be completed on each new day;

   c. In the event that two or more drivers are using the vehicle during the time the user has scheduled the vehicle, each driver must complete a Vehicle Preparation Form <u>each</u> time they take control of the vehicle from the other driver.

8. Vehicles shall be filled with fuel upon return to Coordinator. User must provide its driver with an appropriate refueling charge mechanism. Refueling costs, add oil, etc. is the responsibility of the user.

9. Oil shall be checked at each refueling. This shall be the responsibility of the user.

10. The vehicle log, fuel form, and passenger forms provided with each vehicle shall be completed by the driver for each day vehicle is used.

11. Normally, vehicle cleaning shall be the responsibility of the Coordinator. However, unusual circumstances may require the vehicle to be cleaned by the user prior to its return. Examples include the following:

    - Illness of one of the user's passengers resulting in the passenger becoming sick in the vehicle.

    - Use of vehicle on muddy back roads which results in the vehicle being too dirty to use in service.

    - Other interior gross uncleanliness such as muddy floors.

12. All drivers shall immediately report any noticed vehicle malfunction to the Coordinator. This shall be done at the time the defect is first noticed. The onboard two-way radio or telephone may be used for this purpose. In the event that any noticed defect, in the opinion of the Coordinator's maintenance personnel, the vehicle shall not be operated. The Coordinator will arrange for providing a backup unit (when a backup unit is available) and the Coordinator shall be responsible for getting the vehicle from the user. Users shall not operate a vehicle with a maintenance problems if so advised by the Coordinator's maintenance personnel.

13. In the event of an accident, the Coordinator shall be immediately notified. In cases involving minor damage only to the user's vehicle (i.e. backing into a telephone pole) user may be authorized to continue driving the vehicle. In the event of property damage to other vehicles or other personal property, or passenger injury, driver shall cooperate with police officials. Drivers shall follow the procedures as instructed in the training program of the Coordinator.

VEHICLE NEEDS FORM - PAGE 1

INSTRUCTIONS: Please show when you need a vehicle by filling in the time chart below. Be sure to complete all of the requested information. Use one line for each vehicle that you need. Return your response to us no later than ________________ (date responses are due back). Thank you very much for your assistance in helping us establish a vehicle sharing program.

Name of Agency Completing Form: ______________________________

Name of Individual Completing Form: ______________________________

Telephone: ______________________________

								PLEASE USE A SOLID LINE TO SHOW THE TIME OR TIMES DURING THE DAY OR NIGHT THAT YOU NEED A VEHICLE																			
NUMBER OF VEHICLES NEEDED	CIRCLE THE DAY OR DAYS OF THE WEEK WHEN YOU NEED A VEHICLE OR VEHICLES							BETWEEN 10:00 PM TO 5:00 AM (RESIDENTIAL GROUP HOME)	5:00 AM	6:00 AM	7:00 AM	8:00 AM	9:00 AM	10:00 AM	11:00 AM	12:00 NOON	1:00 PM	2:00 PM	3:00 PM	4:00 PM	5:00 PM	6:00 PM	7:00 PM	8:00 PM	9:00 PM	10:00 PM	VEHICLE WOULD BEGIN SERVICE AT (List city, town, area of trip origin)	VEHICLE WOULD END SERVICE AT (List city, town area of trip destination)
1ST VEHICLE	M	T	W	TH	F	SAT	SUN																					
2ND VEHICLE	M	T	W	TH	F	SAT	SUN																					
3RD VEHICLE	M	T	W	TH	F	SAT	SUN																					
4TH VEHICLE	M	T	W	TH	F	SAT	SUN																					
5TH VEHICLE	M	T	W	TH	F	SAT	SUN																					
6TH VEHICLE	M	T	W	TH	F	SAT	SUN																					
7TH VEHICLE	M	T	W	TH	F	SAT	SUN																					
8TH VEHICLE	M	T	W	TH	F	SAT	SUN																					
9TH VEHICLE	M	T	W	TH	F	SAT	SUN																					
10TH VEHICLE	M	T	W	TH	F	SAT	SUN																					

VEHICLE NEEDS FORM - PAGE 2

INSTRUCTIONS: **For each vehicle you need and listed on Page 1 of t his form, provide additional information requested below.**

VEHICLE (By the number shown on Page 1 of this form)	NUMBER OF PASSENGER SEATS	WHEELCHAIR ACCOMMODATIONS (YES OR NO & NUMBER)	OTHER SPECIAL REQUIREMENTS
1ST VEHICLE			
2ND VEHICLE			
3RD VEHICLE			
4TH VEHICLE			
5TH VEHICLE			
6TH VEHICLE			
7TH VEHICLE			
8TH VEHICLE			
9TH VEHICLE			
10TH VEHICLE			

VEHICLE LOG

DO NOT REMOVE FROM VEHICLE

MONTH/YEAR: ____________ VEHICLE ID #: ____________

DATE	AGENCY USER	DRIVER'S NAME	TOTAL ONE-WAY TRIPS	TIME OUT	MILEAGE OUT	TIME IN	MILEAGE IN	TOTAL HOURS/ MINUTES	TOTAL MILES

DAILY VEHICLE / PASSENGER MANIFEST

Page ___ of ___

Vehicle I.D. #: __________
Date: ______________
Driver: ____________________

PICKUP ORDER	PATRON NAME	PICKUP TIME	PICKUP ADDRESS	DESTINATION	MILEAGE ON	MILEAGE OFF	TOTAL MILES	FARE CHARGE	FARE COLLECTED	RIDER'S SIGNATURE

DRIVER'S DAILY VEHICLE REPORT

Vehicle # ______________________________ Date ______________________________

CHECK OUT: Time ______________________________ **Odometer Out** ____________________

	OK		OK		OK
Oil		Radio		Brakes	
Gas		Wipers		Instruments/Gauges	
Water		Signal/Lights		Safety Equipment	
Horn		Tires		Mirrors	

Notes: ____

____

CHECK IN: Time ______________________________ **Odometer Out** ____________________

(Check problems only and give details under notes)

Brakes		Heater		Engine Operation			
Steering		Air conditioning/Fan		Windshield Wipers			
Horn		Windows/Doors		Oil/Gas/Water Leaks			
Transmission		Starter		Hoses/Springs			
Clutch		Seats		Oil Pressure			
Radio		Muffler		Tires			
Lights		Speedometer		LF		RF	
Lift		Turn Signals		LRI		RRI	
				LRO		RRO	

Notes: ____

____

SERVICE PERFORMED OR CHECKED

Oil Level		Tire Pressure		Windshield Wipers	
Transmission Fluid		Radiator Water		Fan/Alternator Belts	
Washed Exterior		Cleaned Interior		Scheduled Preventive Maint.	

Fuel Added: ____________ gallons Oil Added: ____________________ quarts

Driver's Signature ______________________________

Mechanical Failure or Deficiency Report

Bus Number: ____________________

Date: __________________________

Time: __________________________

Reported By: ___________________

Nature of Failure/Deficiency
(Describe in detail and be very specific)

____

____

____

____

____

____

____

____

MECHANIC'S CORRECTIVE ACTION

Date: __________________________

Time: __________________________

Deficiency Corrected: ☐ Yes ☐ No (Check One)

Mechanic's Signature: ____________________________________

(Attach to Repair Order)

Road Call Form

(To be completed in addition to Vehicle Repair Order Form)

Bus Number ______________________________

Serial Number ___________________________

Year and Make ___________________________

Vehicle Repair Order Reference No. ___________________________

Mechanic ________________________________

(Check One)

☐ Mechanical Failure ☐ Flat Tire ☐ Other: (Specify) ____________________

Short Description ____

____

____

____

Mileage Out ____________
Mileage In ____________

Total Miles ____________

Vehicle Used
(Check One)

☐ Company

☐ Personal Auto
(Do request for
Reimbursement
Form)

Towing Required (itemize on repair form)

Towing Not Required

Mechanic's Signature ______________________________

(Attach to Vehicle Repair Order Form)

Fuel Record for Bus
(To Stay on Bus)

Bus No. ___________ Month, Year ___________

(Please Attach Gas Slips, if Available)

Date	Mileage	Amount of Gallons	Date	Mileage	Amount of Gallons
	TOTAL			TOTAL	

VEHICLE REPAIR ORDER NO.__________

(Complete in Duplicate)

(Please Check One)

☐ Preventative Maintenance

☐ Straight Time

☐ Repair

☐ Inventory Time

DATE:	SERIAL NUMBER:	BUS NUMBER:	MAKE:	MILEAGE:

JOB DESCRIPTION: (DETAILED DESCRIPTION)	LABOR HOURS

Qty.	Part Number	Description	Cost Each	Cost Total	Sub. Repairs (1)		Total Hrs. Labor	Hrs.
					Description	Cost		
							Parts	$
							Lubricants	$
							Sub.Repairs	$
							Other	$
								Mech. Sign.
			TOTAL		TOTAL			

IF FOLLOW-UP TO MECHANICAL FAILURE REPORT, ATTACH REPORT HERETO
(1) ATTACH COPY OF SUBLET BILL HERETO

Tire Replacement

(Note: Use one form for multiple changes if reason for change is the same)

Bus No. ____________________ Hours Labor __________

REMOVAL	**INSTALLATION**
Date: ____________________	Date: ____________________
Hubometer Reading __________	Hubometer Reading __________
Size ____________________	Size ____________________
Manufacturer ______________	Manufacturer ______________
Model ____________________	Model ____________________
Tread Reading _____________	Tread Reading _____________
	☐ New ☐ Used

LOCATION ON VEHICLE __________

St. Side

Rear

Front

Curb Side

REASONS FOR REPLACEMENT: (Check One)

☐ Worn Out

☐ Damaged

(Driver if known ____________________)

☐ Other: (Specify)

____

____

____

(Official Use Only)

Mechanic's Signature

____

Bus Damage Report

(Use only one form per incident. Attach additional paper if necessary.)

Bus Number ______________________________

Bus Make ________________________________

Date of Occurance ___________ Date of Discovery __________________

Hubometer Reading _________________________

Driver's Name ____

Location of Damage: (Draw descriptive picture as best you can)

CURB SIDE **UNDER CARRIAGE** **STREET SIDE**

FRONT **TIRES/RIMS** **REAR**

Damage Narrative: (Describe extent of damage)

____
____
____
____
____
____

Cause of Damage: (Describe conditions and reasons damage occurred)

____
____
____
____
____
____

Completed By: ____
(Name of person completing damage report)

STEP 7: DEVELOPING TRIP-SHARING ARRANGEMENTS

WHO SHOULD READ THIS STEP?

If you have decided to set up a joint use arrangement for trip-sharing you will need to read and complete this Step. Setting up a program to coordinate trip-sharing is more complex than the activities addressed in Step 3 of this Chapter. A separate step has therefore been developed for this activity.

IDENTIFY EXISTING SERVICE OPERATIONS

Survey all public, private and human service participants and determine where opportunities for trip-sharing exist. It is important to identify each route or run of each agency or company where seat space is available. It is also important to determine client compatibility. To accomplish this, provide all provider agencies with a map of your area. Using one map for each vehicle, ask each to show, on the map, each route or service area covered by each vehicle. Also, request an operating schedule for each vehicle and collect the following information:

- Day or days of the week that service is offered;

- Number of empty seats on the run;

- Restrictions on type of clients that can be transported on each run due to compatibility issues;

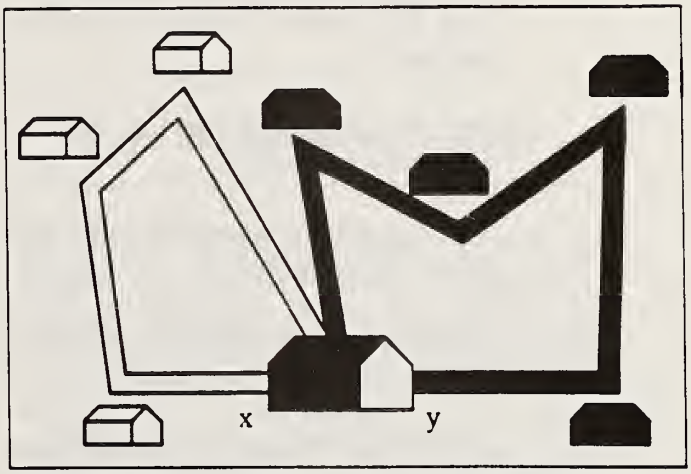
- Special equipment on the vehicle used for this service; and

- Proposed method of charging for trip-sharing arrangements.

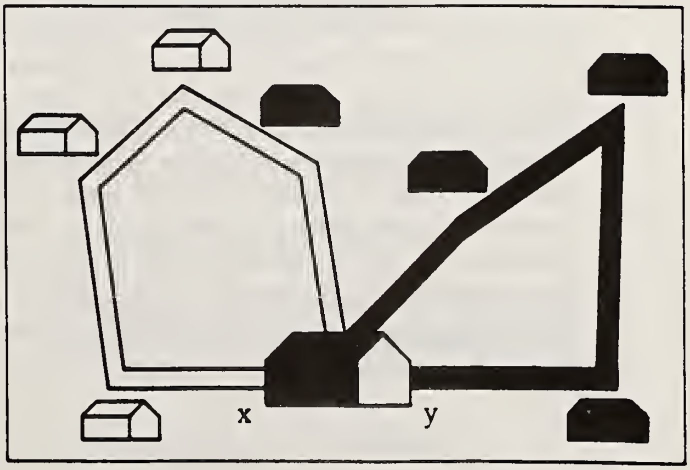
Be sure to instruct participants to put their names on each map, schedule and other information sent to you.

Once you have the completed maps and other information you will be in a position to begin to identify trip-sharing opportunities.

Vehicle Routes Before Trip-Sharing



Vehicle Routes After Trip-Sharing



IDENTIFY NEEDED RIDES

Just as it is important to determine where additional capacity exists, it is important to ask all participants what additional rides their membership need. Also send to each agency another map of the service area. Have them mark the location of their clients or membership that have unmet travel needs and draw a line to where each person needs to go. (Do not worry about connecting the origins and destinations via highways or roads. Simply draw a straight line between where the client or agency member lives and where they need to go).

For each person shown on the map, have participants provide the following additional information:

- Time the person needs to get to the destination;
- Time the person will need to leave the destination for home;
- Day or days of the week when the person needs transportation;
- Any special vehicle equipment considerations that the person needs; and
- Any other special needs or considerations.

MATCH AVAILABLE SEATS AND CLIENT NEEDS

To match available seats to needs, you will want to work with one need at a time. Review each patron's origin, destination, travel times and special considerations. Then look at the opportunities for trip-sharing maps sent in by each provider. Continue this process until you have <u>attempted</u> to match all of the needs with one of the available seats.

ALTERNATIVE

It is possible for trip-sharing arrangements to be developed with less participation by a Coordinator. In this alternative, you will still need to send to each participant the blank service area maps and have providers show their current vehicle assignments. Also collect the information listed under "Identify Existing Service Operations" in this Step. However, instead of having providers send to you the specific facts on their services, have each send the information directly to the other participants. Each participant can then review the current runs that have additional capacity and compare these to their needs. They can then contact the provider directly and make trip-sharing arrangements without your involvement.

WHAT ELSE CAN YOU LEARN BY COMPLETING THIS STEP?

As you work through this Step, be on the lookout for vehicle service duplications. In reviewing the vehicle runs, for example, you may find that two providers currently are operating similar services and each of the vehicles being used has additional capacity. It may be possible for you to consolidate these two runs into a single vehicle routing plan.

DEVELOP PASSENGER ACCOUNTING/SERVICE VERIFICATION PROCESS

Depending upon your level of involvement as the Coordinator, you may need to assist participants with the development of a passenger accounting system. You may also become involved in setting up a uniform record keeping system. Different agencies are required to collect and report certain information about the transportation services provided to their clients or membership. When two or more participants enter into trip-sharing arrangements, often different information needs to be collected for clients of different agencies. When you have determined which parties will be participating, ask each what information they need to report to their grantors. Then, design a data collection process that will collect the needed information.

You will also need to develop a rider verification process. If the services being coordinated are repetitive (subscription) a list of all riders can be generated for each vehicle and each run. The driver can simply check off names on the list each time the client rides. However, if the riders are sporadic, the vehicle manifest may need to have a space to list the person's name, address and agency sponsoring the ride for every trip provided.

DEVELOP COSTING MECHANISMS

As the Coordinator, you may need to develop a mechanism that providers can use to allocate service costs. Assuming that the operator knows the service costs, and assuming that a mechanism to account for riders is in place, how will costs be fairly divided? Several methods are worth considering. Each has been briefly described in this Step.

Per Trip

Assuming that the passengers all travel about the same distance, dividing the total operating costs by all one-way passenger trips is a simple and equitable method of sharing costs. For calculating each user's contribution, the number of trips taken by their clients are multiplied by the unit cost per trip. For example, assume that the cost of providing service for a given month is $4,200. Also assume that during the same month a total of 630 one-way passenger trips were provided. The cost per trip would therefore be $4,200 ÷ 630 one-way trips or $6.67 per one-way trip. Now assume that Agency A's clients account for 226 of those one-way trips. Agency A's share of the cost would be $6.67 x 226 or $1,507.42.

Per Passenger Mile

In cases where the length of each trip provided varies considerably, developing a cost allocation procedure on the basis of the passenger mile is more equitable. Collecting and compiling passenger mile information is, however, more labor intensive. The vehicle manifest must show the mileage when each passenger gets on and off the vehicle. The total passenger miles are then added up and the cost per passenger mile calculated. Each user is then charged the passenger mile rate times the number of passenger miles consumed by their clients or members during the billing period.

Origin to Destination Mileage

Still another method for allocating costs is to measure the distance between a passenger's origin and destination, via the most direct route. This is done for all passengers on all trips at the time the passenger is put onto a run. A "base miles per trip" is established for each rider. Assuming that all clients or agency members ride Monday through Friday, the monthly origin to destination mileage for all patrons is totaled. That total is then divided into the total monthly operating cost. Each user's cost is then calculated by multiplying the mileage rate by each client's base miles. While this system works well for subscription service, it does not work well and is not recommended when any of the following conditions are present:

- Frequent change in ridership;
- Inconsistent travel behavior exists (e.g. does not travel every day or frequently cancels); or
- Has more than one destination.

SECURE INTERAGENCY AGREEMENTS

Interagency agreements must be developed and signed by user and provider agencies. Interagency agreements will form the legal foundation for the trip-sharing arrangements and delivery of services. These agreements must also clearly define the method of accounting, billing and payment.

Be sure to state within the agreement the method that will be used by each participant to "authorize" the provision of service to one of its members or clients. Each provider should be provided authorization in writing that the passenger is to receive service. This is important so that disagreements do not arise as to whether or not a specific person was eligible to ride.

CHECKLIST

- ☐ Have you identified trip-sharing opportunities?
- ☐ Have you identified which participants need additional rides for their patrons/clients/membership?
- ☐ Have you, or has each participant, had the opportunity to match opportunities with needs?
- ☐ Have you identified reporting requirements and designed an information collection process?
- ☐ Have you decided which method will be used to share the operating costs?
- ☐ Have interagency agreements been developed, reviewed by an attorney and executed by all participants?

If you have answered "yes" to all of the questions in this Checklist you are ready to implement trip-sharing arrangements.

STEP 8: DEVELOP A START UP BUDGET

WHO SHOULD READ THIS STEP?

If you are planning on coordinating **any** of the items described in this "Level II - Joint Use Arrangements" Chapter 5 and you expect to incur costs, you **must** read and complete this Step.

THE BUDGET

A transportation budget consists of three major expense categories. These are:

- administrative/management expenses;
- operations expenses; and
- capital expenses.

In developing a coordination program you will need to consider each category. Be sure to include any start up costs that you may incur.

Administrative/Management Expenses

The budget will be highly dependent upon the level of activity by a Coordinator. If the Coordinator will be very active and involved with many activities, the budget will be larger than if the Coordinator plays only a minor role.

At the end of this Step a sample budget format has been provided. Review the format and make decisions as to which of the expense line items apply to your program. Also, decide if a portion of an existing employee's time will be used to get coordination going, or if you will need to hire a person whose primary responsibility will be the development of the coordination program. You will also need to decide whether the Coordinator will need additional staff help. Once the possible range of expense items have been reviewed, estimate expected expenses for each activity. This may involve allocating certain expenses between coordination activities and other non-coordination work.

Operating Expenses

For the most part, vehicle operating expenses are not incurred by the Coordinator in a joint use coordination program. In a vehicle sharing arrangement however, if a Caretaker is designated and that Caretaker assumes any operating costs, an operating budget will be needed.

At the end of this Step, a list of operating costs has been provided. Based upon your program, review the list and decide if you need an operating budget. If so, you will need to make estimates for each operating cost that you anticipate.

Capital Expenses

It is unlikely that the Coordinator will have vehicle capital expenses in a joint use coordination program. The Coordinator may have other capital expenses such as office equipment, computer hardware and software, and perhaps radio communications equipment. Based upon your planned coordination activities, make a list of what capital equipment you expect to need. You will then be able to call various suppliers of that equipment to determine how much each item on your list will cost. Using the estimates provided by the suppliers you will be able to complete your capital budget.

CHECKLIST

- ☐ Have you reviewed your administrative/ management expenses and estimated those costs?
- ☐ Have you determined whether or not you will need to budget money for operations?
- ☐ Have you assessed your capital needs and if so, have you obtained cost estimates?

If you can answer "yes" to each of the above questions your start-up budget is ready for finalization.

STEP 8: DEVELOP A START UP BUDGET

Supplementary Materials

- **EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES**

EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES

EXPENSE ITEM	TOTAL	ALLOCATED TO COORDINATION
I. WAGES, SALARIES & FRINGE BENEFITS		
A. Wages & Salaries		
1. Coordinator		
2. Administrative Assistant		
3. Bookkeeper		
4. Secretary		
5. Other		
Sub-Total Wages & Salaries		
B. Fringe Benefits		
1. Workmen's Compensation		
2. Unemployment Compensation		
3. Employee Insurances		
4. Health Plans		
5. Other		
Sub-Total Fringe Benefits		
TOTAL WAGES, SALARIES & FRINGE BENEFITS		
II. OFFICE SUPPLIES/SMALL EQUIPMENT		
A. Supplies		
B. Copying		
C. Facsimiles		
D. Minor Office Equipment		
E. Other		
TOTAL OFFICE SUPPLIES/SMALL EQUIPMENT		
III. UTILITIES		
A. Telephone		
B. Electric		
C. Heat		
D. Water		
E. Sewage		
F. Other		
TOTAL UTILITIES		
IV. INSURANCES		
A. General Liability		
B. Hired and Non-Owned Automobiles		
C. Property		
D. Other		
TOTAL INSURANCES		

EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES (CONTINUED)

EXPENSE ITEM	TOTAL	ALLOCATED TO COORDINATION
V. GENERAL SERVICES		
A. Custodial/Caretaking		
B. Data Processing		
C. Bookkeeping/Accounting		
D. Other		
TOTAL GENERAL SERVICES		
VI. PROFESSIONAL SERVICES		
A. Attorney Fees		
B. Accounting/Auditing		
C. Consulting		
D. Marketing		
E. Other		
TOTAL PROFESSIONAL SERVICES		
VII. MARKETING		
A. Advertising		
B. Promotional Materials (Brochures/Posters)		
C. Other		
TOTAL MARKETING		
VIII. DEPRECIATION		
A. Buildings and Grounds		
B. Capital Equipment		
C. Other		
TOTAL DEPRECIATION		
IX. TRAVEL		
A. Mileage Reimbursement		
B. Out-of-Area		
1. Air		
2. Hotel		
3. Rental Car		
4. Subsistence		
5. Other		
Sub-Total Out-of-Area		
D. Other		
TOTAL TRAVEL		
X. MISCELLANEOUS		
A. Conference Registrations		
B. Dues/Subscriptions		
C. Other		
TOTAL MISCELLANEOUS		
GRAND TOTAL ALL EXPENSES		

STEP 9: NOTIFY FUNDING AGENCIES

WHO SHOULD READ THIS STEP?

If you are planning on coordinating any of the items described in this "Level II - Joint Use Arrangements" Chapter 5, you will need to read and complete this step.

WHO SHOULD NOTIFY FUNDING AGENCIES?

Each participant that uses local, state or federal funding to pay for transportation should prepare a draft letter to their respective funding sources. (While the Coordinator may assist with the letter, it is important that each participant submit their letters under their own letterhead.) By writing this. letter each participant will have organized their ideas and they will be ready to discuss the coordination program directly with grantors.

HOW SHOULD FUNDING AGENCIES BE NOTIFIED?

Before sending your letters, each participant should first talk directly with their funding agency representative. This direct communication, either in person or over the telephone, will help to set the stage for a formal written notification. This also allows you the opportunity to revise your letter and address any of the initial concerns that grantors may have expressed in conversation with you.

WHAT SHOULD BE IN THE LETTER?

The following information and topics should be addressed within the letter.

- Purpose of the letter;
- Background on the joint use arrangements being developed;
- The name of the coordinating agency;
- A list of other participants;
- A listing of the joint use arrangement activities in which each participant is planning on participating;
- Benefits that each participant is looking forward to getting through participation;
- Any anticipated additional costs or budget reallocations; and
- Request that any concerns of the funding agency be brought to your attention.

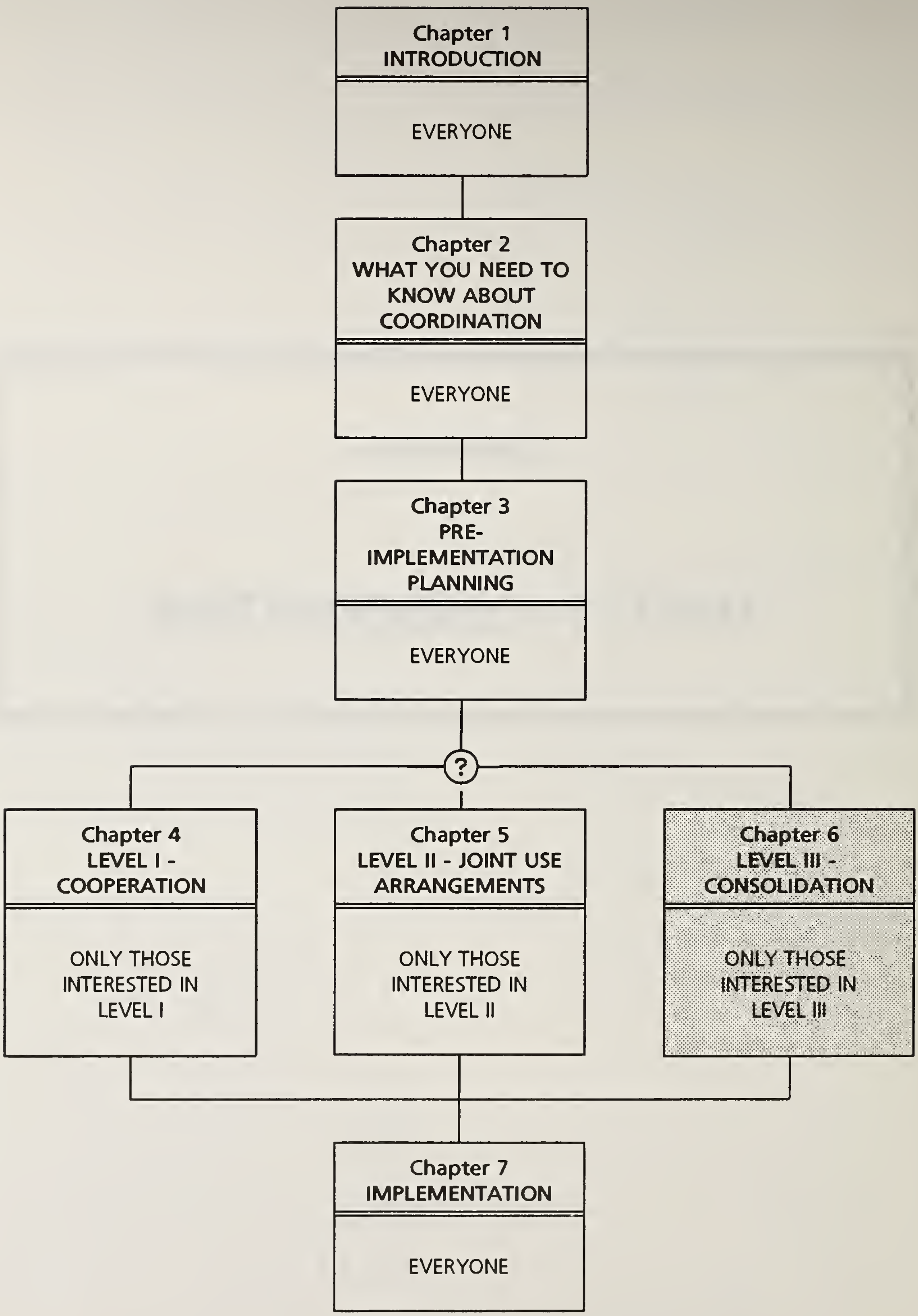
CHECKLIST

- ☐ Has each participant discussed the joint use arrangements with their funding sources?
- ☐ Has each participant followed up the telephone communication with a written notification?
- ☐ Have you allowed funding agencies sufficient time to respond?
- ☐ Do you have positive feedback, either verbally or in writing from each of the funding agencies? Have you addressed any negative feedback?

If you can answer "yes" to all of the questions in this Checklist you are ready to proceed to Chapter 7, "Implementation".

CHAPTER 6

LEVEL III - CONSOLIDATION


Chapter 1
INTRODUCTION
EVERYONE
Chapter 2
WHAT YOU NEED TO KNOW ABOUT COORDINATION
EVERYONE
Chapter 3
PRE-IMPLEMENTATION PLANNING
EVERYONE
?
Chapter 4
LEVEL I - COOPERATION
ONLY THOSE INTERESTED IN LEVEL I
Chapter 5
LEVEL II - JOINT USE ARRANGEMENTS
ONLY THOSE INTERESTED IN LEVEL II
Chapter 6
LEVEL III - CONSOLIDATION
ONLY THOSE INTERESTED IN LEVEL III
Chapter 7
IMPLEMENTATION
EVERYONE

CHAPTER 6

LEVEL III - CONSOLIDATION

CHAPTER 6
(Continued)

LEVEL III - CONSOLIDATION

CHAPTER 6
(Continued)

LEVEL III - CONSOLIDATION

CHAPTER 6
(Continued)

LEVEL III - CONSOLIDATION

Step 13: Hire Staff or Retain Contractor Services

Step 14: Notify the Appropriate Funding Source

STEP 1: DETERMINE APPROPRIATE LEVEL OF ACTIVITY

WHO SHOULD READ THIS STEP?

If local authorities are interested in pursuing a fully consolidated system of coordinated transportation, you should read and complete this Step. This Step outlines alternatives for administrative organization of the proposed system; for areas that have not pre-determined what entity will manage or administer the program, this Step provides options.

ADMINISTRATIVE OPTIONS FOR MANAGING THE CONSOLIDATED SYSTEM

Establishment of a consolidated transportation program represents the most complex coordination strategy described in this handbook. As noted in the introductory section, consolidation is the common management and operation of transportation services under a single entity. Within this framework, there are two types of consolidated systems: (1) single provider systems; and (2) brokered systems.

Consolidated systems may be operated under a range of administrative alternatives. Among the possibilities, the system may be managed by:

- An existing human service agency;
- An existing public transit system;
- Municipal or county governments;
- A private, nonprofit organization created expressly for the purpose of operating consolidated transit services;
- A public authority; or
- A private management company.

It should be noted that while the focus of the coordination effort will be to more efficiently manage and deliver human service agency transportation, any of the first five (5) organizational alternatives can further involve private sector participation in all, or part, of the actual delivery of transit services.

The initial steps outlined in this section provide for the development of a budget for the consolidated program. The recommended procedures employed herein have been developed with the assumption that the consolidated program will be managed and operated by a single entity. This procedure is recommended so that consolidation planners can make valid cost comparisons of the various organizational options. As a consequence, everyone should undertake Steps 2 through 6 in this chapter.

Depending upon the organizational option selected for implementation, some of the latter steps in this section may not be necessary. This will be particularly true if private sector management alternatives are selected.

CHECKLIST

☐ Have you determined the type of consolidated system to be operated (single provider system or brokered system)?

STEP 2: ESTABLISH OR NAME ENTITY TO ADMINISTER AND MANAGE THE CONSOLIDATED SYSTEM

WHO SHOULD READ THIS STEP?

If the entity to manage or operate the consolidated system has not been named or pre-determined as a result of a policy decision, you will need to read and complete this Step.

MANAGEMENT AND ORGANIZATIONAL OPTIONS

There are many options regarding the organizational and management structure for the consolidated system. Existing agencies, both public and private, as well as new entities established specifically to serve as the consolidated agency, are all sound alternatives. These options may include:

- Consolidated Management and Operation by a Single Public or Non-profit Entity;
- Consolidated Management and Operation by Private Contractor; or
- Public Agency Management and Operation by Private Contractor.

PRIVATE SECTOR OPTIONS FOR THE MANAGEMENT AND OPERATION OF THE CONSOLIDATED SYSTEM

The key elements in the decision to use a public, nonprofit, or private for-profit organization to perform transit management functions will rest on several factors.

These factors should be evaluated in determining whether administrative and operating authority will be vested with a new or existing organization, or should be contracted to a third party. Generally, the factors that will influence this decision are:

<u>Capabilities of Existing Human Resources</u>

A principal determinant is the capability of existing staff persons to move from their present responsibilities to assume similar duties for the consolidated system. An evaluation of the skills held by the individual(s) who may assume similar positions with the consolidated program, and the willingness to assume new and expanded responsibilities, must be undertaken.

<u>Size, Scope and Complexity of Consolidated Program</u>

The management and operation of a consolidated program is more complex than that of a single provider agency operation. If the program is anticipated to be significantly larger than the current scope of any existing operation, the new system may require expertise beyond that which can be drawn from existing resources.

<u>General Public Service</u>

Another key factor is whether the consolidated service will be open to the general public. If so, consideration must be given to the operating authority that must be obtained to legally deliver public service. Many newly formed consolidated systems avoid this problem altogether by contracting with a business that already has such operating rights.

Availability of Contractors

The availability of competent contractors is an important factor in considering the use of private contractors. Many systems have found, that even for smaller operations located in more geographically remote areas, there will be an adequate supply of potential contractors. There are three types of contractors: (a) national companies that will offer management expertise in human service and consolidated system management; (b) regional or state based companies that offer similar management services tailored to an individual market; and (c) local transportation companies, such as taxicabs or local bus companies.

All three types of potential contractors have shown considerable interest in contracting opportunities associated with human service/ general public transportation consolidation.

Commitment to Private Sector Contracting

In most successful examples of the contracted operation of consolidated transit services, there is a philosophical commitment and belief in the benefits of utilizing the private sector to deliver publicly sponsored services.

Costs savings, specialized expertise, and avoidance of establishing a new public organization or department are just some of the potential benefits associated with contract management or operations. But if there is no support for contracting, then many contractors suggest that this option not be pursued.

PUBLIC SECTOR MANAGEMENT OPTIONS

If the evaluation of contracting options does not result in a decision to utilize the private sector, then public sector alternatives must be considered.

The mix of options can include:

- An existing human service agency;
- An existing public transit system;
- Municipal or county governments;
- A private, nonprofit organization created expressly for the purpose of operating consolidated transit services; or
- A public authority.

What is the best option?

The answer to this question will depend almost entirely on local circumstances, the nature of services to be provided by the system, and on the characteristics of the agencies and organizations that will participate in this system.

Some factors to consider in evaluating each alternative are as follows:

Existing Human Service Agency - If the service will not include service to the general public, there is some level of informal cooperation already taking place in the service area, and the candidate human service agency already operates a substantial client transportation program, consideration of an existing human service agency to manage and operate the consolidated system is a good option.

A major obstacle to this alternative is whether the candidate agency is willing to take on this role.

Existing Public Transit System - This is a viable alternative because the public transit system is likely to have the necessary management and operations skills to administer and operate a consolidated transit program.

Additionally, there are incentives for the transit system, in meeting its obligations under the Americans with Disabilities Act (to provide complementary paratransit service), to coordinate with existing paratransit providers.

Municipal or County Governments - Establishing a unit within local government to manage and operate consolidated transportation services is one of the most commonly used consolidation strategies.

The initiative for adopting this option most often comes from the local government. As local governments often provide substantial financial support for many human service agency programs, elected officials believe that a consolidated program, involving many different client types, would best be operated by an entity that represented the interests of all participants.

Newly Created Nonprofit Organization - Another common option is the establishment of a new nonprofit organization for the sole purposes of management and operation of consolidated transportation services.

This is a particularly good option when there is no existing human service agency capable or willing to serve as the "lead agency" or when local government is unwilling to assume management and operations responsibilities.

This option is also a good option when either the management or operation of the service is to be contracted to the private sector. The nonprofit entity coordinates the procurement of the contractor and oversees contractor performance.

Newly Established Public Transportation Authority - The rationale for this alternative is similar to the creation of a new nonprofit organization. Generally this option is employed when the consolidated system will be open to the general public. The formation of any public transit operation is stipulated in Chapter 306 of the Ohio Revised Code.

GAIN CONSENSUS ON SELECTED OPTIONS

Consolidation system planners should carefully evaluate the organizational options and be prepared to present the analysis and a recommended alternative to prospective participants. An evaluation matrix is a useful tool in presenting the various alternatives.

In this matrix, alternatives are numerically scored based on a series of evaluation criteria. List the various options and list the advantages and disadvantages of each. If some evaluation factors are more important, then consider "weighting" the criteria.

A background report describing the alternatives considered, along with the recommended option, should be prepared and distributed to prospective participants. After an adequate period for review (two weeks), a meeting should be held for discussion. Consensus should be sought as to the preferred alternative.

CHECKLIST

- ☐ Have you evaluated the capabilities of existing providers to manage a consolidated program?

- ☐ Has an evaluation of the pros and cons of private sector management and/or operation been conducted?

- ☐ Has an evaluation of the public sector management options been completed?

- ☐ Have you developed an evaluation matrix?

- ☐ Has a meeting of prospective participants been conducted?

- ☐ Have participants reached agreement of a selected alternative?

If you can answer "yes" to each of the questions on this Checklist you are ready to proceed to Step 3: Determine Capital Equipment Needs.

STEP 3: DETERMINE CAPITAL EQUIPMENT NEEDS

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should read and complete this Step.

CAPITAL NEEDS PLANNING PROCESS

The process for determining capital needs for the consolidated transportation program may appear complicated and overwhelming at first. By following a specific step-by-step program, however, the task need not be complex. A simple, sequential series of steps can be defined to identify both the need for vehicles and related equipment, as well as other capital requirements. It is useful to divide your assessment of capital needs into three (3) categories: (a) vehicles and related equipment; (b) office furnishings and equipment; and (c) facilities.

In all categories, an inventory of existing resources from all participants in the consolidated program should be compiled, based on the data collection activities conducted earlier in the planning process. Use the form provided in the Supplementary Materials included at the end of this Step, to document vehicles. You should assume that the capital resources of all participating agencies in the consolidated program would be available for use at this stage in the planning process.

VEHICLES

You should start from "scratch" in the assessment of vehicle needs; that is, determine vehicle needs <u>without regard to the existing fleet</u>. Once fleet needs are determined, the process of assigning specific vehicles to specific routes (vehicle assignment) can begin.

Determine Immediate Vehicle Requirements

These steps should be followed in determining vehicle needs:

(1) Develop a master schedule of all current vehicle use for all agencies that will participate in the consolidated system.

(2) Identify vehicle sharing opportunities (When or where can vehicle sharing occur?).

(3) Identify potential program and route schedule changes that could facilitate additional consolidation without imposing undue burdens on the passengers.

(4) Determine daily vehicle requirements to meet the schedule.

(5) Determine vehicle type, including accessibility requirements, needed to operate each route or service in the consolidated master schedule.

(6) Assign vehicle(s) to operate each route, now relying on the inventory of existing equipment available for use in the consolidated program.

(7) Determine necessary spare fleet size in order to have sufficient back-up capacity in the system.

(8) Assign vehicles to back-up status.

Throughout this exercise, the current owner agency should be consulted to gain additional insights as to the age, condition, and maintenance/repair history of each vehicle. Your goal should be to select the most reliable and dependable vehicles for use in the consolidated system.

Long-Range Vehicle Needs Planning

Planning. The consolidated system will also require a long-range plan for vehicle acquisition to ensure that the timely replacement of existing vehicles is maintained. The process for developing this plan is straight forward:

- Determine vehicle utilization rates (e.g., based on the preliminary vehicle assignments, how many miles per year will each vehicle be driven?)

- What are the requirements imposed by the source of program funds used to acquire the vehicle relative to useful life standards for replacement of the type of vehicle under consideration?

- When will the vehicles under consideration reach the replacement milestone?

- How much "lead time" is required to receive grant funds for vehicle replacement from the funding source that will consider financing vehicle replacements?

Developing the Vehicle Replacement Schedule. Once you know when a particular vehicle is projected to meet a replacement standard and the approximate lead time for seeking grant funding is known, develop a master schedule for when each vehicle in the fleet should be replaced. Use a five-year planning period.

Consider the following example:

Example: The consolidated system assumes control of a vehicle under an on-going loan arrangement. It is agreed that the consolidated system will lease the vehicle until retirement or end of its useful life, at which time the consolidated system will seek replacement. The vehicle is a 15-passenger van with a lift, in good condition, with 60,000 miles as of July 1, 1991.

The vehicle has been assigned to run a sheltered workshop run during peak periods and it will serve a nutrition site during the mid-day. It is estimated that 12,000 miles per year will be accumulated in operating the workshop run, while another 6,500 miles will be accumulated in serving the nutrition run. Approximately 1,500 additional miles ("deadhead miles") are projected in moving the vehicle between runs.

Using the useful life example of 100,000 miles based on projected utilization, the vehicle will reach the replacement milestone on or about July 1, 1993. Because the system will achieve a high degree of coordination, ODOT has indicated willingness to replace the vehicle under the Section 16(b)(2) program. After a four month application and review period, approximately six months are required for contracts, bids, and vehicle delivery, or a total of 12 months lead time.

It is estimated that the vehicle will have accumulated 80,000 miles by July 1, 1992 and 100,000 miles by July 1, 1993. The consolidated system should seek replacement of the vehicle on or about July 1, 1992, in anticipation of the 12-month lead time required under the Section 16(b)(2) program.

The consolidated system planner should construct a table indicating the dates when all vehicles reach the replacement date. Then, a schedule seeking replacement of each of the vehicles should be developed, taking into account the projected "lead time" for each prospective funding source.

In completing this work task, vehicles will be identified as: (1) needing immediate replacement (e.g., they already have surpassed their useful life, as defined by their primary funding source); (2) needing replacement some time over the next five (5) years; or (c) not needing replacement in the next five years.

Additional Factors in Assessing Vehicle Needs

Americans With Disabilities Act of 1990 (ADA). The Americans with Disabilities Act of 1990 requires all transportation providers to operate transit systems so that when viewed in its entirety, the system affords a level of service to individuals with disabilities, including wheelchair users, equivalent to the level of service provided to individuals without disabilities. In other words, all transit systems, including newly established consolidated systems, must provide for transport accommodation for persons with disabilities.

Persons with disabilities include a wide range of physical and mental conditions, including those that would necessitate a person using a wheelchair. This means that consolidated systems cannot discriminate in the provision of service to persons with disabilities. The rules governing implementation of this landmark legislation will require most transit operators to have a sufficient number of wheelchair lift equipped vehicles to handle requests for service by individuals in wheelchairs or other "mobility devices," or non-conventional wheelchairs (e.g., three-wheel scooter type chairs). The Architectural and Transportation Barriers Compliance Board (ATBCB) has developed regulations specifying what constitutes an "accessible" vehicle.

Additionally, accommodation must be made for other disabilities, such as sight or vision impairments. These actions may include development of braille system information brochures or installation of text telephones (TDD).

This rule applies to: (a) all public agencies that provide public transportation; (b) private entities that provide public transportation; and (c) private entities who do not primarily engage in the business of transporting people but that operate either a demand response or fixed route system. This rule is also applicable to entities, private or public, that contract with an UMTA recipient to provide specified public transportation services. In these instances, the public agency requirements apply to the contractor.

How ADA Impacts Consolidated System Capital Needs Assessments. The ADA will impact the vehicle needs assessment process outlined in this Step. For example, any bid solicitation for vehicles (made after August 25, 1990) by a private nonprofit organization (that is not engaged as its primary business, the transport of individuals) must purchase or lease accessible vehicles for fixed route service if the vehicle is in excess of 16-passenger capacity, including the driver.

If transportation is the primary business, the vehicle capacity threshold is reduced to 8-passengers.

Vehicles purchased or leased by public entities after August 25, 1990 for use in demand response service must be accessible.

There can be circumstances when the entity (public or private) acquiring vehicles need not purchase accessible vehicles. Rules governing the implementation of ADA state that if the system, when viewed in its entirety, affords a level of service to persons with disabilities, including wheelchair users, equivalent to persons without disabilities, vehicles that are not accessible may be purchased or leased.

What is "equivalent service?" ADA rules indicate that the service must be comparable with respect to the following service characteristics: (a) response time; (b) fares; (c) geographic area of coverage; (d) hours and days of service; (e) restrictions based on trip purpose; (f) availability of information and reservations capability; and (g) constraints on capacity or service availability.

Local officials should consult with their funding agencies regarding achievement of full system accessibility and the need/requirement to purchase accessible vehicles. ODOT will have information regarding technical specifications for each type of vehicle that you may purchase regarding legal compliance with the definition of an "accessible" vehicle.

Commercial Driver's License (CDL). Commercial Driver's Licenses (CDL) will be required of all drivers responsible for vehicles with a design capacity of 16 passengers or greater. Consolidation planners must be aware of these requirements in fleet planning.

RADIO COMMUNICATIONS EQUIPMENT

Two-way radio communications are an important equipment consideration, especially if there are large numbers of demand response trips to be accommodated on the consolidated system. In a consolidated system, a radio system is recommended.

A two-way radio system consists of a base station, transmitting antenna, desktop receiver/transmitter, and a mobile radio unit/antenna installed in each of the system's vehicles. The transmitting antenna is generally mounted atop a tall building or an a tower, ideally located at a central point within the service area. It is typical for a consolidated system to locate the antenna on an existing radio tower and pay a lease fee to the tower owner; this is more cost effective than constructing your own tower. As the tower may not be located near the administrative headquarters of the consolidated system, a telephone linkage is required between the tower location and the desktop unit used by the dispatcher.

If it has been determined that the consolidated system should have two-way radio communications, there are generally two options available: (1) develop your own system; or (2) expand an existing system. As two-way radio systems must be licensed by the Federal Communications Commission (FCC), development of a new system can be a complicated and lengthy process.

While two-way radio communication is the most desirable option for system planners, a less costly alternative has been employed in some systems, involving the use of cellular phones. Acquisition and installation of cellular telephones is relatively simple, however, there are disadvantages. First, not all areas are covered by cellular communications. Second, dispatchers can only communicate with one vehicle at a time. Third, drivers must know the assigned numbers of all other phones in order to communicate with other vehicles.

Expansion of an Existing Radio System. If any of the proposed participants in the consolidated system currently have a radio system, it is recommended that the consolidated system build upon that network.

Expansion would typically involve the purchase and installation of additional mobile units that are compatible with the radio system. Federal license authority should also be checked to ensure that the intended application under the consolidated system is consistent with the existing FCC license (number of units).

If there is more than one agency proposed to participate in the consolidated system with a radio system, these other mobile units may be made compatible with the system by re-configuring the units to broadcast and receive on the licensed frequency to be used by the consolidated system.

Establishment of a New System. If a new radio system is to be established, the first step in the process is to secure a license from the FCC. Prior to filing for an application, the system will need to work with appropriate state and local authorities regarding "frequency coordination." Permission to use an available frequency is coordinated at the local level, and will be necessary prior to submitting an application for an FCC license. In developing a radio system, the consolidated system should seek the advice of a telecommunications specialist, who can assist in licensing, specifications development, and determining equipment requirements.

It is also possible to require the successful communications equipment vendor to assist with frequency coordination. If you elect to take this route, be sure to make your purchase contingent upon receiving an FCC license.

COMPUTERS

Personal computers are used for a wide range of functions within a consolidated transportation system. The size and complexity of the consolidated system will determine the level of computerization that may be required. Typical computer applications include:

- **Word Processing** - Word processing software can be used for correspondence, grant writing, billing and invoicing.

- **Accounting** - Many coordinated systems that are single purpose transit agencies use off-the-shelf integrated accounting software to maintain agency budgets, accounts, payroll, and accounts receivables/payables.

- **Database Management** - Client file management and vehicle maintenance recordkeeping are typical uses for a database management program.

- **Spreadsheet** - Spreadsheet programs can be used to generate statistical reports regarding system performance.

- **Computer-Assisted Dispatching** - A number of companies have developed software applications specifically designed to assist coordinated systems in the scheduling of trips and vehicle tours, as well as in maintaining a monthly client/agency billing record.

To determine your computer needs, planners should determine which agency functions are appropriate for automation. The extent to which agency functions are automated will, in turn, determine the number of personal computers needed. For more sophisticated operations, there may be advantages of tying a group of personal computers into a local area network (LAN), where software can be shared by more than one user.

OFFICE FURNISHINGS AND EQUIPMENT

While vehicles represent the most significant capital need for the consolidated system, office furnishings and equipment are vital for the administrative and operations staff to effectively manage the system. Based on the proposed staffing levels necessary for the system, consider the need for the following equipment:

- Desks
- Chairs
- Conference Table/Chairs
- Typewriters
- File Cabinets
- Telephones
- Adding Machines/Calculators
- Postage Machine
- Copy Machine
- Facsimile Machine
- Blackboard
- Map Displays

CHECKLIST

- ☐ Have you compiled user agency service requirements (routes and schedules)?
- ☐ Has a roster of existing inventory of vehicles, including age, current odometer, condition, and accessibility status been compiled?
- ☐ Have you compiled an inventory of other capital equipment used by participating agencies that would be available for use by the coordinated system?
- ☐ Has it been decided if the system will require a two-way mobile communications system. If yes, have the system configuration needs been reviewed with a telecommunications specialist? Have you obtained an FCC license?
- ☐ Has a vehicle replacement schedule been prepared?
- ☐ Has a roster of other equipment needs been prepared?

If you can answer "yes" to the questions on the Checklist you can now proceed to Step 4: Develop Pre-Start Up Expense Budget

VEHICLE INVENTORY FORM

VEHICLE INVENTORY FORM

Vehicle Identification (Manufacturer's Serial No.)	Model Year	Date Acquired	(1) Type	(2) Seating Capacity	Used for Clients? (Y or N) Residential Only (R)	Current Odometer	(3) Total Miles During FY 87-88	Own or Lease	(4) Source of Capital Purchase Funds	Lift or Ramp? Specify	# WC Stations	Radio-Equipped (Y or N)	Vehicle Use Status

STEP 4: DEVELOP PRE-START UP EXPENSE BUDGET

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should complete this Step.

EXPENSE CATEGORIES

In the implementation of any type of coordinated system, expenses will be incurred prior to system start-up. In this Step, you should estimate the expected expenses associated with pre-implementation activities. In a consolidated system, there are likely to be significant start-up expenses.

Again, the budget categories consist of three functional areas:

- administrative and management expenses;
- operations expenses; and
- capital expenses.

ADMINISTRATIVE/MANAGEMENT EXPENSES

Administrative and management costs are likely to be incurred because staff assigned to the consolidated transportation agency will need to be hired/transferred into the position to plan the transition from the current method of service delivery to consolidated service delivery.

A key determinant in this transition is whether or not the consolidated operator will be a new entity or an existing agency.

The entire implementation period may take place over a period as long as six (6) to eight (8) months. For budgeting purpose, however, it is in the system's best interest to minimize cash outlays during the transition period. Thus, the voluntary efforts of existing personnel will carry this burden initially. Closer to actual start-up, though, the consolidated system should plan on bringing on-board paid, full-time staff.

If an entirely new agency is established for purposes of consolidating transportation, a longer transition period will be required than if the system will be relying on an existing entity or staff. Budget for at least a sixty (60) to ninety (90) day period when personnel will need to be on the payroll of the new system. This time period will be necessary to fully establish the new organization, as well as to transition transit operations to the new provider agency.

If an existing agency and current staff will assume consolidation responsibility, the need for "orientation" time for the system manager will be less. Plan on a budget period of at least a thirty (30) to forty-five (45) day period to plan the transition in your budget preparation.

Expenses that will be incurred in the start-up will include, but not necessarily be limited to:

- **Salaries/Fringe** - Determine the number of persons who will need to work full or part-time on the implementation and transition of services. Based on the number of persons, when they will start work, and on the number of hours expected to be devoted to the start-up process, estimate the costs of personnel, including fringe benefits, as appropriate.

- **Facility Rent/Lease -** At least thirty (30) days prior to start-up, account for the costs of office/storage/parking that may need to be acquired to operate the program.

- **Office Equipment -** The purchase of some essential office furniture and equipment will need to take place prior to start-up. Caution should be taken not to over extend the limited budget resources available to the consolidated system at this stage. Therefore, program only the purchase of essential equipment.

OPERATING EXPENSES

Operating expenses will be limited in the pre-start-up phase of a consolidated transportation program. However, if additional (new) drivers will be needed, costs associated with on-the-road training should be considered as a part of the start-up budget. Be careful to consider both the amount of time to be paid to the drivers as well as the limited amount of fuel and other vehicle related expenses that will be incurred.

If the consolidated system involves the inclusion of new service aimed at the general public, the necessary public information and advertising campaign to promote the new service should also be included in your start-up budget. Typically, these marketing campaigns would be conducted at least 45 days prior to start-up and continue up to and through the initial date of program implementation.

CAPITAL EXPENSES

Capital expenses will be associated with the need to acquire vehicles prior to start-up. In most consolidated systems, however, there is generally a sufficient number of vehicles in the fleets of participating agencies so that new acquisition will not be required immediately. If the consolidated program is going to expand service, vehicle acquisition is a possibility and should be budgeted accordingly in the start-up budget.

Another potential expense that may be encountered during program start-up is vehicle painting and lettering. In many consolidated programs, agencies that own vehicles and permit a long-term lease to the consolidated entity will also permit painting and lettering of the vehicle. This will allow the consolidated system's name and logo, rather than the individual agency name, to appear on the vehicle. Such actions assist in establishing recognition for the new consolidated program.

CHECKLIST

- ☐ Has a preliminary schedule for system implementation activities been prepared?
- ☐ Have the personnel requirements associated with pre-implementation been identified?
- ☐ Have you identified facility and equipment needs prior to system implementation?
- ☐ Have the pre-implementation training requirements been determined?
- ☐ Have the Start-Up Budget Forms been completed?
- ☐ Have the owner agencies granted permission to paint and/or letter vehicles with the name or logo of the consolidated system?

If you can answer "yes" to the questions in the Checklist you are ready to proceed to Step 5: Develop First Year Budget.

STEP 5: DEVELOP FIRST YEAR BUDGET

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should read and complete this Step.

BUDGET DEVELOPMENT

The development of a projected first year operating budget is one of the most important tasks in the establishment of consolidated transportation services. In addition to determining the overall feasibility of the concept of transit services consolidation, the first year budget will be the basis for development of cost allocation and contract pricing strategies. Until actual cost experience is achieved by the consolidated program, this Step in the planning process will be crucial to many subsequent management decisions.

Use the same categories as suggested in the start-up budget development process (Step 4 of this Chapter) if the system is to be operated by an existing entity or a new start-up organization. If the management and operation of the proposed system is to be contracted to the private sector, see the discussion in Step 13 of this Chapter for direction in the first-year budget development process.

ADMINISTRATIVE/MANAGEMENT EXPENSES

Salaries, Wages and Fringes. Administrative or management positions with the agency are generally full-time, salaried positions.

Decisions will need to be made regarding annual salary levels to be paid for these positions. The best sources of information to construct an appropriate salary scale for the respective staff positions are similar transit operations in Ohio. Your primary funding agency can be of assistance in providing reference information in this regard.

Once salary levels are determined, the next step is to calculate related fringe benefits to be paid administrative or management personnel. These benefits are normally computed at this stage of the coordination process as a multiplier of the amount of salary (e.g., fringe benefits are 22% of salary rate). If desired, specific computation of fringes can be computed, based on Federal (e.g., FICA) and State tax withholding rates, or health benefit premium rates.

Facility and Utility Expenses. The second major expense item in the administrative category is associated with facility rental and utilities. If the consolidated system is going to rent facilities, then lease and utility expenses should be calculated based on standard commercial rental costs (lease costs per square foot) and experience with heat and lighting expenses for similar sized facilities. Commercial real estate brokers can assist in estimating these expenses.

Communications. Telephone expenses should also be estimated. It is recommended that a sample of comparable systems be polled to determine peer system cost experience in this area. Remember that if toll-free lines are to be used, to also check these expenses for other systems similar in size to your program.

Insurance. Depending on facility and organizational arrangements, insurance is another administrative cost that should be determined. This category <u>does</u> <u>not</u> include vehicle insurance, as this is an operating expense. Include in this category building-related coverage, such as fire, hazard, contents insurance as well as general premises liability. Board member liability insurance may also be needed if you establish a new nonprofit organization with a board of directors.

Other Expenses. Finally, some accounting for miscellaneous expenses should be given at this stage of the budget process. Examples of these types of administrative expenses include:

- Travel and Per Diem Expenses of Administrative Personnel;
- Photocopy or xerox expenses;
- Office equipment rental too small to be considered a capital expense;
- Audit expenses;
- Legal fees;
- Postage;
- Classified advertising;
- Organizational fees and dues;
- Dues and subscriptions; and
- Conference registrations.

Consult with your funding agency regarding the classification of other projected expenses for the proposed consolidation project not noted above.

OPERATING EXPENSES

Wages, Salaries, and Fringes. The single largest operating expense that will be incurred in consolidated transit operations is driver labor. In a consolidated system, calculating driver labor requirements is more complex than simply counting anticipated hours of vehicle operation.

The first consideration relates to how drivers will be recruited to the system. As several of the agencies proposed for participation in the consolidated system may already have drivers, planners will need to determine if these drivers will be "transferred" to the consolidated program.

Drivers that transfer to the consolidated system will likely, as a matter of policy, be hired at the same salary and benefits level. Determine current salary and benefits of existing employees that are to be hired or will work for the new system.

New hires may be employed at differing wage scales, however, sound wage scale management principals should be employed to avoid labor problems in the future. Many systems employ a driver's wage scale that has a probationary scale for trainees. Determine any probationary employees that may be hired for the new system and assign appropriate wage and expense detail to the budget.

Fuel and Oil. Gasoline and lubricants are often the second largest expenditure in the operations budget. Based on the fleet that will be available during the first year of operation, determine the average fuel economy that can be achieved with each type of vehicle in the fleet. The total system miles (include both "route miles" and "deadhead" miles) should be divided by the fuel economy standard(s) for each vehicle type. The result should be multiplied by the price of fuel per gallon. The formula for calculating your fuel costs is as follows:

$$\frac{\text{Total System Miles}}{\text{Average MPG}} \times \text{Price Per Gallon}$$

If the fleet is uniform, a single computation is satisfactory. However, if larger vehicles with poorer fuel economy are needed for some components of service delivery, then you will need to estimate the number of system miles to be operated by these vehicles and use multiple computations to estimate annual fuel expenses. Similarly, if the consolidated system will operate a fleet with a mix of gasoline and diesel vehicles, then multiple computations (with different fuel economy and fuel cost assumptions) should be used.

Repair and Maintenance. Next, estimate expenses associated with repair and maintenance of the vehicle fleet. This task is more difficult than estimating salaries and wages, as no one can predict major, unplanned repairs. One method to overcome this difficulty is to use an expected maintenance cost per mile of vehicle operation. Experience in other coordinated systems should provide a good indication of the maintenance expenses you can expect to incur in the operation of your system.

Insurance. Vehicle insurance will also be a major expense for the new system and should be budgeted carefully. The best source of information is from insurance underwriters, who can provide quotations as to the expected costs of vehicle insurance. In soliciting quotes, there are several important factors to consider.

(1) What is the level of liability coverage to be carried by the agency? What are state requirements in this regard?

(2) Will any of the agencies that contract for service specify the minimum levels of coverage?

(3) If the system leases vehicles from other entities, will the new system be required to carry collision coverage? If so, what deductible limits are reasonable?

(4) What is the operating scope of the new system and what insurance rate classification will be used in the rate quotation?

Be sure to fully explain the type of service and the expected clientele to be transported on the consolidated system so that the underwriter assigns the program to the proper rate category in developing your cost quotation.

Solicit several quotes; you may find a wide range in the responses. Compare the rates quoted to comparable programs in Ohio before determining the most appropriate figure to program in your first year operating budget.

Radio Expenses. If the system will use a two-way radio communications system, you will need to estimate the operating expenses associated with the system. These expenses may include fees for tower rental and telephone line charges associated with the transmission of signals from the base station to your operations center, which may be at two distant locations.

Training. Drivers and other staff will periodically need to undergo new or refresher training. The time and travel expenses associated with participation in these training programs should be reimbursed. This line item should cover these expected expenses.

Vehicle Licensing and Fees. Annual vehicle and license fees and taxes for both owned and leased vehicles would normally be paid by the consolidated system. Include these expenses under this category if they apply to your program.

Other. Include any other miscellaneous expenses anticipated for the new consolidated system in this category. Examples of other expense categories include:

- Uniforms;
- Bonding;
- Building and Grounds Maintenance & Upkeep; and
- Vehicle Lease Expenses.

IN-KIND OR CONTRIBUTED SERVICES

In most systems, there will be opportunities to identify and develop in-kind or contributed services for the new consolidated system. These represent items that will be used or consumed in the provision of transportation that will not be paid for by the system.

For example, office space for the new system may initially be provided by local government or one of the participating agencies. This space may be provided without charge to the system. There is a value associated with the donated office space, even if there is no cash outlay during the period. The value of this contribution should be reflected in the budget. It may be useful for matching other state or federal grants.

CHECKLIST

- ☐ Have you consulted with your funding agency and peer systems relative to salary and wage scales for administrative positions?
- ☐ Did you determine the fringe benefit package to be provided to system employees?
- ☐ Have you solicited insurance quotations?
- ☐ Did you complete the budget worksheet?

If you can answer "yes" to all of the questions in the Checklist proceed to Step 6: Estimate First Year System Revenues.

STEP 5: DEVELOP FIRST YEAR BUDGET

Supplementary Materials

EXAMPLES OF POSSIBLE FIRST YEAR EXPENSES

EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES

EXPENSE ITEM	TOTAL	ALLOCATED TO COORDINATION
I. WAGES, SALARIES & FRINGE BENEFITS		
A. Wages & Salaries		
1. Coordinator		
2. Administrative Assistant		
3. Bookkeeper		
4. Secretary		
5. Other		
Sub-Total Wages & Salaries		
B. Fringe Benefits		
1. Workmen's Compensation		
2. Unemployment Compensation		
3. Employee Insurances		
4. Health Plans		
5. Other		
Sub-Total Fringe Benefits		
TOTAL WAGES, SALARIES & FRINGE BENEFITS		
II. OFFICE SUPPLIES/SMALL EQUIPMENT		
A. Supplies		
B. Copying		
C. Facsimiles		
D. Minor Office Equipment		
E. Other		
TOTAL OFFICE SUPPLIES/SMALL EQUIPMENT		
III. UTILITIES		
A. Telephone		
B. Electric		
C. Heat		
D. Water		
E. Sewage		
F. Other		
TOTAL UTILITIES		
IV. INSURANCES		
A. General Liability		
B. Hired and Non-Owned Automobiles		
C. Property		
D. Other		
TOTAL INSURANCES		

EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES (CONTINUED)

EXPENSE ITEM	TOTAL	ALLOCATED TO COORDINATION
V. GENERAL SERVICES		
A. Custodial/Caretaking		
B. Data Processing		
C. Bookkeeping/Accounting		
D. Other		
TOTAL GENERAL SERVICES		
VI. PROFESSIONAL SERVICES		
A. Attorney Fees		
B. Accounting/Auditing		
C. Consulting		
D. Marketing		
E. Other		
TOTAL PROFESSIONAL SERVICES		
VII. MARKETING		
A. Advertising		
B. Promotional Materials (Brochures/Posters)		
C. Other		
TOTAL MARKETING		
VIII. DEPRECIATION		
A. Buildings and Grounds		
B. Capital Equipment		
C. Other		
TOTAL DEPRECIATION		
IX. TRAVEL		
A. Mileage Reimbursement		
B. Out-of-Area		
1. Air		
2. Hotel		
3. Rental Car		
4. Subsistence		
5. Other		
Sub-Total Out-of-Area		
D. Other		
TOTAL TRAVEL		
X. MISCELLANEOUS		
A. Conference Registrations		
B. Dues/Subscriptions		
C. Other		
TOTAL MISCELLANEOUS		
GRAND TOTAL ALL EXPENSES		

EXAMPLES OF POSSIBLE OPERATING EXPENSES

EXPENSE ITEM	TOTAL
I. WAGES & FRINGE BENEFITS	
A. Wages	
1. Dispatchers	
2. Drivers	
3. Mechanics	
4. Washers	
5. Other	
Sub-Total Wages	
B. Fringe Benefits	
1. Workmen's Compensation	
2. Unemployment Compensation	
3. Employee Insurances	
4. Health Plans	
5. Other	
Sub-Total Fringe Benefits	
GRAND TOTAL WAGES AND FRINGE BENEFITS	
II. VEHICLE OPERATING COSTS	
A. Fuel	
B. Oil & Lubricants	
C. Tires & Tubes	
D. Maintenance Contracts	
1) Vehicles	
2) Radio Communications	
E. Parts	
1) Minor	
2) Major	
F. Cleaning Supplies & Materials	
G. Miscellaneous Supplies & Materials	
GRAND TOTAL VEHICLE OPERATING COSTS	
III. INSURANCE	
A. Vehicle	
B. Property & Grounds	
C. Other	
GRAND TOTAL INSURANCE	

EXAMPLES OF POSSIBLE OPERATING EXPENSES (CONTINUED)

EXPENSE ITEM	TOTAL
V. LEASES & RENTALS	
A. Buildings & Grounds	
B. Vehicles	
C. Other Equipment	
TOTAL LEASES & RENTALS	
V. MISCELLANEOUS EXPENSES OF OPERATION	
A. Staff Training	
B. Uniforms	
C. Licensing & Fees	
D. Other	
GRAND TOTAL MISCELLANEOUS EXPENSES	
GRAND TOTAL ALL OPERATING EXPENSES	

STEP 6: ESTIMATE FIRST YEAR SYSTEM REVENUES

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should read and complete this Step.

TRANSIT PROGRAM REVENUES

Operating revenues for the consolidated system will be derived from a variety of sources. First and foremost, the system will generate revenues from the provision of client transit services to participating human service agencies on a contract basis. Other revenue sources will be equally important in preparing the overall budget program for the consolidated transportation program.

PURCHASE OF SERVICE REVENUES

At this stage of the planning process, it will be possible only to develop a preliminary estimate of the potential purchase of service contract revenues that will be earned by the consolidated system. The actual amount will not be determined until specific service contracts are negotiated.

For budgeting purposes, examine the current level of client and membership transit expenditures incurred by the various perspective participants in the system. This does not represent potential contract revenue, however, as not all client or member transportation expenditures can be converted into purchase of service revenues. For example, a portion of an agency's transportation program expense may include administration and overhead expenses. If the agency now opts to purchase service from the consolidated system, these costs will not be able to be translated into revenues for purchase of service. Thus the funds (or revenue) that can be derived from a participating agency may be less than their reported expenditures (Refer to Step 7 of this Chapter for additional details regarding rate setting).

Planners should carefully analyze this situation and not over estimate the potential revenues from contracting agencies.

DIRECT GRANTS

As a full service, chartered or incorporated transportation organization, the consolidated system may be eligible to directly receive grants from various categorical funding programs.

For example, it may be desirable for the consolidated system to directly receive Title III-B funds under the Older Americans Act for senior citizens transportation rather than working through a purchase of service contract with the local senior citizens council.

Additionally, the new organization may directly be eligible for transit grants, such as the UMTA Section 18 program, if the system will provide service to the general public. The potential for obtaining these types of funds is enhanced due to meeting the program's legislative objective of integrating, to the extent possible, programs financed under the U.S. Department of Health and Human Services. However, funding under the UMTA Section 18 program for new systems is very unlikely given the fiscal demands of current Section 18 operations.

GENERAL PUBLIC PASSENGER FARES

If the system is to be open to the general public, then a fare should be charged. In the planning stages, the fare system to be used, the amount of the fare, and the expected general public patronage must be estimated in order to complete this portion of the budget.

The process for setting fares for the general public differs from the process used to establish the cost of service for human service agency clients or members. Human service agency rates are set based on the full recovery of the cost of service whereas public fares are set to attract public ridership. In essence, transit operating subsidies are used, in part, to finance general public fares, while human service agency funds are used to finance human service agency clients or members.

General Public Fare System Types. There are a variety of fare systems that can be used in a consolidated transit program. A rule of thumb, however, is if there will be limited general public ridership on the consolidated system, then a simple fare structure should be used.

The two basic fare structures are:

- **Flat Rates -** A single fare is assessed the passenger at the time of boarding regardless of the type of passenger or the distance traveled. Variations of this method include developing specific passenger categories such as adult fares, elderly fares, and student fares.

- **Zone or Distance Based Fares -** In this system, passengers traveling long distances are charged for each fare "zone" or distances traversed during the trip.

Under either fare system, the unit of service on which the fare will be assessed must be considered. Under the flat rate system, the unit of service is the passenger trip. Under distance based fare, however, alternatives, such as passenger-miles, or grid zones, are the unit of service.

Again, a simple approach is the best approach, particularly for a new start-up program.

Setting the Fare. Generally, fares are established, in part, to attract general public ridership. Historically, fares have been set artificially low to generate patronage. More recently, fares have been set to achieve a certain level of income relative to the cost of the service (revenue recovery).

Of particular concern in a consolidated program that provides transit for both the general public and human service agencies is the need to maintain the "full cost of service" revenue contributions made by human service agencies under contract arrangements. Industry officials desire to avoid what has come to be called "client dumping," or human service agencies withdrawing contract revenue support in favor of clients riding as members of the general public at subsidized fares.

It is important to discuss the overall agency budget and fare policies with contracting agencies to avoid this problem.

Estimating Public Patronage. Estimating general public ridership can be a difficult task. Ridership will be dependent upon numerous factors, including the level of service, quality and convenience of the service, and local marketing efforts/promotions.

A number of publications treat this topic in more detail than is permitted here. It is recommended that these reference sources be consulted in developing patronage estimates. Once these three factors have been determined, multiply the expected general public patronage by the estimated average fare/per trip to estimate fare revenue for the system.

LOCAL CONTRIBUTIONS

Many consolidated systems depend on local contributions from municipal or county sources. These funds may represent local match to direct grants received by the consolidated system or simply contributions made by the respective jurisdictions to support the program, without regard to matching a specific grant.

IN-KIND CONTRIBUTIONS

In-kind contributions of goods and services were identified in the expense budget. These same items should appear in the revenue budget as well.

In many cases, in-kind contributions can be used as local match to other grants if the source of the contribution is local, not Federally financed. In some cases, such as the UMTA Section 18 program, even Federally funded in-kind goods and services can be used as local match. Consult a program representative from the respective funding source with respect to the use of grant proceeds for local match.

CHECKLIST

- ☐ Have you checked the potential for new grant sources to support the operation of consolidated transportation services?
- ☐ Have you determine the type of fare structure to be used if the service is open to the general public?
- ☐ Have you set general public fares?
- ☐ Have you examined resource materials to ascertain low cost methods for estimating general public patronage?
- ☐ Have you identified and listed in-kind revenues for the system?

If you can answer "yes" to these questions, you are ready to move on to Step 7: Estimate Contract Costs and Rate Structure.

STEP 7: ESTIMATE CONTRACT COSTS AND RATE STRUCTURE

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should read and complete this Step.

RATE SETTING GOALS

As a matter of policy, the consolidated transportation system should seek to fully recover the cost of providing client transportation services through its contract rate structure. That is, the rate of reimbursement per unit of service paid for by the sponsoring or contracting agency will be at least equal to the cost of delivering a unit of transportation service.

Achievement of this objective is crucial to the financial security of virtually all consolidated transportation systems. Adoption of appropriate pricing strategies is the key planning step to carrying out this policy objective.

Units of Service

Participating human service agencies that will be purchasing service from the consolidated system will have different demands with respect to contract pricing structures. While a single contract for service with a common fee or rate for all participating agencies is a goal (the consolidated transit system's administration of contracts will be easier), the consolidated transit provider should be prepared to deviate from a standard structure when it is in the system's financial interest to do so. For example, rate setting for some programs is established at the state level; this structure may have an effective revenue yield per passenger mile that is higher than the system's standard rate.

Thus, it is important for any consolidated system to be prepared to negotiate different contract rates with different participating agencies in order to accommodate both provider and purchaser needs.

The participants may use different units of service in defining the level of program services afforded to clients or members. For example, one participant may reimburse the transit provider on the basis of a flat rate per member per day and another participant may reimburse on a flat rate cost per passenger trip. Yet others may reimburse on a passenger mile basis, similar to the method one would reimburse volunteers. The consolidated agency should be prepared to negotiate with each agency relative to the unit of service; often times, the system can successfully negotiate use of the system's standard unit of service rate.

Nevertheless, different rates may be necessary in some instances. In responding to these varied demands, the consolidated agency should develop a base rate structure, predicated on the fully allocated cost of service, for the following unit measures:

- Cost per Vehicle Hour;
- Cost per Vehicle Mile; and
- Cost per Passenger-Mile.

With unit rates for all three measures stated above, the consolidated system will be able to translate these parameters into any unit of service price rate desired by a participating agency.

Estimating the Cost of Service on a Unit Basis

Common per unit rate structures utilized for billing purposes include the following:

- **Fixed Rate Per Vehicle Mile/Hour -** This rate structure is the most commonly used rate when a single user agency commands use of a dedicated vehicle strictly to transport its own membership. This is the simplest of the rate structures to calculate.

- **Flat Rate Per Member Trip Per Day -** This rate structure is typical of nutrition site transportation where the purchaser desires to buy transit service on a repetitive, daily basis at a fixed rate per patron per trip. The consolidated system must know rider information to correctly develop the rate.

- **Fixed Flat Rate Per Passenger Trip -** This is a common rate structure when a single uniform destination of travel is involved for the client or passenger. A typical example would be the standard type of repetitive trip such as the transportation of Medicaid clients from a common origin to a regional medical facility.

Other Issues in Rate Setting - Cost Allocation. In a consolidated system, the rate setting process can be complicated when individual routes are established to serve the needs of clients or members from two or more user agencies. In these cases, it is necessary to allocate cost per mile or cost per hour of service on some rational basis among the participants.

Other Issues in Rate Setting - Use of Provisional Cost Data. As is seen in the computations below, many of the examples depend on historical system performance and cost history. In a newly formed consolidated system, there is no historical cost data on which to build a sound rate structure.

One solution to this problem in the first year of operation is to negotiate provisional unit rates with the user agencies, based on the projected consolidated agency budget. These provisional rates should be subject to adjustment and revision three or six months into the contract period to reflect actual cost experience.

Computation of Rates - Examples. The computation of fully allocated costs can be a complex issue, using fixed costs and variable costs, combined with complex capital depreciation computations. There are many specific and detailed reference documents that provide instruction regarding cost allocation for a consolidated transportation provider. The principal reference is the UMTA sponsored report, Fully Allocated Cost Analysis Guidelines for Public Transit Providers (November 1986). Although specifically developed for the social service agencies, less complex procedures applicable to consolidated transit programs can be found in Cost Analysis for Social Service Agency Transportation Providers (January 1981), another UMTA sponsored study.

A simple procedure, based only on total costs is outlined below.

Assume the following parameters in the proposed consolidated system:

Estimated Expenses and Services:

Administration	$ 52,575
Operations	252,600
Maintenance	41,825
Total	$ 347,000
Estimated Annual Vehicle Miles	301,740
Estimated Annual Vehicle Hours	18,858
Estimated Passenger Trips	105,610

Follow these steps to compute provisional unit prices:

Fixed Rate Per Vehicle Hour:

Total Expense ÷ Total Vehicle Hours = Cost Per Vehicle Hour

$347,000 ÷ 18,858 = $18.40 Per Hour

Fixed Rate Per Vehicle Mile:

Total Expense ÷ Total Vehicle Mile = Cost Per Vehicle Mile

$347,000 ÷ 301,740 = $1.15 Per Mile

Flat Rate Per Client Per Day:

Total Expense ÷ Total Passenger Trips = Average Cost Per Passenger Trip

$347,000 ÷ 105,610 = $3.28 Per Passenger Trip

This method of calculation will work <u>only</u> if the trips characteristics of the "average trip" to be taken on the system is similar to the trips that will be purchased by the user agency. If the purchased trips are longer than the average, a different pricing strategy must be employed.

Providers may elect more complex procedures. The next level in the analysis may to separate expenses into fixed (those that will be incurred regardless of service level) and variable expenses (those that will be sensitive to the amount of service provided). Under such an allocation strategy, a more precise or equitable distribution of costs can be achieved.

Fixed Flat Rate Per Passenger Trip:

These rates are most frequently associated with <u>individual</u>, rather than <u>group</u> trips. It is recommended that rates be set based on time. Assume that the travel time, inclusive of passenger boarding and alighting, is 15 minutes.

Cost Per Hour ÷ Travel Time Between Typical Origin/Set Destination = Fixed Flat Trip Rate

$18.40 ÷ ¼ Hour = $4.60 Per Trip

ALLOCATING COSTS AMONG USERS

When transit services are consumed by clients or members of two or more user agencies, the cost of service provision should be shared among those users. This is the principal means by which consolidation can save money for program participants.

Consider an example where the consolidated system operates a route that is 40 miles long (from vehicle pull-out to pull-in). At a rate of $1.15 per vehicle mile, it costs the provider agency $46.00 per run to operate. If the members of only one agency were transported on this route, the purchaser would be charged $46.00, regardless of the number of passengers.

If other agency clients were accommodated on this route, these costs can be shared, at reduced rates for both participants. If User Agency A had 6 clients riding this route, and Agency B had 4 clients, then a 60/40 ($27.60/$18.40) split of the $46.00 costs can be achieved.

If there is an unequal distribution of Agency B's clients along the route, (e.g., all of Agency B's clients board near the end of the route), the user agency may object to a cost allocation methodology that assumes uniform trip characteristics. In this circumstance, the provider agency may need to allocate costs on the basis of the number of passenger miles consumed on the route by the two participants. This is accomplished by recording odometer on/off readings for all passengers. The method is burdensome for the operator, but equitable for the consumer agency.

CHECKLIST

- ☐ Have you developed the provisional unit costs of service based on your proposed budget?
- ☐ Have you calculated the unit of service billing rate for the various service units?
- ☐ Have you consulted with potential participants to determine the desired unit of service billing rate?
- ☐ Have you determined the contract rate structure for participants?
- ☐ Have you revised revenue estimates prepared in Step 5 to reflect any refinements to projected revenue, based on the agreed upon rates?

If you can answer "yes" to these questions, you are ready to move on to Step 8: Obtain Agreements of Intent to Participate.

STEP 8: OBTAIN AGREEMENTS OF INTENT TO PARTICIPATE

WHO SHOULD READ THIS STEP?

All agencies and organizations that are targeted for inclusion in the consolidated system should participate in this Step.

SECURE PROVISIONAL COMMITMENTS

With the development of an annual budget, and a contract and billing rate structure, it is time to secure firm commitments from participating agencies to participate in the program. This agreement can be most easily established through a memorandum of agreement to be executed by each participating entity.

The agreement represents an intent to participate in the system. The intent of potential participants is necessary in order to enable implementation planning to proceed.

From this point forward in the planning process, planners should only focus on those agencies and organizations that have agreed to participate.

This agreement only specifies intent to participate and does not represent a commitment to purchase a specific level of service from the system; the actual purchase of service contract will occur in the implementation phase.

EXPECT QUESTIONS

Despite detailed planning that will have addressed many of the operational questions as to how consolidated services will be operated and how much they will cost, planners should anticipate additional questions at this stage.

Remember that all prospective participating agencies may have to consult with their own governing bodies or boards of directors. These groups may not share the same goals and objectives as consolidation advocates.

Questions that may arise are likely to deal with assurances regarding the level of service and quality of service that will be provided to a particular client group. Do not be surprised if the consolidated system is held to higher service standards than that now currently being provided. Guarantees will be sought; without operating history, it will be difficult to re-assure doubters that the service will be delivered at satisfactory levels.

Deal with these questions directly, providing assurances that the plan will be implemented as specified in the consolidation service plan. Point out that consolidated services have been designed to meet the needs of the participants and its membership, that drivers will be trained to be sensitive to passenger needs, and that complaints will be dealt with in a prompt manner.

CHECKLIST

- ☐ Have you drafted the "Intent to Participate Agreement?"
- ☐ Have you met with prospective participants to secure signatures to the Agreement?

If you can answer "yes" to these questions, you are ready to move on to Step 8: Obtain Local Government Approval, Matching Shares and Apply for Grants.

STEP 9: OBTAIN LOCAL GOVERNMENT APPROVAL, MATCHING SHARES AND APPLY FOR GRANTS

WHO SHOULD READ THIS STEP?

All programs that have developed to this stage of consolidation should seek the approval of the appropriate local governing body on the consolidation plan. For some, this approval only means concurrence as to the planned activities.

In other circumstances, approval of the local governing body represents more than just consolidated plan concurrence. Local government approval may be necessary to obtain operating rights, establish a multi-jurisdictional transit authority, establish a single jurisdictional transit system, or to obtain local funding. If new public entities or local government funding will be required, you will need to complete all actions in this Step.

APPROVAL OF THE CONSOLIDATION PLAN

Compile the technical planning work that has been completed-to-date into a summary report for submittal and approval by the local governing body.

If the consolidation program entails the establishment of a new public authority, then the enabling authority to establish the entity should be empowered by the local governing body.

APPLY FOR FEDERAL GRANTS

In some cases, new sources of revenues will have been identified in Step 6 of this Chapter as being available for the new consolidated system. If the system will depend on new sources of funds, this is the appropriate time to apply for these grants.

As many grants require some type of local match, consolidated systems will need to plan how they will acquire a source of matching funds. Most consolidated systems have no funds or treasury at this stage of the planning process, and are dependent upon local government to provide the match to any new grants. If this is the case, then the budget request must be submitted to the appropriate authorities.

Planners should note the local government budget cycle and the schedule for when the various grant programs allow for submittal of applications in undertaking this task.

CHECKLIST

- ☐ Have you presented the consolidation plan to local elected officials?

- ☐ Have you gained authorization to establish new organizational entities (if applicable)?

- ☐ Have you developed grant applications for the sources of funds in which the new system will directly apply?

- ☐ Have you secured local matching funds for new grants?

If you can answer "yes" to these questions, you are ready to move on to Step 10: Establish Consolidated Administrative Entity.

STEP 10: ESTABLISH CONSOLIDATED ADMINISTRATIVE ENTITY

WHO SHOULD READ THIS STEP?

If the consolidated program is to be administered and managed by a new organization, then this Step must be undertaken by consolidation planners.

ESTABLISHING A NEW NONPROFIT ORGANIZATION

In Level II, "Joint Use Arrangements," Step 2, planners defined the administrative structures to oversee the joint use arrangements. In consolidation, the process is identical for those consolidated systems that seek to administer the program under the auspices of a new nonprofit corporation.

Read the supplemental materials provided in Level II relative to the steps to take to legally establish a nonprofit organization. Execute the resolution provided in the supplemental materials to provide the basis for the corporate filing with the Ohio Secretary of State.

ESTABLISHING A NEW PUBLIC TRANSIT AUTHORITY

If the consolidation plan calls for the establishment of a public authority, then consolidation planners should turn to the appropriate legal counsel working for the local government(s) that will establish the authority. Specific actions to be taken in establishing such authorities are defined in legislation and should be handled by local government attorneys.

CHECKLIST

Nonprofit Corporation

- ☐ Have you read **Legal Handbook for Non-Profit Organizations**?
- ☐ Have you determined the name, location, and statement of purpose for the new organization?
- ☐ Have you determined the composition of the board of directors?
- ☐ Has the authorizing resolution been executed by the parties that will charter the corporation?
- ☐ Have you filed an application for incorporation with the Secretary of State?

New Public Authority

- ☐ Have you submitted your plan for approval to the appropriate local governing body(ies)?
- ☐ Have you provided local government attorneys with the necessary service plan and data to proceed with local government's establishment of the new entity?

If you can answer "yes" to the appropriate set of these questions, you are ready to move on to Step 11: Set System Operations Policies.

STEP 11: SET SYSTEM OPERATIONS POLICIES

WHO SHOULD READ THIS STEP?

All proposed programs that intend to participate in a consolidated transportation program should read and complete this Step.

DEFINE OPERATING POLICIES

In this Step, some basic policies will be established as to how the system will operate. Who will ride? How will the system schedule transit services? How will certain emergency procedures be handled? And, what will be the basis for a formal preventive maintenance program?

PASSENGER ELIGIBILITY REQUIREMENTS

In any system that will transport clients or members of human service agencies, procedures must be established to ensure that the transit operator provides service only to individuals that qualify for the grant program sponsoring the passenger's ride.

In some grant programs, certification is rather simple; prospective clients need only meet an age or income requirement. Other programs are more complex, involving a screening, certification, and intake process. Confusing the process, however, is the fact that certification of eligibility may be temporary, that is there may be a re-certification process every year, etc.

The transit operator typically maintains an active client file by agency, so that the operator can bill the sponsoring agency at the end of the month. Thus, communication must be maintained between the sponsoring agency and the transit operator.

In system planning, the client certification process should be maintained by the sponsoring agency, not the consolidated transit provider.

Provision of lists of eligible individuals to the consolidated provider should be the responsibility of the sponsoring human service agency. The transit provider should not provide service to any individual under human service agency sponsorship that is not on the eligibility list (also see discussion in this Step relative to trip reservation procedures).

TRIP RESERVATION PROCESS

Types of Trips. For systems that operate in the demand response mode, trip requests will be either one of two types: (a) standing orders, where passengers who routinely ride on a regular schedule (e.g., every day, every Wednesday, etc.); or (b) call-in orders, where an individual does not ride on a regular basis and must initiate the trip request process in order to get a ride. If the passenger is a client of a human service agency, then agency staff typically issues the trip request.

The consolidated system treats these two types of orders differently.

Standing orders are assigned to routes and are repetitively issued on the daily driver's manifest (the manifest, or driver's log, is a schedule of pick-ups for the day or run).

Call-in orders are taken by a call-taker or dispatcher (these functions may be handled by the same person in smaller systems). The caller's name, desired time of travel, and destination are recorded. The call-taker or dispatcher will compare the passenger's name against a master passenger file to verify details regarding the passenger (directions to home, need for passenger assistance, agency sponsorship, etc.). Alternatively, the call-in order may come from a staff person from a sponsoring human service agency; once the request is made, the verification process is the same.

The trip is then assigned to a route or to a driver for pick-up. More experienced dispatchers can generally confirm the scheduling of a pick-up upon receipt of the trip request. In other cases, a return phone call may be necessary to confirm to the passenger that the trip has been scheduled.

Issues in the Trip Reservation Process. The process of taking trip reservations generates several operations issues. First, how much advance notice is required to make a reservation? Second, if there are too many standing orders, do you limit the scheduling of call-in orders? Since standing orders are typically human service agency clients, and call-in orders may be from the general public, the issue of access to the system by members of the general public is a concern. Third, how far in advance will the system accept reservations?

Advance Reservation Requirement - A standard in the publicly sponsored paratransit industry is that a 24-hour advance reservation policy be established -- a call placed on Monday morning would be satisfactory for a trip on Tuesday morning. Clarification in pending USDOT regulations on the ADA suggests that a call placed anytime during normal business hours the day before the trip should be honored, even if it less than 24 hours. This standard is recommended.

Limits on Standing Orders - Standing orders are desirable as they can be more efficiently provided by the system. If the system is open to the general public, then planners should set some policy limit on standing orders in order not to unduly restrict legitimate access to a ride on the system. Based on the estimates of projected general public demand developed in the budget process, adopt a provisional policy. Monitor the level of service denials as a result of overbooking associated with standing orders. Adjust the policy as necessary.

Advance Reservation Window - Many systems specify an outer limit on the time frame in which a reservation can be made. Some systems use a one-week window, however, a two-week or one month window is also common. Generally, the smaller the reservation window, the easier the scheduling task for the consolidated system.

It should be noted that computer assisted and fully integrated dispatch and scheduling software can significantly enhance the system's ability to process both standing and call-in orders.

TRIP CANCELLATION PROCEDURES

Any consolidated system will face last minute trip cancellations. Trip cancellations are costly to the system, and steps should be taken to avoid cancellations to the extent possible.

Trip cancellation policies typically will be different for human service agency clients and members of the general public, although both will be based on a common standard. Most systems request a minimum four-hour notice on trip cancellations. Two-hour standards are also common. Under this standard, should an individual or agency cancel a trip prior to the standard, no penalty is imposed. If a trip is canceled with less than the minimum notice a penalty is imposed.

For human service agencies, a flat rate penalty or some pro-rata share of the anticipated trip cost is typically imposed as a penalty. This trip cancellation penalty is included as a contract provision in the purchase of service agreement. Inclusion of such provisions results in the support of the sponsoring agency in limiting last minute trip cancellations.

A demerit system is typically used for members of the general public who make last minute cancellations. In this system, if an individual violates the policy a given number of times in a given period, an extra fare or a temporary suspension of ridership privileges results.

NO-SHOW POLICIES

No-shows, or passengers not being at the appointed pick-up point upon arrival of the vehicle, also represents a problem for the consolidated system operator.

A comparable process for dealing with late cancellations is used for no-shows. With respect to human service agencies, generally no-shows are billed to the agency as if the passenger rode the trip. A demerit system is again used for the general public.

COMPLAINT RESOLUTION PROCESS

Complaints will arise in the operation of consolidated transportation services. The system should have a process in place for dealing with complaints. This process should include:

- Designation of an "ombudsman" who would take complaints from the public and from human service agencies.
- A method for recording the nature of the complaint.
- Designation of an individual (generally the system manager) and time frame to resolve the complaint and communicate the outcome to the person who filed the complaint.

It is also advisable to maintain the involvement of participating human service agencies when the complaint centers on problems associated with contract service delivery. This can be achieved through the establishment of a policy advisory committee.

MANAGEMENT OF THE VEHICLE MAINTENANCE PROGRAM

Vehicle maintenance consists of routine and scheduled preventive maintenance and unplanned repair maintenance. Development of a preventive maintenance schedule is crucial to the delivery of dependable service, and in the long run will save the system money.

The most common system of preventive maintenance involves the establishment of specified checks and actions that will occur during the life of the vehicle. These actions are divided into three levels of routine actions, typically referred to as Level A, B, and C maintenance checks. The intervals for these checks are commonly set at 3,000, 6,000, and 12,000 miles, respectively. The Level A check involves simple actions, such as lubrication and oil change, other fluid checks, etc. The Level B check involves all Level A actions, in addition to examination or replacement of other parts. The Level C check involves all actions included in Level B, but again with additional actions included. A sample of the preventive maintenance schedule described above is included in the supplemental section of this Step.

There are several choices regarding where vehicle maintenance will be performed. If vehicles are still under warranty, then a certified shop to provide warranty service is the logical choice. Many consolidated systems also find that it is possible to develop a strong, but informal, relationship with a vendor wherein a mechanic becomes familiar with specific vehicle maintenance histories, thereby providing better service.

Other choices include competitively bidding vehicle maintenance services. Under this option, a set bid price is typically established for a series of known maintenance actions and a fixed hourly rate is established for other unforeseen repairs.

A third option is the development of a cooperative agreement with a local government maintenance facility.

A fourth option requires setting up a maintenance facility as a part of the consolidated system. However, for most new consolidated systems this option is considered only in the longer term.

PRE-TRIP INSPECTION

Vehicle drivers are the first line of defense in detecting potential vehicle defects and malfunctions. It is recommended that the consolidated system take advantage of this resource by instituting a pre-trip inspection of the vehicle by the driver. This inspection consists of fluid checks, light checks, assurance that flares, fire extinguisher, and other safety devices are on-board and in working order.

EMERGENCY PROCEDURES

The consolidated system should plan for unforeseen events that represent emergency situations. These situations include the sudden illness of a passenger, vehicle breakdown with passengers on board, or an accident.

Training of system personnel is the key step in responding to these emergency situations. The system should have a set of procedures for drivers to follow in any given number of emergency situations. For example, training drivers in first-aid and CPR will assist in response to an emergency situation. Similarly, knowledge of a specific set of procedures as to who to contact and what to do with other passengers in the event of a breakdown should be developed into a driver's operating handbook.

There are a number of training packages available to assist in the driver education process. System planners should contact ODOT or other funding sources to learn of these training opportunities. A good source of information is the Rural Technical Assistance Program (RTAP), which can be accessed through ODOT.

CHECKLIST

- ☐ Have you reached agreement with all participating agencies as to who is responsible for client certification?
- ☐ Have you developed a procedure whereby changes in the certification list of a sponsoring agency will be communicated to the consolidated service provider?
- ☐ Have you established a policy on advance reservation requirements?
- ☐ Have you set a policy limit on the number of standing orders that will be booked?
- ☐ Have you determined how far in advance of a requested trip a reservation will be accepted?
- ☐ Have you established a time frame when notification of trip cancellations must be made?
- ☐ Have you determined policies regarding penalties for violations of the cancellation and no-show policy?
- ☐ Have you established a mechanism for resolving service complaints?

If you can answer "yes" to these questions, you are ready to move on to Step 12: Develop Passenger Accounting Procedures.

STEP 11: SET SYSTEM OPERATIONS POLICIES

Supplementary Materials

- PASSENGER INTAKE RECORD FORM (FOR MASTER CLIENT FILE)
- SERVICE COORDINATOR TRIP RESERVATION FORM/TICKET
- VEHICLE PREVENTIVE MAINTENANCE SCHEDULE

SERVICE COORDINATOR CLIENT/PATRON INTAKE FORM

I.	**CLIENT/PATRON DATA**
	Date of Registration:
	Reservationist:
	Client/Patron Name:
	Address:
	Telephone Number: ( )
	Directions to Address:
	Sponsoring Agency (if applicable):
	Special Transport Requirements:
II.	**PAYMENT METHOD (check all that apply)**
	Agency will pay entire trip.
	Agency will pay part of trip (INDICATE AMOUNT $)
	Client/Patron to pay full fare.
	Client/Patron to pay partial fare (INDICATE AMOUNT $)
	Patron is not a sponsored client, will pay full fare.
	Agency will pay some trips - client to pay others, to be specified at time of trip scheduling.
III.	**AGENCY AUTHORIZATION**
	If Agency Client, payment authorization checked above was approved by:
	(Name of caseworker or agency person who requested registration of client)
	Date of Agency Authorization: / /
	Date of Expiration (if applicable): / /
IV.	**AGENCY REPORT DATA REQUIRED**
	(Specify)

Control No: _ - ______

SERVICE COORDINATOR TRIP RESERVATION FORM/TICKET

Date/Time of Request Call-In: / / : A.M. / P.M.			
Name:			
Sponsoring Agent (if applicable):			
Date of Requested Trip: / /			
Time of Pick-up: : A.M. / P.M.			
Pick-up Point (Address or Directions):			
Destination (Address or Directions):			
Special Transport Requirements (check all that apply):			
	Requires wheelchair lift vehicle		Blind
	Cane		Walker
	Requires Escort		Other (Please Specify):
Method of Payment			
	Bill Agency		
	Client to pay/donate: $		
Grid of Origin:			
Grid of Destination:			
Total Number of Grids:			
Total Payment: $ (grids X $ /grid)			
Client/Patron Verification Of Pick-Up Time and Completed Trip: Actual Pick-up Time: A.M. / P.M.			
(Patron/Client Signature)			
Reservationists (check as applicable):			
	Cancellation notice received in accordance with policy		
	Cancellation notice not received in accordance with policy		
Carrier Assignment:			
Carrier (check as applicable):			
	Trip Delivered		
	No Show		
	Client did not meet pick-up time policy - Late By __________ Minutes		
(Carrier Signature)		(Reservationist's Initials)	

Copy 1: Coordinator Copy 3: User Agency Copy 5: Coordinator Master Chief/Patron File
Copy 2: Provider Copy 4: Provider Copy 6: Coordinator Numerical Sequence File

PREVENTIVE MAINTENANCE REPORT

Month: ____________________

Vehicle #: ____________________

Date: ____________________

Mileage: ____________________

MAINTENANCE LEVEL A
(to be done every 3,000 miles)

( ) Fuel & Oil Leaks (Inspect)
( ) Transmission Fluid Level (Check)
( ) Radiator (Check Water Level)
( ) Hoses & Connections (Inspect)
( ) Power Steering Fluid (Check Level)
( ) Belts (Inspect)
( ) Steering (Inspect)
( ) Battery (Inspect)
( ) Oil Filter/Engine Oil (Change)
( ) Grease Fittings (Check)
( ) Lights (Inspect)
( ) Tires (Inspect/Rotate)
( ) Brakes (Inspect)
( ) Parking Brake (Test)
( ) Safety Equipment (Check)
( ) U-Joints (Inspect)
( ) Wiper Blades (Inspect)
( ) Horn (Check)
( ) Mirrors (Inspect)
( ) Steering (Inspect)
( ) Inspection Sticker (Check)

( ) OK
(X) Adjustment Made
(O) Need Attention

SPECIAL / INSTRUCTIONS for repairs needed: ____________________

____

____

____

____

Mechanic's Signature: ____________________

INT.

PREVENTIVE MAINTENANCE REPORT

Month: ______________________

Vehicle #: ______________________

Date: ______________________

Mileage: ______________________

MAINTENANCE LEVEL B **(to be done every 6,000 miles)**
( ) Complete Maintenance Level A
( ) Carburetor (Clean/Adjust)
( ) Distributor (Inspect)
( ) Ignition System (Inspect)
( ) PCV (Inspect)
( ) Exhaust System (Inspect)
( ) Rear Axle (Inspect)
( ) Body Mounts (Inspect)
( ) Engine Mounts (Inspect)
( ) Air Filter (Inspect)
( ) 2 Way Radio (Check/Inspect)

( ) OK
(X) Adjustment Made
(O) Need Attention

SPECIAL / INSTRUCTIONS for repairs needed: ______________________

____

____

____

____

Mechanic's Signature: ______________________

INT. __________

PREVENTIVE MAINTENANCE REPORT

Month: ______________________________

Vehicle #: ______________________________

Date: ______________________________

Mileage: ______________________________

MAINTENANCE LEVEL C
(to be done every 12,000 miles)

( ) Complete Maintenance Level A
( ) Complete Maintenance Level B
( ) Front End (Inspect/Align)
( ) Rear Wheel Bearings (Clean/Repack)
( ) Engine Compression (Check)
( ) Valves (Adjust if needed)
( ) Value Cover Gaskets (Inspect)
( ) Wheel Bearings (Inspect/Repack)
( ) Spark Plugs (Clean)
( ) Transmission (Change Filter/Fluid)

( ) OK
(X) Adjustment Made
(O) Need Attention

SPECIAL / INSTRUCTIONS for repairs needed: ______________________________

____

____

____

____

Mechanic's Signature: ______________________________

INT. ________

STEP 12: DEVELOP PASSENGER ACCOUNTING PROCEDURES

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should read and complete this Step.

PASSENGER ACCOUNTING

Passenger accounting, or the tracking of specific individuals and the number of units of service consumed during a month, is a fact of life associated with the consolidation of human service agency transportation.

The process begins with the trip confirmation and concludes with the consolidated services provider preparing a monthly statement billing the sponsoring agency for all services consumed by clients of the agency.

ESTABLISHING THE PAPER TRAIL

Documentation to support the fact that the consolidated services provider has, in fact, delivered the unit of service (e.g., passenger trip, mile of service, hour of service) begins when a trip reservation is confirmed. This process involves the call-taker or the dispatcher assigning a trip to a prescribed route or determining that a demand response vehicle is available in the vicinity and time of the desired trip.

The trip request ticket/form, used to record the passenger's name, desired time of travel, destination, and desired return time, is the first step in the passenger accounting process. An example of this form is included in the Supplementary Materials section following Step 11 of this chapter. The information collected from the form is either then recorded in the computer (if computers are used in the dispatching process) or on a passenger/route assignment board. This is a manual method of scheduling where the day's travel is posted to the most appropriate vehicle and route. At the end of the day, all scheduled trips are compiled onto a driver's manifest (a sample manifest is included in the supplemental materials provided in Chapter 5, Step 6), or in the case of computer assisted dispatch, printed out on forms. The forms list, by time, the various pick-ups that must be made that day on that route or run.

The driver's manifest will contain a column or place for a driver entry when the pick-up is actually made. For standing orders, this is typically a check mark; for call-in orders, it may be the time of pick-up, the vehicle odometer reading, or other indicator.

At the end of the day's route or run, the driver turns in the completed manifest. The manifest serves as the basis for documentation that the service was actually delivered to the client.

Data is transferred from the manifest to several accumulator files. The first file compiles service and passenger data for purposes of system performance monitoring. The second file assigns units of services, by passenger, to each agency that contracts for passenger transportation.

At the end of each month, this second file is provided to the accounting unit of the consolidated provider. This unit may consist of a single staff person serving as the bookkeeper, or in larger agencies, may require several individuals. Accounting will prepare a monthly invoice based on the units of service delivered to the purchasing agency during that month.

BILLING

At the end of each month, the provider agency prepares the monthly invoice to each agency participating in the system. The billing should be prepared as simply as possible, however, some purchasers will require some form of supporting documentation to be submitted with the invoice; other agencies may only simply require to have the data available for inspection.

Again, computer assisted dispatching can be used to produce a monthly statement of transit usage by each agency.

CASH FLOW

These processes must be in place prior to system implementation. The consolidated system should be prepared to issue monthly invoices by the 5th of each month. Then the system should anticipate a 30 day period prior to receiving payment on the invoice.

This results in a situation where the provider may deliver service on the second day of month 1 and not receive payment until the 30th day of month 2 - a period of almost 60 days between service delivery and payment.

For this reason, it is recommended that the consolidated service provider maintain a cash reserve of approximately 60 days, if possible.

How can the system accumulate such a reserve when virtually all services rendered are on a reimbursement basis?

If the consolidated agency is a unit of local government, the cash reserves of the local government treasury are used. If the consolidated provider is an independent entity, or a new start-up entity, establishment of a cash reserve is much more difficult.

Several techniques which can be used are:

- Obtain a one-time start-up appropriation from local government ("Seed grant").
- Delay capital purchases until late in the fiscal year.
- Encourage agencies that sign purchase of service agreements, if possible, to agree to fixed payments for services, payable at the beginning of each month for services rendered during that month.

PERFORMANCE MONITORING

Step 1 of the next chapter of this manual provides a process for periodic and on-going monitoring of the performance of the consolidated system. This section should be adopted for all consolidated systems.

CHECKLIST

- ☐ Have you determined whether scheduling will be a manual or a computer-assisted process?

- ☐ Have you developed trip reservation forms and procedures?

- ☐ Have you developed a driver's manifest form?

- ☐ Have you developed a process for accumulating monthly service data, by agency?

- ☐ Have you developed a plan to enable the consolidated system to retain an adequate cash reserve?

If you can answer "yes" to these questions, you are ready to move on to Step 13: Hire Staff or Retain Contractor Services.

STEP 13: HIRE STAFF OR RETAIN CONTRACTOR SERVICES

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should read and complete this Step.

SCHEDULING OF ACTIVITIES

At this point in the consolidation process, the timing of activities is critical to overall implementation success. If the system will have to hire new staff, the recruitment, interviewing, hiring, and possible relocation processes must be taken into account. If the management personnel are not anticipated to be familiar with the existing scope of services, then it is recommended that management personnel be in place approximately 70 - 90 days prior to implementation.

If system management personnel will be drawn from the staffs of existing transportation providers, not as much lead time will be required. It is recommended that staff be transferred or hired into the new positions approximately 45 - 60 days prior to implementation.

If the system has opted to hire a contractor to manage the system, the competitive procurement process must also be added to the lead time needed on site by the contractor prior to system implementation. Do not underestimate the time needed to complete the procurement process, or you will place undue burden on the contractor at start-up.

HIRING STAFF

Select a subcommittee of the board of directors or of the system planning group to act as a personnel committee. This committee will screen applications, conduct interviews, and recommend selected candidates for key management positions that may need to be filled, and negotiating salary. These positions may include the system manager and finance director. Responsibility for filling other positions should be left to the newly hired management staff.

Follow sound personnel management procedures and Federal law in your hiring practices.

RETAINING THE SERVICES OF A CONTRACTOR

If the system has opted to retain the services of a contractor to manage the system, the staffing process will include a formal, competitively negotiated procurement to retain the services of the management firm.

The process will consist of the following steps:

Development of the Request for Proposal

The Request for Proposal (RFP) will contain critical information regarding the scope of transit services, the desired level of performance on the part of the contractor, the period of performance under the contract, and the anticipated method by which the contractor will be paid. Allow 30 - 60 days for RFP development.

Other features that may need to be defined are:

- Will the contractor be expected to provide vehicles?

- Will the contractor be provided office space or will office space need to be rented?

- Which party will be responsible for vehicle insurance, the vehicle owner (if other than the contractor) or the contractor?

- What are the minimum levels of coverage?

The RFP will also contain standard terms and conditions that will relate to the procurement and the conduct of the contractor during the performance of the contract.

Such RFPs are commonly used in the industry. It is highly recommended that consolidated system planners obtain copies of similar documents developed elsewhere. Contact your funding agency to locate examples. You may also wish to call the National Rural Transit Assistance Program Hotline at 1-800-527-8279. There is no need to reinvent the wheel in this Step.

Define Selection Criteria

It is critically important to potential respondents that the factors that will be used in contractor selection be specifically detailed in the RFP.

If low cost is the only factor in selection, this should be explicitly stated. It is to the advantage of the consolidated system to conduct a competitively negotiated procurement, where price and other factors are considered in the award of the contract.

These factors can include experience of the firm, experience in managing similar type operations, proposed management plan, and availability of the contractor.

Obtain a List of Vendors

Consult with similar systems as to the potential contractors who may be available to supply the desired scope of services. Advertisements in national trade publications, the experience of other systems, and trade directories may be used in the compilation of this list.

Advertising the Procurement

Send copies of the RFP via the mail to all candidate firms on the list. Allow at least 30 days from the date of transmittal to permit vendors to develop a proposal; a 45 - 60 day period of response is more common. Advertising in a national trade publication will also provide additional competition.

Conduct a Pre-Proposal Meeting

Prospective vendors may have numerous questions regarding the desired scope of services. It is a good policy to conduct a pre-bid meeting where vendors are permitted to ask detailed questions or suggest alternative approaches regarding the proposal.

After the pre-bid meeting, letters should be sent to all prospective vendors regarding attendance at the meeting, questions asked, and issues resolved. If, as a result of the pre-bid meeting, a condition of the RFP is deemed appropriate for change, issue an addendum to the RFP.

Receipt of Proposals

At the appointed hour and date, close the receipt of the proposals. As this is not a bid process, disclosure of proposals is not required.

Evaluate the Proposals

Based on the proposal evaluation criteria, have each member of the selection and evaluation panel rate the proposals. Meet and discuss your findings. If several firms appear to be closely ranked, consider conducting an interview of the potential finalists. This is generally a good idea under most circumstances.

Select the Contractor

After the evaluation and interview process, notify the selected contractor in writing of his selection. Thank other vendors for submitting a proposal and indicate that they were not selected. Note to the selected contractor any additional terms and conditions that will be imposed in the contract as a result of the review process, and obtain assurances that the contractor will comply with the provisions.

Either the purchaser or the contractor may supply the contract instrument. In either case, assure that the consolidated system involves legal counsel in reviewing the proposed contract prior to execution.

RELY ON OTHER REFERENCE DOCUMENTS

A procurement of this nature is a fairly complex undertaking; entire manuals have been developed specifically to address contracting for services. These manuals and guides provide far more detail than is permitted within the context of this manual. Consult Private Sector Contracting for Rural and Small Urban Transportation Providers (an UMTA sponsored project jointly developed by the Community Transportation Association of America (CTAA) and the International Taxicab and Livery Association). The Public-Private Transportation Network (PPTN) also can provide examples of procurement documents. You should consult these documents or organizations prior to conducting this Step.

CHECKLIST

Hiring Staff:

- ☐ Have you developed a realistic schedule for personnel and staffing given the overall implementation timetable?
- ☐ Have job descriptions been written for key management positions?
- ☐ Have you appointed a knowledgeable committee to conduct the recruitment and selection process?

Obtaining a Contractor

- ☐ Have you sought examples of RFPs from other sources?
- ☐ Have you developed the RFP document?
- ☐ Are the selection criteria clearly described?
- ☐ Have you advertised the procurement sufficiently to ensure competition?
- ☐ Have you selected a contractor?
- ☐ Have you notified all vendors who submitted a proposal the outcome of the procurement?

If you can answer "yes" to the appropriate set of these questions, you are ready to move on to Step 14: Notify the Appropriate Funding Source.

STEP 14: NOTIFY THE APPROPRIATE FUNDING SOURCE

WHO SHOULD READ THIS STEP?

All systems planning for the consolidation of services should complete this step.

NOTIFY THE GRANT FUNDING SOURCES

At the conclusion of all steps in this stage of planning, communicate with the appropriate funding source or sources regarding your pending implementation of consolidated transportation services.

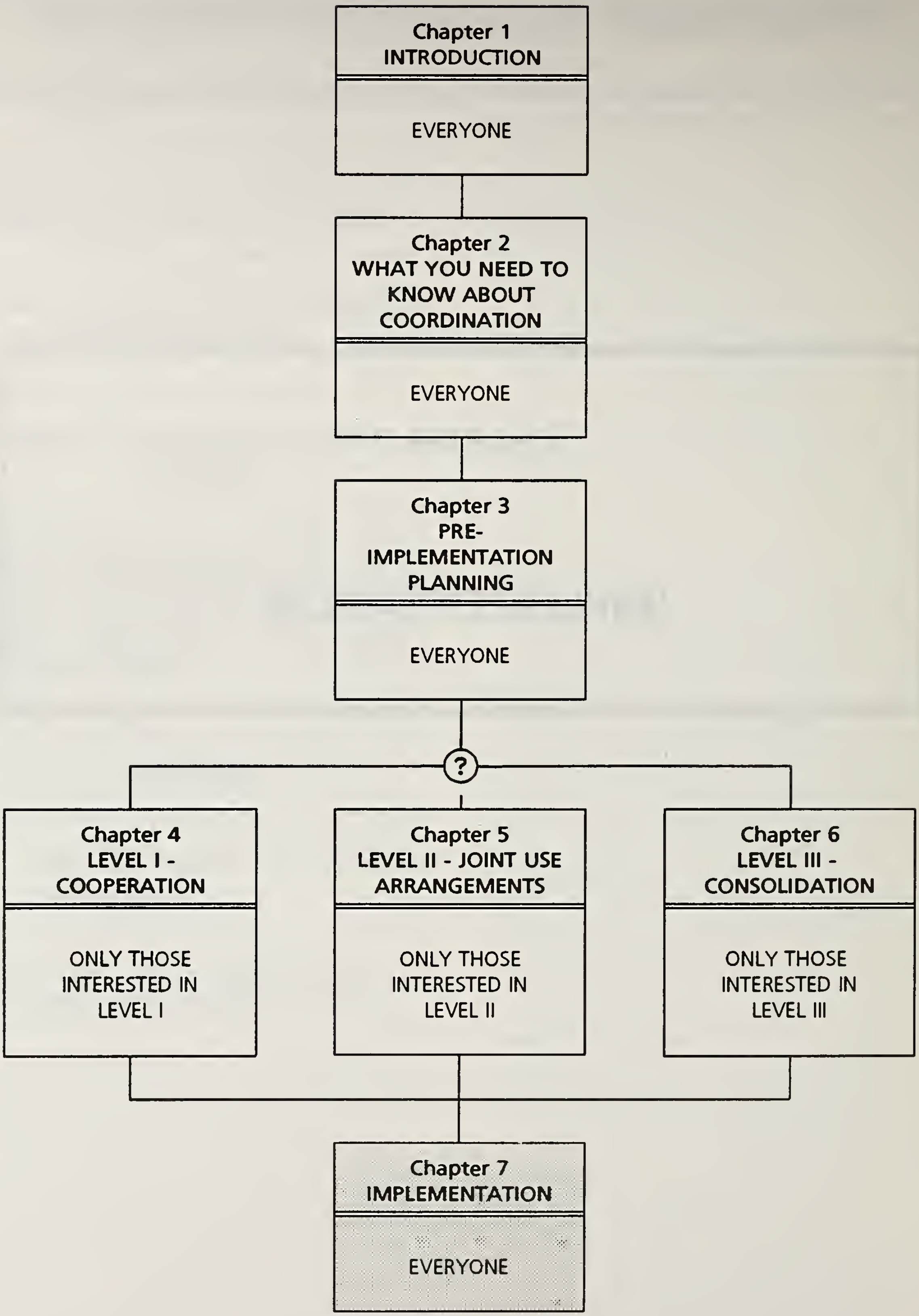
CHECKLIST

☐ Have you notified the appropriate funding source?

If you answer "yes' to this question, you are ready to move on to Chapter 7.

CHAPTER 7

IMPLEMENTATION


Chapter 1
INTRODUCTION
EVERYONE
Chapter 2
WHAT YOU NEED TO KNOW ABOUT COORDINATION
EVERYONE
Chapter 3
PRE-IMPLEMENTATION PLANNING
EVERYONE
?
Chapter 4
LEVEL I - COOPERATION
ONLY THOSE INTERESTED IN LEVEL I
Chapter 5
LEVEL II - JOINT USE ARRANGEMENTS
ONLY THOSE INTERESTED IN LEVEL II
Chapter 6
LEVEL III - CONSOLIDATION
ONLY THOSE INTERESTED IN LEVEL III
Chapter 7
IMPLEMENTATION
EVERYONE

CHAPTER 7

IMPLEMENTATION

CHAPTER 7
(Continued)

IMPLEMENTATION

STEP 1: DECIDE WHICH ACTIVITIES YOU WILL NEED TO COMPLETE AND WHEN

WHO SHOULD READ THIS STEP?

If you are planning on moving forward with any form of coordination you must read this Step. It does not matter if you are going to work toward Level I, Level II or Level III, coordination. It does not matter what specific activities or programs you want to get going. This Step has been designed to provide guidance in getting your program started, no matter how simple or complex it may be.

WILL YOU BE WORKING WITH A COMMITTEE?

If you are working with a committee, their involvement will be critical to your success. You need to work with them closely as you complete each task in each step toward implementation. Therefore, you need to bring your committee together as the first task in this implementation Step.

ARRANGE YOUR PRIORITIES

In working through the steps in one of the three Levels of coordination you have made many decisions. These include decisions on the coordination programs or activities that you want to implement. List all of these programs on a sheet of paper.

You may discover that some activities must be put into effect before others. You may also see programs or activities that should be implemented at the same time. Some activities will be easy to implement while others will be more difficult.

Arrange your coordination programs and/or activities in the order in which you want to implement them.

If you are working with a committee be sure that everyone agrees both upon the coordination programs you want to start and the implementation order.

DEVELOP AN IMPLEMENTATION SCHEDULE

Once you have arranged the programs in the order in which you want to implement them, you must set time-line goals for initiation. It is important to allow enough time for getting each activity going. It is equally important that you allow enough time to fine tune each activity before beginning the next one. Trying to go too fast can be a mistake. You must fine-tune each activity so that it is working well. Otherwise, participants may become discouraged or they may not want to continue to participate. If you are working with a committee be sure to gain their input on your initiation/implementation time-line.

An example of a "Multiple Activity Implementation Schedule" is provided at the end of this Step.

PREPARE AN IMPLEMENTATION PROGRAM FOR EACH ACTIVITY

For each activity, prepare a step-by-step "to do" list. This list will contain a number of tasks that must be completed. Keep the list handy! As you think of other tasks add them to your list. Remember to pay attention to details. Setting up a coordination program requires that you be aware and take care of **all** the details.

If you are working with a committee, share your "to-do" list with them. See if they have anything to add. Be sure to gain agreement.

DESIGN A RESPONSIBILITY CHART

You should now know the order in which the coordination programs are to be put into operation and you should also have a time schedule for implementation. Also, you have made a list of the major work tasks that will need to be completed for each program or activity. Now decide who will be responsible for each task on your "to do" list. An example of an "Implementation Responsibility Chart" is provided at the end of this Step. Complete a similar chart for each activity you plan to start.

BEGIN A LIST OF PEOPLE TO NOTIFY

As you work through the steps in this Chapter, build a list of all people who will need to be contacted prior to start up. Keep this list for each activity. Keep adding to the list as new people come to mind. Note that you will use this list later in Step 7 of this Chapter. By building the list as you proceed the chance of forgetting to notify someone will be minimized.

CHECKLIST

- ☐ If you will be working with a committee, has it been activated?
- ☐ Have you placed the coordination programs you want to implement in order of priority?
- ☐ Have you developed an activity implementation schedule for getting each program started?
- ☐ Have you made a "to do" list for each program or activity you want to start?
- ☐ Have you decided who will be responsible for each item on your "to do" list for each activity?
- ☐ Have you started a list of everyone who will need to be notified prior to implementation for each activity?

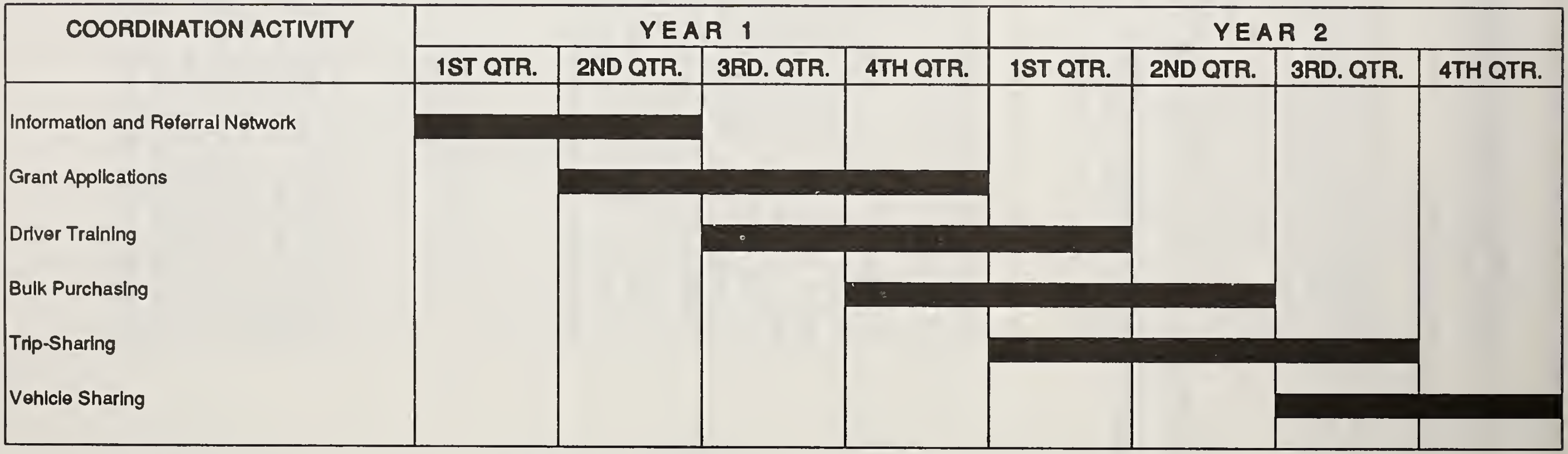
If you can answer "yes" to each of the questions in the Checklist you are ready to move on to Step 2: Determine Planning Requirements.

STEP 1: DECIDE WHICH ACTIVITIES YOU WILL NEED TO COMPLETE AND WHEN

Supplementary Materials

- EXAMPLE OF A MULTIPLE ACTIVITY IMPLEMENTATION SCHEDULE
- EXAMPLE OF AN IMPLEMENTATION RESPONSIBILITY CHART

AN EXAMPLE OF A MULTIPLE ACTIVITY IMPLEMENTATION SCHEDULE



Note: Solid line indicates time periods during which activities are set up. Activities are ongoing thereafter.

EXAMPLE OF AN IMPLEMENTATION RESPONSIBILITY CHART

PROGRAM / ACTIVITY: TRIP-SHARING

CODE: **X = Primary Responsibility**
0 = Secondary Responsibility

WORK TASK	RESPONSIBLE PARTY		
	Coordinator	Each Agency	Committee
Send Survey Maps to All Participant Providers	X		
Complete and Return Survey Maps		X	
Request Information on Additional Rides Needed	X		
Assess Where Additional Rides are Needed		X	
Make a List of Needs by Geographical Area & by Time	X		
Compare Need with Additional Capacity	X		
Look for Duplicating Services	X		
Develop Passenger Accounting Process	X	0	0
Develop Costing Mechanisms	X	0	0
Secure Interagency Agreements	X	0	0

STEP 2: DETERMINE PLANNING REQUIREMENTS

WHO SHOULD READ THIS STEP?

If you are going to implement any Level of coordination and any of the possible coordination activities within Level I, II or III, you need to read this Step. This is because, prior to actual implementation, you must be certain that you have followed all planning guidelines that may be required by one or more participant's funding agencies. Also, after implementation you will need to begin preparing for the ongoing needs of your coordination program. Get started in the longer range planning process now!

IDENTITY THE REQUIRED PLANNING ACTIVITIES OF PARTICIPANTS

Use the cover letter and form following this Step to find out

- What planning activities participants presently conduct;
- What planning activities participants do not presently conduct, but would like to conduct; and
- What planning activities participants are required to perform by their funding sources.

Get a copy of each participant's transportation plan if one exists. Also request any written planning guidelines that may have been prepared by either the participant or one of its funding sources. At the same time it would also be helpful to determine the primary mission, goals and objectives of each participant.

IS THERE ANY OTHER ORGANIZATION IN YOUR AREA THAT CONDUCTS PLANNING ACTIVITIES?

Once you know what planning activities participants are now doing as well as what their funding source planning requirements are, you will be ready to either begin your own planning effort or you will be prepared to seek planning assistance from another organization in your area. Does any other organization offer this service? Check with local, regional and state-wide planning organizations. If you live in an area that is served by a metropolitan planning organization be sure to ask them. One of these organizations may be willing to either assume the responsibility for ongoing planning or they may provide some technical assistance.

If you do locate a planning organization willing to assist you, work to coordinate your planning needs with their planning program. Remember: You can coordinate planning activities as well as the other activities described in Chapters 4, 5, and 6.

If there is not a viable planning organization already involved in planning or that is able to help you, you will need to do your own planning. In this case become familiar with all of the transportation planning requirements of all of the participants. Then proceed to list all of the planning activities that need to be completed, based upon the Level of coordination selected and the activities that you want to get going. It may be helpful for you to organize your list into "start-up planning" and "ongoing planning" requirements.

REVIEW YOUR ACTIVITIES IN CONSIDERATION OF PLANNING REQUIREMENTS

Compare all of the work that has been conducted to the planning requirements of the participants. Have you satisfactorily completed all tasks? If not, proceed to complete any remaining tasks that are necessary.

Define and prepare to address ongoing planning requirements in accordance with all participant requirements. As a part of this task, decide how the ongoing planning requirements will be done and who will do them.

CHECKLIST

- [ ] Have you answered each of the three questions under "Identify the Required Planning Activities of Participants" in this Step?
- [ ] Have you obtained a copy of each participant's current transportation plan?
- [ ] Do you have a copy of each participant's written transportation related planning guidelines?
- [ ] Do you understand the primary missions, goals and objectives of all participants?
- [ ] Have you completed all of the planning requirements of all participants <u>for each activity</u>?
- [ ] Have you listed the ongoing planning requirements and have you decided how these requirements will be done?

If you can answer "yes" to each of the questions in the Checklist you are ready are ready to proceed to Step 3: Phased Implementation.

STEP 2: DETERMINE PLANNING REQUIREMENTS

Supplementary Materials

- LETTER TO PARTICIPANTS
- PLANNING QUESTIONNAIRE

Dear ___________________:

As you know ____________________ (name of county, city or region) ___________________________ (name of the coordinator agency) is working on the implementation of a transportation coordination program for our area. Since your organization is a participant of this project, we need to determine which planning activities are required and how your planning process can be integrated into the coordination program.

Attached to this letter is a short questionnaire that will help us. In completing the questionnaire please add any planning activity to the list which you need to conduct.

Please forward your completed list to us by ____________________ (date when you would like the forms returned). Your timely response will enable us to keep on schedule in setting up this new coordination program. Once we have recorded all responses we will let you know what planning activities we will be conducting and we will contact you to coordinate with you.

If you have any questions about our coordination program, our planning effort, or the questionnaire, please call ________________________ (name of person to be called) at ________________ (telephone number of person to be called).

Thank you very much for your help.

Very truly yours,

___________________, ___________________
(Name) (Title)

____________________________ (Name of coordinator)

QUESTIONNAIRE ON TRANSPORTATION PLANNING REQUIREMENTS AND NEEDS

Instructions: Please answer each of the questions in this questionnaire. Do not leave any question blank. If a question does not apply to your organization place "N/A" next to the question and tell us why the question does not apply. Be sure to fill in the name of your organization and the other information requested immediately below these instructions. Please provide any comments in the space provided and be sure to tell us if you have other planning requirements which are not listed. Mail your completed questionnaire to us by ___________ (date forms are to be returned) at the following address:

(Coordinator's name and address goes here)

Agency or Organization: ___________________________

Name of Person Completing This Questionnaire: ___________________________

Name of Person Responsible for Planning Activities: ___________________________

Telephone Number: ___________________________

1. Review the list of transportation planning activities in this questionnaire. Place a check mark in the appropriate box or boxes beside those planning activities which your organization a.) is required to perform, b.) which your organization now performs and c.) which your organization would like to perform if help were available. Only check those planning areas if they pertain to your transportation needs and/or services.

Planning Activity	a) Required to Perform	b) Currently Performed	c) Want to Perform
Annual Budget/Financing Plans			
Annual Operating Plan			
Annual Capital Plan			
Annual Routing Plans			
Annual Scheduling Plans			
Periodic Route Change Plans			
Periodic Schedule Change Plans			
Equipment Utilization Plans			
Maintenance Plans			
Employee Training Plans			
Transportation Development Plan			
Energy Contingency Plan			
Management Performance Reviews			

2. How is transportation planning performed in your organization?

3. If either your organization or any of your grantors have written planning requirements, please attach a copy of those requirements to this questionnaire.

4. Please describe the primary mission of your organization and any formal or informal goals and objectives established by your organization. (Feel free to attach additional sheets if necessary.)

THANK YOU VERY MUCH FOR YOUR TIME

STEP 3: PHASED IMPLEMENTATION

WHO SHOULD READ THIS STEP?

Everyone!

IS PHASED IMPLEMENTATION A GOOD IDEA?

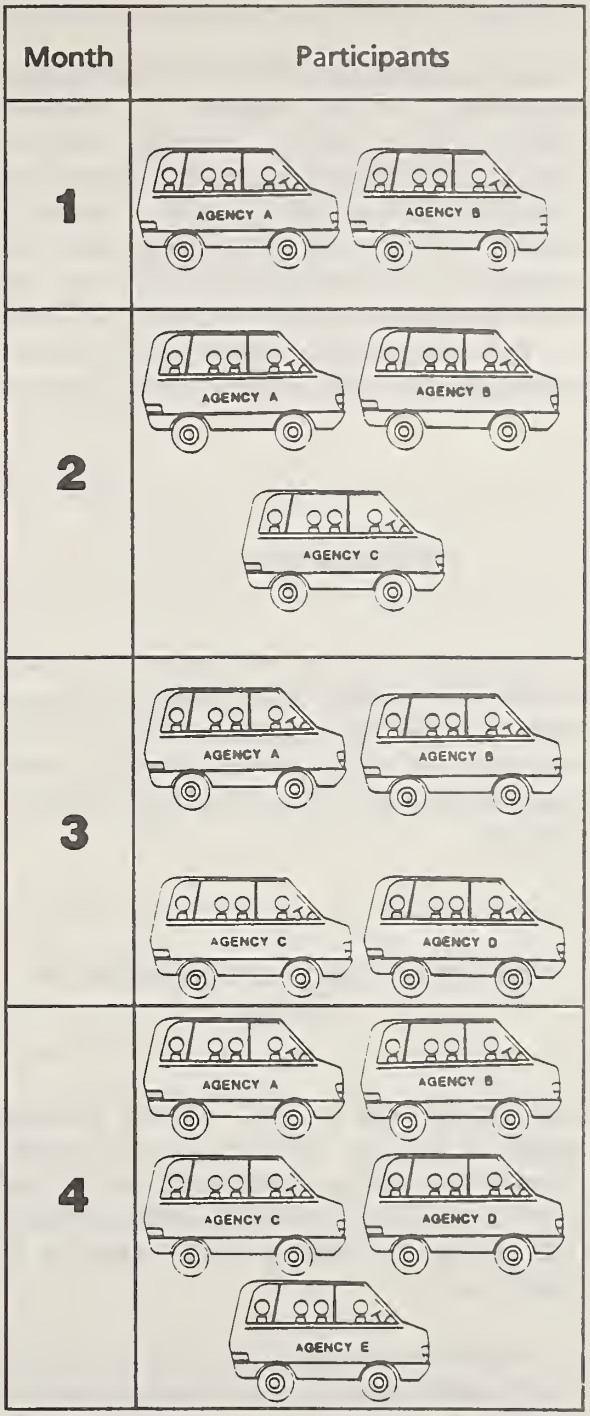
For some coordination programs it is a good idea to implement services or activities in phases. This is especially true for activities such as trip-sharing and vehicle sharing and especially if you plan to consolidate transportation services (Level III). This start up approach is often referred to in the business community as "managed growth." Growth which occurs too fast can result in a program with problems. This can have negative effects on other activities you may want to implement.

There are four (4) main ways to phase program start up:

- By organization;
- By geographical area;
- By type of service operation or client; and
- By client needs.

Remember that you need not use the same phasing basis for each of the programs you are planning to implement. You may, for example, use client needs to implement an information and referral program and geographical area to start your vehicle sharing program. Consider each, but use the one that makes the most sense to you.

FOUR MONTH PHASED IMPLEMENTATION BY ORGANIZATION



Also remember to allow time in your phase in plan for "fine-tuning" the activity. Starting too much too soon can result in disappointment among participants. You need to perform each phase well before moving forward with other phases.

By Organization

If you have three, four, five or more participants participating in your program it sometimes makes sense to begin a program with two participants and add one more at a time until all participants are in your program. Design a phased program that would begin with two participants in the first month, add one or two more participants in the third month, still more in the sixth month, and so on until all participants are fully included in your program.

By Geographical Area

For practices such as trip-sharing or vehicle sharing it sometimes make sense to phase in these practices by geographical area. This is especially true if your program involves a large geographical area, such as a county or group of counties.

By Type of Service Operation or Client

Still another way to phase in your program would be by either service type or client type. Examples of service types would be all fixed route services, all subscription services, all dial-a-ride services, all disabled, all pre-school or all elderly services.

In coordination projects that include multiple service modes, developing a phased start up plan by type of service may be your best choice. Be sure, however, to allow sufficient time for fine-tuning your program before adding each additional phase.

By Client Needs

One final phased approach would be service initiation based upon client or membership needs. For example, if in your area the needs of the elderly are being met but service to the non-elderly disabled is minimal, you may want to concentrate on the disabled as the first phase of your trip-sharing program (assuming you have elected to start a trip-sharing program). Service to low income persons may be the next group to be phased into your trip-sharing program. Once again, be sure to allow time to fine-tune your program before moving on to additional phases of implementation.

DESIGN YOUR PHASED START UP SCHEDULE

If you have decided that you will follow a phased implementation approach for one or more of your programs, do a time line schedule for each of those programs. The time line may be in weeks or months. Allow enough time between the implementation of one phase and the start of the next phase. The time in between should be used to monitor and make adjustments as needed. This is extremely important! If you do not take the time to fix problems as they occur, (you **will** face problems), participants can lose confidence.

It is also important to allow members and clients time to become adjusted to new services, policies, etc. before they must adjust to another change. Too many changes too fast, even if they are improvements, can cause confusion.

An example of a "Phased Implementation Time Line" is provided at the end of this Step.

CHECKLIST

- ☐ For each activity, have you decided if a phased start up is to be followed?
- ☐ For those activities that you want to phase in, have you decided the basis to be used for this phasing?
- ☐ For each phased start up, have you prepared a schedule in weeks or months?
- ☐ Does your time line schedule provide time for monitoring and making adjustments between the implementation of one phase and the start of the next?

If you can answer "yes" to each of the questions in the Checklist you are ready to move on to Step 4: Establish Joint Procedures and/or Policies.

STEP 3: PHASED IMPLEMENTATION

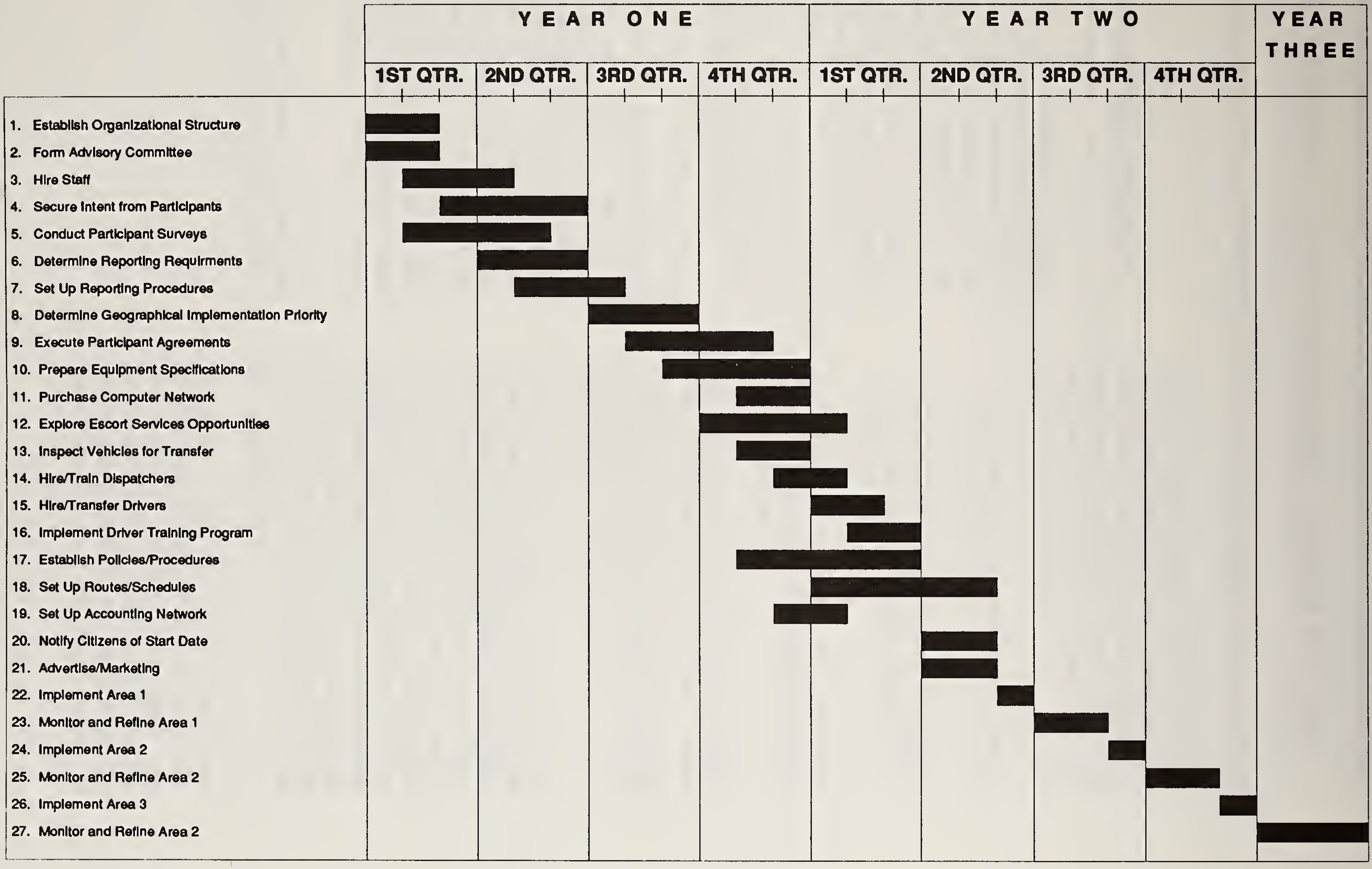
Supplementary Materials

- EXAMPLE OF A PHASED IMPLEMENTATION TIME LINE

AN EXAMPLE OF A PHASED IMPLEMENTATION TIME LINE

ACTIVITY: CONSOLIDATION / TWO YEAR PLAN

IMPLEMENTATION METHOD: BY GEOGRAPHICAL AREA



STEP 4: ESTABLISH JOINT PROCEDURES AND/OR POLICIES

WHO SHOULD READ THIS STEP?

If you have decided to coordinate transportation at any Level you will need to complete this Step. Prior to implementing your coordination effort it is important for all of the needed policies and procedures to be in place. Note that if you only have two or three participants this entire Step can likely be completed simply by holding a meeting of the participants and working through the process outlined in this Step together.

DECIDE WHICH PROCEDURES YOU WANT TO COORDINATE

Make a list of all of the policy and procedure issues that you can think of. Examples of operating policies or procedures include no-show and patron cancellation policies, driver wait-time policy, complaint resolution procedure, advance reservation procedure, inclement weather cancellation policy, and fare or donation policies. Examples of management and administrative policies and procedures would include such items as late payment penalties, notification of requested route changes or new clients/members to be added, changes in membership or client eligibility, etc.

Send the list to all participants. Ask them to add any item to your list that they feel other participants may wish to consider.

When you have received responses from all participants, re-work your list, adding the additional policies and/or procedures suggested by participants. This is your "master" list. Then recirculate the list to all participants. Ask them to:

- Check which of the policies/procedures they already have in place;
- Send to you a copy of each policy (both formal written and informal unwritten) that is in place;
- Check which of the policies/procedures they would be interested in developing jointly with other participants.

You can use the blank form at the end of this Step to complete the above task. Before sending the revised master list to the participants, just fill in the listing of all policies and procedures that you now have on your master list.

When you have received responses from all participants make another list that matches participants with those policies/procedures which are currently in place. Label this "List 1." Look at the "Example of List 1" provided at the end of this Step. Next, make a list that matches participants with policies/procedures that they would like to develop. Include both new policies and procedures as well as those to be amended to be consistent with other participants. Label this "List 2." Look at the "Example of List 2" at the end of this Step.

Using List 1, count the number of participants listed under each policy/procedure. Based upon the number of participants that already have each specific policy/procedure in place, rank the policies and procedures. Do this by placing the policy/procedure that the most participants already have in place, at the top of the list. Place the policy/procedure that the least number of participants have in place, at the bottom of the list.

Do the same rank ordering for List 2.

When you have completed this exercise you will know which participants have which policies and procedures in place. You will also know which polices and procedures participants are most interested in jointly developing. In addition, since you will have copies of all policies and procedures that are in place, you will be able to compare the differences and similarities.

From the two lists you will be in a position to decide which joint policies/procedures you should focus upon. The policy that has the greatest number of interested participants should become the first joint policy or procedure you develop.

IMPLEMENTATION STRATEGIES

In developing joint policies or procedures it is recommended that two or three be developed at a time. Do not try to develop all policies and procedures at the same time. Using logic, it is often wise to group certain policies/procedures. For example, no-show, cancellation and reservation policies and procedures can be grouped. Read each policy and procedure carefully and determine where they are alike and where they are different. Prepare a listing of the similarities and differences. You will need to get all participants together in a working session to work out the details for each policy or procedure. Your itemization of similarities and differences will be useful in that group working session.

CHECKLIST

- ☐ Have you surveyed all participants and made List 1 and List 2?
- ☐ Have you grouped policies/procedures into logical groupings?
- ☐ Have you made a list of similarities and differences of existing policies/procedures?

If you can answer "yes" to each of the questions in the Checklist you are ready to proceed to implement the coordination of joint policies and procedures. Start by getting the participants together in a working session to jointly develop each policy or procedure. Continue this process until you have developed all of the joint policies or procedures that are desired and that participants can agree upon.

STEP 4: ESTABLISH JOINT PROCEDURES AND/OR POLICIES

Supplementary Materials

- MASTER LIST OF POSSIBLE JOINT PROCEDURES
  - EXAMPLE OF LIST 1
  - EXAMPLE OF LIST 2

MASTER LIST OF POSSIBLE JOINT POLICIES AND PROCEDURES

INSTRUCTIONS: Please put a check in the appropriate boxes that apply to your agency. Be sure to fill in the space provided for the name of your agency. Return your completed form by ____________ to ______________________________, ______________________________, ______________________________, ____________.

Thank you for your assistance.

POLICY/PROCEDURE	ALREADY HAVE THIS POLICY/PROCEDURE IN PLACE	WOULD BE INTERESTED IN DEVELOPING THIS POLICY/PROCEDURE WITH OTHER AGENCIES
1. ______________________	☐	☐
2. ______________________	☐	☐
3. ______________________	☐	☐
4. ______________________	☐	☐
5. ______________________	☐	☐
6. ______________________	☐	☐
7. ______________________	☐	☐
8. ______________________	☐	☐
9. ______________________	☐	☐
10. ______________________	☐	☐
11. ______________________	☐	☐
12. ______________________	☐	☐
13. ______________________	☐	☐
14. ______________________	☐	☐

Add additional policies or comments to the back of this form.

BE SURE TO WRITE THE NAME OF YOUR AGENCY HERE: ______________________________

EXAMPLE OF LIST 1

POLICIES/PROCEDURES WHICH ARE CURRENTLY IN PLACE

POLICY/PROCEDURE	PARTICIPATING AGENCIES						TOTAL
	COUNCIL ON AGING	MH/MR	PUBLIC TRANSIT	HEAD START	VETERANS ADMIN.	ASSOC. FOR THE BLIND	
Cancellation	X		X				2
No-Show	X		X	X			3
Advance Reservation	X	X	X	X	X	X	6
Inclement Weather	X	X	X	X	X	X	6
Fare			X		X		2
Donation	X						1
Priority Trip	X	X			X	X	4

EXAMPLE OF LIST 2

POLICIES/PROCEDURES WHICH YOU WOULD LIKE TO DEVELOP JOINTLY WITH OTHER AGENCIES (EVEN IF YOU CURRENTLY HAVE A POLICY)

	PARTICIPATING AGENCIES						
POLICY/PROCEDURE	COUNCIL ON AGING	MH/MR	PUBLIC TRANSIT	HEAD START	VETERANS ADMIN.	ASSOC. FOR THE BLIND	TOTAL
Canceilation	X	X	X	X	X	X	6
No-Show	X	X	X		X	X	5
Advance Reservation	X		X			X	3
Inclement Weather	X	X	X	X	X	X	6
Fare							0
Donation		X			X	X	3
Priority Trip	X	X			X	X	4

STEP 5: SET UP A PERFORMANCE MONITORING PROGRAM

WHO SHOULD READ THIS STEP?

If you have decided to coordinate trip-sharing, vehicle sharing, or to implement a "Level III - Consolidation network, you will need to complete this Step.

IDENTIFY THE PERFORMANCE MEASURES YOU WANT TO MONITOR

Performance monitoring is very important if any of the activities you want to implement involve on-street vehicle operations. There are many ways to measure operating performance. For example, how many passengers per vehicle hour are being carried? How many passengers are carried per day per vehicle? How much does it cost to provide one passenger trip?

You will first need to decide which of the many performance measures you want to monitor. At the end of this Step is a list of some of the more common measures that can be monitored. The method to calculate each is also shown. Review the list and decide which measures you want to monitor.

SET UP DATA COLLECTION PROCESS

If you are going to measure performance you will need to collect uniform data. All participants as well as the service provider or providers, must agree upon and use consistent definitions of each data item (e.g. passenger one-way trip, "live" operating miles, operating revenues, and expenses, etc.) so that performance monitoring, analysis, and comparison can be valid and useful. For example, if any of the measures to be used are calculated using costs, you will need to collect and provide cost information. This can be difficult, especially in a program where one or more of the service providers are human service agencies or even small private for-profit companies. Many agencies and small companies do not maintain records of individual cost categories. In order to generate meaningful data it is necessary to determine the "fully allocated costs" for transportation service. This may require that agencies and/or small companies set up a more detailed accounting system. For example, if an agency director or company owner spends 16 hours each month on transportation issues (ie. hiring drivers, attending transportation meetings, etc.) some of the director's or owners salary and benefit costs would need to be allocated to transportation.

If you are going to use a performance measure involving vehicle miles you will need to be sure that all providers are collecting these miles. A vehicle log will be needed. If you are going to use vehicle hours, you will need to capture this information on a vehicle log. You must also decide whether or not your performance measures will be based upon "total" vehicle miles (and hours) or "live" vehicle miles (or hours). When you are using "trips" be sure to specify that you are talking about "one-way passenger trips", not "round trips." When you initiate the data collection process this needs to be made clear to all providers.

Many forms are available for collecting the needed information. Once you have decided which information you need to collect, contact either funding organizations or ODOT for further assistance or copies of useful data collection forms.

CALCULATING PERFORMANCE MEASURES

Calculating performance measures is reasonably simple. You will be dividing one number by another. Think of the word "per" as a dividing sign (÷). As an example, from the list of common performance measures at the end of this Step, consider "cost per passenger trip". This is written

Cost divided by Trips.

or

$$\frac{\text{Cost}}{\text{Trips}} (\div)$$

Performance measure calculations can be easily set up on a computer. Once set up, you need only enter in the necessary data, such as the number of trips, the number of miles, etc. The performance measures can then be calculated by the computer.

An example of a Performance Monitoring Report is presented at the end of this Step.

CHECKLIST

- ☐ Have you identified the performance measures you want to monitor?
- ☐ Have you developed a common definition for each of the data units you will need to calculate performance?
- ☐ Have you set up a process to collect the needed information?
- ☐ Do you understand how to set up the arithmetic computations?

If you can answer "yes" to each of the above questions you are ready to proceed in the implementation of a performance monitoring program.

STEP 5: SET UP A PERFORMANCE MONITORING PROGRAM

Supplementary Materials

- PERFORMANCE MEASURES COMMON IN THE TRANSPORTATION INDUSTRY
- AN EXAMPLE OF A PERFORMANCE MONITORING REPORT

PERFORMANCE MEASURES COMMON IN THE TRANSPORTATION INDUSTRY

COMMON COST MEASURES

Cost Per One-Way Passenger Trip (Total Cost ÷ Total One-Way Trips)
Cost Per Passenger Mile (Total Cost ÷ Total Passenger Miles)
Cost Per Vehicle Mile (Total Cost ÷ Total Vehicle Miles)
Cost Per Vehicle Hour (Total Cost ÷ Total Vehicle Hours)

COMMON REVENUE MEASURES

Revenue Per Passenger Trip (Total Passenger Revenue ÷ Total Passenger One-Way Trips)
Revenue Per Passenger Mile (Total Passenger Revenue ÷ Total Passenger Miles)
Revenue Per Vehicle Mile (Total Passenger Revenue ÷ Total Vehicle Miles)
Revenue Per Vehicle Hour (Total Passenger Revenue ÷ Total Vehicle Hours)
Recovery Ratio (Total Passenger Revenue ÷ Total Cost)

COMMON DEFICIT MEASURES

Deficit Per Trip [(Total Cost - Total Passenger Revenue) ÷ Total One-Way Trips]
Deficit Per Passenger Mile [(Total Cost - Total Passenger Revenue) ÷ Total Passenger Miles]
Deficit Per Vehicle Mile [(Total Cost - Total Passenger Revenue) ÷ Total Vehicle Miles]
Deficit Per Vehicle Hour [(Total Cost - Total Passenger Revenue) ÷ Total Vehicle Hours]

COMMON PRODUCTIVITY MEASURES

One-Way Trips Per Vehicle Mile (Total One-Way Trips ÷ Total Vehicle Miles)
One-Way Trips Per Vehicle Hour (Total One-Way Trips ÷ Total Vehicle Hours)
One-Way Trips Per Vehicle Per Operating Day [Total One-Way Trips ÷ (Number Vehicles x Total Operating Days)]
Vehicle Hours Per Vehicle Per Operating Day [Total Vehicle Hours ÷ (Number of Vehicles x Total Operating Days)]
Vehicle Miles Per Vehicle Per Operating Day [Total Vehicle Miles ÷ (Number of Vehicles x Total Operating Days)]
One-Way Trips Per Operating Day (Total One-Way Trips ÷ Number of Operating Days)

OTHER MEASURES

Vehicle Miles Per Hour (Total Vehicle Miles ÷ Total Vehicle Hours)
Average Trip Length (Total Passenger Miles ÷ Total One-Way Trips)
Vehicle Miles Consumed Per One-Way Trip (Total Vehicle Miles ÷ Total One-Way Trips)

EXAMPLE OF
PERFORMANCE MEASURES

	JULY 1990	AUGUST 1990	SEPT. 1990	OCT. 1990	NOV. 1990	DEC. 1990	JAN. 1991	FEB. 1991	MARCH 1991	APRIL 1991	MAY 1991	JUNE 1991	TOTAL
AVER. REVENUE VEH. MILES/DAY	735.95	928.22	876.53	827.00	977.15	841.35	884.82	957.32	1046.10				883.89
AVER. REVENUE VEH. HOURS/DAY	43.67	49.48	83.11	50.09	66.45	61.85	69.00	61.37	47.29				56.64
AVER. FARE PASS./DAY	26.14	22.78	10.26	8.96	12.70	11.25	8.59	7.79	11.38				13.45
AVER. 1/2 FARE PASS./DAY	180.29	184.57	200.79	193.13	198.20	179.70	176.68	200.74	187.43				188.74
AVER. TOTAL PASS./DAY	206.43	207.35	211.05	202.09	210.90	190.95	185.27	208.53	198.81				202.19
AVER. REV. VEH. MILES/DAY/VEH.	73.60	82.82	87.65	82.70	97.72	84.14	88.48	95.73	104.61				88.39
AVER. REV. VEH. HOURS/DAY/VEH.	4.37	4.95	6.31	5.01	6.65	6.19	6.90	6.14	4.73				5.66
AVER. TOTAL PASS./DAY/VEH.	20.64	20.73	21.11	20.21	21.09	19.10	18.53	20.85	19.88				20.22
AVER. PASS./REV. VEH. HOUR	4.73	4.19	3.34	4.03	3.17	3.09	2.69	3.40	4.20				3.57
AVER. ADMIN. COST/REV. VEH. MI.	$0.64	$0.48	$0.50	$0.22	$0.53	$0.43	$0.39	$0.62	$0.42				$0.47
AVER. OPER. COST/REV. VEH. MILE	$1.14	$1.12	$1.08	$0.98	$1.48	$1.31	$0.67	$1.83	$1.25				$1.21
AVER. TOTAL COST/ REV. VEH. MILE	$1.78	$1.59	$1.59	$1.19	$2.01	$1.75	$1.06	$2.45	$1.67				$1.67
AVER. ADMIN. COST/REV. VEH. HOUR	$10.77	$7.95	$7.00	$3.60	$7.76	$5.91	$4.99	$9.74	$9.35				$7.26
AVER. OPER. COST/REV. VEH. HOUR	$19.20	$18.74	$15.04	$16.11	$21.73	$17.84	$8.65	$28.51	$27.62				$18.81
AVER. TOTAL COST/REV. VEH. HOUR	$29.97	$28.69	$22.04	$19.71	$29.49	$23.76	$13.64	$38.25	$36.97				$26.07
AVER. ADMIN. COST/PASS.	$2.28	$1.90	$2.09	$0.89	$2.45	$1.91	$1.86	$2.87	$2.22				$2.03
AVER. OPERATING COST/PASS.	$4.06	$4.47	$4.50	$3.99	$6.85	$5.78	$3.22	$8.39	$6.57				$5.27
AVER. TOTAL COST/PASS.	$6.34	$6.37	$6.59	$4.88	$9.29	$7.69	$5.08	$11.26	$8.79				$7.30
AVER. REV. SERVICE MPH	16.85	16.74	13.89	16.51	14.71	13.60	12.82	15.60	22.12				15.60
COST RECOVERY	11.26%	10.92%	11.53%	17.64%	9.72%	11.65%	16.79%	7.57%	9.67%				11.20%
% ADMIN. TO OPER. COST	56.1%	42.4%	46.5%	22.4%	35.7%	33.1%	57.7%	34.2%	33.9%				38.6%
AVER. REV./PASS.	$0.71	$0.70	$0.76	$0.86	$0.90	$0.90	$0.85	$0.85	$0.85				$0.82
VEHICLE MILES/PASS.	3.57	3.99	4.15	4.09	4.63	4.41	4.78	4.59	5.26				4.37
VEHICLE MINUTES/PASS.	12.7	14.3	17.9	14.9	18.9	19.4	22.3	17.7	14.3				16.6
PERCENT REVENUE PASS.	*12.7%*	*11.0%*	*4.9%*	*4.4%*	*6.0%*	*5.9%*	*4.6%*	*3.7%*	*5.7%*	*ERR*	*ERR*	*ERR*	*6.7%*

STEP 6: DEVELOP A FINANCING PLAN

WHO SHOULD READ THIS STEP?

If you are planning on coordinating any of the items described in Level I, II or III and you expect to incur costs, you must complete this Step.

THE FINANCING PLAN

In either Chapter 4, 5 or 6, depending upon the Level of coordination you chose to implement, you developed a budget. You must now determine how the costs will be paid and where the funds will come from. Answer the following questions:

- Is there any funding available for paying the costs?
- If there is funding, is our program eligible?
- Can funding to cover any of the expenses be solicited from the private sector?
- Can any of the funds be solicited from any community organization?
- Are participants willing to contribute and if so, what method can be used to fairly allocate the coordination expenses?
- Will local government provide an allocation to help cover the costs?
- Can any of the expenses identified be covered by "in-kind" contributions either by the participants or local government?

SECURE FUNDING

Depending upon the complexity of your program, and answers to the above questions, you will need to proceed to secure the funds. This may involve the preparation and submission of one or more grant applications and discussions with participants and local government. Be sure that you obtain written commitments for either funds or in-kind contributions. Remember: Funding sources are limited and you may not be awarded your full request. Make sure that you know the total amount of funds awarded to your program.

COORDINATE FUNDING WITH PROGRAM ACTIVATION

Once you have secured funding, time the implementation of the coordination program with the terms and conditions attached to any funds committed. Do not begin a program that will cost money without first having secured the funding!

CHECKLIST

- ☐ Have you identified sources of funds?
- ☐ Have you secured those funds?
- ☐ Do you have written confirmation that the funds will be available?
- ☐ Have you coordinated implementation with when the funding will be available?

If you can answer "yes" to all of the questions in this Checklist you are ready to proceed to Step 7: Notification of New Service or Programs.

STEP 7: NOTIFICATION OF NEW SERVICE OR PROGRAMS

WHO SHOULD READ THIS STEP?

Everyone!

PURPOSE

Prior to actually implementing any change in services, policies, procedures or other program activities, everyone that will be affected must be notified. The notification should contain a description of why a change is being made, and it should explain in detail just what the change will mean to each person affected. It is important that your notice be written clearly and to the point. Any change in procedures should be explained in detail. Try to put yourself in the place of the person who will receive your notice. Try to avoid points which aren't important. Do not try to overly justify the change.

WHO WILL GET THE NOTICE?

This depends upon your program. If the change only affects agencies, then only agencies need to get the notice of implementation. It is a good idea to send the notice to the agency heads and to also send a copy to staff that you know will be affected by the change. If your program also affects clients or memberships you must be sure that they are notified as well. Each participant should be responsible for communicating with their membership. However, you can make it easier by drafting a suggested notice which participants can then retype on their letterhead.

It is important not to forget anyone. As you complete some of the earlier tasks, be sure to keep a running list of who must be contacted regarding each activity or program that you are going to coordinate. <u>Don't forget local elected officials</u>. They need to know what is going on in your community.

CHECKLIST

- ☐ Do you have a list of persons to be notified for each program?
- ☐ Have you prepared a letter to these persons?
- ☐ If appropriate, have you given participants an example of a notice for them to send to their membership?

If you can answer "yes" to each of the questions in the Checklist you are ready to go to Step 8: Begin Phased Implementation.

STEP 8: BEGIN PHASED IMPLEMENTATION

WHO SHOULD READ THIS STEP?

Everyone!

READY, SET, GO!

If you have followed this handbook and if you have completed each of the steps that apply to your program, you are ready to begin. First, send your notices out to all affected participants and individuals. Try to do this at least two weeks in advance of implementing any change. For changes which will directly affect agency membership or the general public, prepare and distribute a press release. In writing your press release remember the ingredients for a good release:

- Who?
- What?
- When?
- Where?
- Why?

MONITORING

It is very important that you monitor any change. The purpose of monitoring is to make you aware of the positive and negative effects of change. Keep in communication with participants. If possible, talk to the membership.

Your close watch over the effects of changes and a demonstration of your desire to get feedback will likely make changes and/or new activities more acceptable to others!

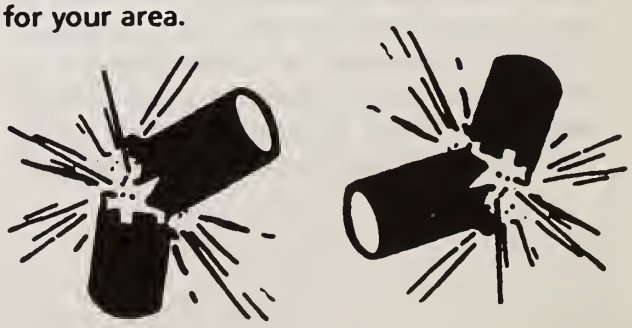
MAKE ADJUSTMENTS

If you are actively monitoring your implementation program you will hear about or see problems as they arise. When you discover a problem it is critical that you make adjustments to correct the situation. <u>Your responsiveness at this stage often makes the difference between failure and success</u>. When you see a problem decide what action or actions are necessary to fix the problem. Then take action!

CHECKLIST

- ☐ Have you sent notices to all affected individuals and participants?
- ☐ If the public will be affected, have you issued a concise news release?
- ☐ Do you know what you will be looking for and how you will look, to discover strengths or weaknesses in your program?
- ☐ Do you have a plan to respond to problem areas in a timely manner?

If you can answer "yes" to each of the questions in the Checklist you are at the beginning of a new coordination program for your area.



APPENDICES

GLOSSARY OF TERMS

GLOSSARY OF TERMS USED IN THE COORDINATION HANDBOOK

Accessibility	The ease with which a transportation system, including related facilities, can be approached, especially by persons with a disability.
Ambulatory	Capable of walking.
Barriers	Real or perceived obstacles to implementing a coordination program.
Brokerage	One agency, organization or company which oversees all coordination efforts but contracts with others to operate vehicles and provide on-street operations.
Caretaker	The party that assumes responsibility for the care of specified equipment, such as a vehicle.
CDL	Commercial Drivers License - Effective in April of 1992, all persons who commercially operate vehicles larger than 16 passengers (including the driver) must pass a specific test and obtain a specific license.
Client Dumping	Term used to describe when an agency or organization fails to pay for travel for its members, causing these costs to be paid for by another agency or organization (or funding source).
Consolidation	A form of coordination (Level III) where the resources of two or more participants are joined together for the benefit of all participants.
Cooperation	A form of coordination (Level I) where two or more persons or agencies work together toward a common end.
Coordination	A group of people working together to expand one or more transportation related activities through joint action for getting increased benefits.
Coordinator	The person (or agency) responsible for leading a coordination program or otherwise causing coordination to occur.
Criteria	A standard upon which judgement can be based.
Deadhead	The time when a vehicle is operating without any passengers on board.
Deficit	A deficiency such as in funding where expenses exceed revenues.
Detailed Financial Information	Includes a line item, fully allocated accounting of expenses and revenues.
Entity(ies)	Agencies, organizations, institutions and private companies that may be included in a coordination program.

GLOSSARY OF TERMS USED IN THE COORDINATION HANDBOOK
(Continued)

Fleet Roster	A listing of pertinent characteristics of a group of vehicles belonging to a single provider or group of providers.
Grantor	An agency or organization from which money is received, usually requiring the submission of an application and conforming to eligibility requirements.
Inter-Agency Council	A group of persons representing a group of entities that have agreed to participate in a coordination program and who provide guidance and advice to the coordinator.
Inter-Agency Task Force	A group of interested entities who come together for the purpose of planning a coordination program.
Inter	Between or among such as between counties (inter-county).
Intra	In, within or inside of such as wholly within a county (intra-county).
Joint Use Arrangement	A form of coordination (Level II) where one or more of the resources belonging to one participant are available to other participants according to agreed upon terms and conditions.
Liability	Legal responsibility.
Live Mile/Hours	The time when a vehicle is operating either on a scheduled route or with passengers on board.
Local Area Network (LAN)	A group of computers linked together for the purpose of sharing computing resources, such as printing, data files, software, etc.
Manifest	A form on which all transportation services for a day are recorded and where information about the trips to be provided are listed.
Myths	False beliefs or impressions which are not based upon facts.
ODOT	The Ohio Department of Transportation.
On-Going Loan Arrangement	When the owner of capital equipment, such as a vehicle, agrees to let another provider use the vehicle, usually for the remaining useful life of the vehicle.
Operating Characteristics	The type of service provided, the size and geographical location of the service area, the miles and hours of service provided, etc.
Participant(s)	An agency, organization, institution or company that elects to join a coordination program.

GLOSSARY OF TERMS USED IN THE COORDINATION HANDBOOK
(Continued)

Party(ies)	Those agencies, organizations, institutions and companies that are considering or are participating in a coordination program.
Planners	Those persons who formulate a method or methods by which a desired goal can be reached.
Providers	Term used for those agencies, organizations or companies that actually provide on-street vehicle operations.
Purchasers	Term used for those agencies, organizations or companies that do not operate on-street vehicle operations but that do purchase on-street service from another agency, organization or company.
Questionnaire	A form which is used to collect information and ask questions.
Request for Bid (RFB)	A request for a product or service that will be purchased primarily based upon the lowest price.
Request for Proposal (RFP)	A request for qualifications, cost and approach where qualifications and approach are more important than cost, usually associated with a professional service.
Revenue Recovery	The amount of money that is recovered in the form of fares and/or contract revenues towards off-setting the costs of operating transportation service.
Rider Profiles	Those features which characterize a particular group of patrons, such as age.
Single Provider	One agency, organization or company operates all vehicles, hires drivers and provides all services.
UMTA	The Urban Mass Transportation Administration.
Underwriter	Term used in the insurance industry to indicate the agency or company responsible for guaranteeing payment in the event of an insurance claim.
Unit Rate	Refers to a single unit of service such as a vehicle mile, vehicle hour, passenger trip or passenger mile.
Vehicle Utilization Chart	A chart that shows the times of the day, the days of the week and sometimes the geographical service area that each vehicle within a fleet is assigned to operate.

ADDITIONAL RESOURCE MATERIALS

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Cost Analysis for Social Service Agency Transportation Providers
Center for Transportation Research
US Department of Transportation, January 1981

Cost Saving Methods for Special Transportation Programs
US Department of Transportation, December 1988

Driver Selection and Training for Human Service Agencies
US Department of Transportation, May 1980

Effects of Fare Changes on Bus Ridership
American Public Transit Association, May 1991

Expanding the Use of Private Sector Providers in Rural, Small Urban and Suburban Areas
US Department of Transportation, October 1987

Fully Allocated Cost Analysis Guidelines for Public Transit Providers
US Department of Transportation, 1986

Maintenance Manager's Manual for Small Transit Agencies
US Department of Transportation, March 1988

Planning and Coordination Manual
US Department of Health, Education , and Welfare, and
US Department of Transportation, January 1979

Planning Guidelines for Coordinated Agency Transportation Services
US Department of Transportation and
US Department of Health and Human Services, April 1980

Private Sector Contracting for Transit Services: OPERATOR HANDBOOK
International Taxicab Association
Urban Mass Transportation Administration, December 1985

Private Sector Contracting Manual for Rural and Small Urban Public Transportation Providers
International Taxicab Association
National Association for Transportation Alternatives
Urban Mass Transportation Administration, November 1988

Shared Ride Paratransit Performance Evaluation Guide
US Department of Transportation, September 1990

Use of Volunteers in the Transportation of Elderly and Handicapped Persons
US Department of Transportation, January 1984

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TECHNOLOGY SHARING

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