A Guide for Implementing Coordinated Transportation Systems

Ohio Department of Transportation
Office of Public Transportation

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"An Equal Opportunity Employer"
“A GUIDE FOR IMPLEMENTING COORDINATED TRANSPORTATION SYSTEMS”

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(this page updated July 2003)
In October 1991, the Ohio Department of Transportation published “A Handbook for Coordinating Transportation Services” (Handbook). Since that time many transportation providers, human service agencies representatives, and other Handbook users have offered comments. Some desired that the Handbook be expanded. Others desired further information to implement coordinated transportation programs.

When in 1997 ODOT planned the update of the 1991 Handbook, the idea of a companion document to assist communities with the implementation of their plans was conceived. This Guide is a supplement to the Handbook, and is designed to provide specific guidance during implementation. It may also be used as a resource during the planning stage. The Guide provides literature references where additional information can be found when such resources exist. Actual examples of documents and materials that can be used are also included. Readers are encouraged to secure and use the additional references as needed.
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INTRODUCTION
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1.1 WHO SHOULD READ THIS CHAPTER?

All persons who have used the "Handbook for Coordinating Transportation Services" and are starting to implement a coordinated transportation program need to read this chapter. It provides important information about how to use this Guide. It also provides a checklist to be sure you are ready to begin implementing your coordination program. A poor start can set your coordination effort back several years. You must be prepared to succeed.

1.2 IMPLEMENTATION RESPONSIBILITY

Since you are reading this Guide you must be the person responsible for implementation. If you are not the person responsible, get a copy of this Guide to the implementation leader.
1.3 GETTING STARTED - HAVE YOU PLANNED YOUR COORDINATED SYSTEM?

You should begin with a written coordination plan. The plan should describe fully what you will be doing. A written plan also ensures that should you decide to take a new job, the person assigned to continue your work will understand what needs to be done. If you have not already developed a plan, obtain Ohio Department of Transportation’s Coordination Handbook. Follow the handbook, create your plan, and then return to this Guide.

1.4 GUIDE ORGANIZATION

This Guide is organized into ten (10) chapters, including this Introduction. Chapter 2 explores using committees for the implementation process. Chapter 3 provides guidance on organizational and management structures. Chapter 4 addresses financial planning needs and contract rate development. In Chapter 5, information on important grant and program administration requirements is provided. Chapter 6 contains guidance on creating necessary operational policies. Risk management is addressed in Chapter 7. Chapters 8 and 9 address computers and software and staffing requirements. Chapter 10 addresses the purchase of equipment and maintenance.

Examples of policies and other materials are included where appropriate. These are referenced in the text and provided at the end of each chapter as Supplemental Items.

"Additional References" are listed as well. These other sources are listed immediately following each topic addressed in this Guide. For additional information or a copy of most documents referenced, contact the CTA/RTAP hotline at (800) 527-8279 or the Federal Transit Administration’s librarian at (202) 366-0201.

At the beginning of each chapter is a quick reference list of the topics included. Turn to those topics where you believe you will need help. Some topics may not apply, but you can still benefit from reading the information. It may provide additional ideas. Remember, a plan serves as the framework. Within the framework, refinement is an absolute necessity and refinement never ends.

1.5 OBTAINING REFERENCE DOCUMENTS

Most documents and reports referenced in this Guide were in print at the time this Guide was prepared. Readers should contact the referenced source(s) for copies. Should the documents not be available from the resources, copies may be available from ODOT by calling (614) 466-8955.

1.6 WHAT DO YOU DO FIRST?

Unlike planning a coordinated system, there is no magic sequence for implementation activities. You can be working on multiple activities at the same time. For example, persons who are implementing a cooperation or a joint use coordination program may be developing a joint purchasing program and at the same time working to establish a coordinated driver training program. If you are implementing a fully consolidated coordinated system you may be working on setting up a fare structure while you are in
the process of forming a new private non-profit organization to be the coordinator. You may also be conducting an inventory of all travel patterns in order to reorganize passenger assignments to create more efficiency and at the same time, setting up your financial ledgers.

Within each topical area (e.g., fare structures and agency rates) there is more order to the sequencing of activities. For the fare structure example, you will first need to ensure that you have developed a fully allocated cost structure. You will decide on a billing structure and estimate the number of units to be consumed. You can then determine the projected cost of each unit. Depending on the level of subsidy available, you will be able to estimate what rate you will need to charge per unit. You will need to adjust the initial rate once you have actual data. Thus, there is an order to the events that must occur to develop a fare structure. This sequencing will apply to most, if not all, of the areas you will address during implementation of a consolidated system. Review all of the topics in this Guide. Then use your plan to determine what you will work on first.

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### 1.7 CHECKLIST

If you can answer "yes" to the following questions you are ready to use this Guide.

- [ ] Are you the implementation leader?

- [ ] Do you have a written plan for coordinating transportation services?
CHAPTER 2

COMMITTEE STRUCTURES
## CHAPTER 2

**COMMITTEE STRUCTURE**

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CHAPTER 2
COMMITTEE STRUCTURES

2.1 USING AN IMPLEMENTATION COMMITTEE

Since you are implementing a coordination program, two or more organizations must be involved. This means that other persons will need to provide input. They will have a vested interest in your success. Now is the time to recruit implementation committee members.

This committee may be the same as the one used to develop the plan. Sometimes a different committee composition is better. Often, one or more sub-committees are needed. How do you decide?

Committees can be used effectively to expand the stakeholder population; create buy-in among operations staff; and share the implementation workload. Committees can also be an influential force for moving implementation along.

Depending on the coordination program being implemented (Cooperation, Joint Use, or Consolidation) your implementation committee needs will vary. As a general rule, the need for a committee increases with the formality of your program.

HINT: There may already be a committee in your area that could serve as the implementation committee. There may also be established committees which could serve as sub-committees. Find out about existing committees in your area and use them whenever possible.

2.1.1 Cooperation

In a cooperation program, the need for an implementation committee is related to the number of participants and the extent of formality. If you are only planning to coordinate bulk purchases and you will be the coordinator, you will likely not need an implementation committee. If multiple persons have implementation responsibilities, a committee is essential. Implementation activities need to be coordinated among those performing the various implementation tasks.

2.1.2 Joint Use

Joint Use coordination may or may not incorporate formal arrangements. As with cooperation, if multiple persons have different implementation responsibilities a committee is needed. The more formal the joint use arrangements become, the greater the need for a committee.

You should have made a decision regarding using a committee while completing Step 2 in Chapter 5 of the Handbook. If you decided against a committee, rethink that decision now. If a committee appears to be needed, form your committee now.
2.1.3 Consolidation

If you are implementing a fully consolidated system you will need to create two committees. If you are establishing a new entity this needs to occur before beginning Step 10 in Chapter 6 of the Handbook. This committee is referred to as the "Strategic Action Committee." Before beginning Step 11 in Chapter 6 of the Handbook, must create what is referred to as the "Operations Sub-Committee." The roles each committee will play are described in the following sections.

2.2 THE STRATEGIC ACTION COMMITTEE

Your coordination efforts will require many policy decisions. For example, you will need to activate the organizational structure. Therefore, you will need to obtain approvals from participating agency directors, boards, councils and possibly county commissioners. You may even need to create a new organization. Persons in positions to make decisions must be on board in order to effect these high level policy decisions. These are also persons who can make things happen.

In addition to making decisions and initiating coordination implementation, this same committee is used to set the agenda for the operations sub-committee. These officials should form your strategic action committee. By now you likely know just who to recruit.

HINT: Too often the responsibilities of the Strategic Action Committee are delegated to other staff. The director or key person becomes involved only when the coordinated system is activated. DO NOT let this happen to you. Your coordination efforts could become derailed.

2.3 THE OPERATIONS SUB-COMMITTEE

As your coordination program is implemented, you will need to resolve many basic issues. These issues will be much more detailed than what may have been addressed during your planning work. You will need persons who understand operations. You may even need to convince operations staff to support the coordination program. Frequently, supervisors, dispatchers and drivers balk at coordination which to them is "change." They must be on your team, and you must help them to think "outside the box."

Persons on your strategic action committee may or may not be the best persons for setting operational policies. In addition to those operating policies contained in Step 11 of the Handbook, a few additional examples are listed.

- What should be included in the driver qualifications?
- What training is to be provided?
- Who will provide training?
- How should on-time performance be measured?
- For demand response services, what should the pick up window be?
- What type of payment structure will be best?

These and many other operational recommendations are often best made by operations staff.

Do you need a sub-committee to work on operational policies? If so, call this your operations sub-committee. Form it now!
**HINT:** Assume you decide you need an operations sub-committee. Their recommendations will still need to be presented to the strategic action committee. This paves the way for a formal policy adoption.

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**2.4 ORGANIZING THE IMPLEMENTATION PROCESS - THE NEXT STEP**

Read through Chapters 3 through 10 of this guide, skipping those chapters or sections which do not appear to apply to your coordination program. As you read, make a list of items for consideration by your committees. Segregate the list according to items for the Implementation Committee, the Strategic Action Committee, and the Operations Sub-Committee.

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**2.5 CHECK LIST**

(Check if you can answer "yes" to the following questions and go on to Chapter 3 of this Guide:)

- [ ] Do you know whether or not you need a strategic action committee?
- [ ] Are the persons on the strategic action committee in positions to make decisions which will be adopted?
- [ ] Do you know whether or not you need an operations sub-committee?
- [ ] If you determined that you need one or two committees, do you know who will be on the committee?
- [ ] If you are going to use one or two committees have you recruited committee members and have the members committed to assist?
CHAPTER 3

ORGANIZATIONAL STRUCTURES
CHAPTER 3

ORGANIZATIONAL STRUCTURES

3.1 DO YOU NEED TO CREATE AN ORGANIZATIONAL STRUCTURE?

If you are implementing a cooperation or joint use coordination program, a separate organizational structure is generally not required. All consolidated programs, however, do require an organizational structure. All systems that require or desire an organizational framework should review this chapter.

In Step 2, Chapter 6 of the Handbook, you should have determined the appropriate organizational structure. If that decision was made, and there have been no occurrences to warrant reconsideration, this chapter will not apply to you. Move on to Chapter 5 if you and your committee members are comfortable with the planned structure. But first, be sure to check with your committee to be certain that they are satisfied with the organizational structure selected.

For a variety of reasons, you may not have settled on the appropriate organizational and management structures during the planning process. It is also possible that between completion of your plan and the time you arrive at this point, local conditions have changed. Unforeseen changes in agency leadership, the political climate, or the desire of another agency to join the coordination effort, may warrant reconsideration of organizational issues.

If you do not yet have an organizational structure in place, this chapter is for you. Do not skip this chapter if you or other committee members are not completely comfortable with the planned organizational structure.

3.2 ORGANIZATIONAL POLICY ISSUES

There are many organizational options from which to choose. It is important to understand that there is no single correct structure. Successful examples of each option can be found.

You may already have an ideal organizational structure already in place, but if that is uncertain, you should evaluate the alternatives. You need a consensus among stakeholders.

Typically, it is best for the selected organizational structure to have only one mission: the coordination of transportation services. Yet, there are many examples of multi-purpose organizations that have achieved coordination success. The correct choice is the one that will work for you.

This section explores some of the most prominent organizational structures. Some pros and cons of each are outlined. Related issues (i.e. obtaining legal authority for a new structure) are also addressed. Guidance is provided to help you progress with the organizational structure that you need.

If you believe you need to complete this process, share this chapter with your strategic action committee. You may want to reread Chapter 6 of the Handbook. Remember, use existing organizational structures when possible.
3.3 ORGANIZATIONAL OPTIONS

Six organizational options are described in this chapter. Typical pros and cons of each are listed. When reviewing the options (and pros and cons), apply each to your situation. The organizational structure for you may not be immediately clear. You may need to go through the process of elimination. You may also discover that two or more options would work equally well. Check with your strategic action committee members to see if they reach the same conclusions.

Existing Department of Local Government

Any one of several organizational options in city or county government are worth considering. Public works, transportation, mental retardation and developmental disabilities, departments of aging, Family and Children First councils, and other related departments provide examples.

Some of the main "pros" are:

- Saves implementation time;
- Infra-structure is already in place (e.g. insurances, purchasing and personnel policies, county attorneys, grants departments, etc.);
- Access to support services is usually available (e.g. financial/accounting department);
- Policy making processes are established;
- Management hierarchy is in place;
- Office expenses can be shared; and
- May provide access to other resources (e.g. fuel purchase, maintenance, insurance pools, clerical support, etc.).

A few "cons" are:

- May not receive needed attention from management hierarchy;
- Agencies not under the overall organizational umbrella of the local government may need to go through the competitive procurement process to participate;
- Will be subject to changing policies as public officials change; and
- Can be a low priority for government officials.

New Local Government Department

Creating a new division of local government (city or county) is another alternative. The department can be created with its sole mission being the coordination of transportation services. This removes some of the risks of placing coordination responsibility within an existing department where transportation can be a low priority, or worse yet, viewed as a burden.

Some "pros" are:

- Has as the sole mission the coordination of transportation services;
- Saves implementation time;
- Infra-structure is partially in place (e.g. insurances, purchasing and personnel policies, county attorneys, grants departments, etc.);
• Access to support services is usually available \( (e.g., \text{financial/accounting department}) \);

• Policy making processes are established; and

• May provide access to other resources \( (e.g., \text{fuel purchase, maintenance, insurance pools, clerical support, etc}) \).

The main "cons" are:

• Expansion of government is difficult in this era of "downsizing";

• May not receive needed attention from management;

• Agencies not under the overall organizational umbrella of the local government may need to go through the competitive procurement process to participate;

• Will be subject to changing policies as public officials change; and

• Can be a low priority for government officials.

Existing Private Non-Profit or Public Transit Provider

Many transit programs were started by a private non-profit organization. Community action agencies are a common example. Councils of aging are another. Existing public transit providers are also possibilities.

The key "pros" are similar to the local government option.

• Saves implementation time;

• Infra-structure is already in place;

• Access to support services is established;

• Policy making processes are established;

• Management hierarchy is in place;

• Office expenses can be shared;

• May provide access to other resources; and

• Capital needs may already be in place \( (\text{vehicles, computers, maintenance equipment, etc}) \).

The main "cons" are:

• May require a revision to by-laws;

• May add competitive procurement requirements for agencies which are not under the same organizational umbrella;

• May not receive needed attention from management;

• May not provide adequate representation of participants on the governing board;

• Can be a low priority for government officials; and

• Agencies may resist sharing clients/resources/authority under coordination program (turfism).
New Private Non-Profit Organization

A new private non-profit organization can be created. In this option it is assumed that the sole purpose of the new entity would be the provision of coordinated transportation service. The by-laws and articles of incorporation would need to be drafted to cover all necessary functions.

Some "pros" of this option are:

- The sole mission is providing transportation services;
- Objectivity in service provision is most likely; and
- The new board can consist of coordination participants who will establish needed policies.

Some "cons" are:

- Some time is required to create a new entity (60 to 120 days);
- A board of directors is needed;
- The infrastructure must be created (offices, equipment, etc);
- Personnel and other policies must be established;
- Staff must be hired; and
- Administrative procedures are needed.

New County Transit Board or Regional (e.g. Multi-County) Transit Authority

This option may be considered if the coordinated system is going to be open to the general public. County Transit Boards and Regional Transit Authorities are recognized by many state governments, including Ohio.

Some "pros" are:

- The sole mission is providing transportation services;
- Can be formed by one or more counties or jurisdictions;
- The new board can include representation from among coordination participants and jurisdictions; and
- The authority can obtain taxing powers.

Some "cons" are:

- Resistance to establishing a new governmental entity;
- Creates another "layer" that is sometimes viewed as bureaucratic;
- If a new authority must be created it will take more time;
- A new board of directors is needed;
- The infrastructure must be created (offices, equipment, etc);
- Personnel policies must be established;
- Staff must be hired; and
• Administrative procedures are needed.

3.4 OBTAINING LEGAL AUTHORITY

Existing Private Non-Profit or Public Transit Provider

If your program will be managed by an existing agency, and all participants are under the same organizational umbrella (a county government), an inter-agency memorandum of understanding will suffice. These documents typically spell out the terms and conditions of the arrangement. If all funding is consolidated, the memorandum can be fairly simple. If money is going to change hands (over a period of time) the memorandum must be detailed. The memorandum actually becomes a contract since items typically found in a contract are included. Some examples include the following:

• Description of services;
• Trip scheduling;
• Payment/reimbursement provisions;
• Days/hours of service;
• Insurance requirements;
• Indemnification clauses;
• Driver training; and
• Cancellation clauses.

Assuming other agencies will be paying on a per unit basis (e.g. per trip, vehicle mile, hour, passenger mile, etc.) and on a monthly schedule, it is better to use a comprehensive contract (see sections 4.4 and 4.5). This approach provides greater protection to all concerned.

Be aware that agencies may have to conduct a competitive procurement process. Consult with your legal advisor before proceeding with this option.

New County Transit Board or Regional Transit Authority

If this option is chosen, obtain a copy of Chapter 306 of the Ohio Revised Code. It can be found in most libraries. You will need to follow the procedures outlined in the Code to create a new transit entity.

As noted in the previous section, it may be difficult for agencies to enter into a contract with a new authority without conducting a competitive procurement process. Each agency should consult with a legal advisor before proceeding with this option.

Forming a New Non-Profit Organization in Ohio

A new non-profit organization can be formed by filing the appropriate applications and supporting documentation with the Ohio Secretary of State, 30 East Broad Street, 14th Floor, Columbus, Ohio 43266-0418. To obtain information on creating your new non-profit, call 614-466-8438.

Agencies may have to conduct a competitive procurement process. You should consult with your legal advisor before proceeding with this option.

See Chapter 6, Step 2 of A Handbook for Coordinating Transportation Services for further information on public non-profit and public transit providers.
3.5 ESTABLISHING A NEW ORGANIZATION

You should read this section if you plan to create a new organizational structure for your coordination program. If your structure will be under a local government, existing private non-profit or existing transit authority, skip this section.

Decide on a Fiscal Year

You must choose your fiscal operating year. ODOT’s state fiscal year is July 1 through June 30. Most Ohio transit and coordinated systems use the calendar year (January through December). ODOT’s grant programs for the most part use the calendar year. However, many human service agencies are on the July through June fiscal year. The federal fiscal year is October 1 through September 30. The decision should be based on the type(s) of funding used to support your coordination program. For example, if your project only includes funding from human service agencies, the human service agency fiscal year would be the least complex. If a significant amount of your funds are to be from ODOT, the calendar year would be the best choice since it correlates with ODOT grant cycles.

Appointment of the Board

The governing board is appointed by the entities that formed the new organization. The articles of incorporation establish the number of board members, how many are appointed by which jurisdiction, meeting frequencies and similar organizational items. You may need to identify leaders in your community to serve on the board. Five to seven members is ideal. You should also recognize that some persons may attend nearly all meetings while others may miss a lot. The board size should be based on your experience with attendance, keeping the size manageable, while ensuring that a quorum is normally obtained.
Create By-Laws and File Appropriate Papers to Create Organization

Your new organization will need by-laws. Contact another transportation program (transit authority or non-profit organization depending upon the model you have selected) to obtain a copy of their by-laws. You can then structure yours similarly.

Then, take the appropriate action to form your organization.

Activating the New Board

As soon as the board is selected someone needs to call the first meeting. If other arrangements have not been made you can help. Contact all board members to discuss board activation. Depending on board size this can be done in a conference call. Agree on the first meeting date and the agenda. The agenda must at least include the following:

- An explanation of the coordination program;
- Election of officers;
- Discussion of the board’s needs (e.g. creation of a treasurer’s report, assistance with the preparation of minutes, information in advance of meetings, etc.); and
- Establish regular meeting date (e.g. 2nd Tuesday of each month, 3rd Thursday, etc.).

Remember, this meeting must be open to the public and advertised. Allow enough time to provide the required notification.

Provide all board members with a copy of the transportation coordination plan in advance of the first meeting. They need to become familiar with your program. It is a good idea to provide at least 10 to 14 days for review of the materials.

At the initial meeting the board needs to begin to think about its goals and mission statement. Members must be provided an opportunity to ask questions about the plan. The more they understand the better.

They need to be given an update on the current implementation status. They must be introduced to the types of decisions which they will be called upon to make. They need to be advised of your planned activities before the next board meeting. Be sure to allow time for questions. Accept input and be prepared to change gears. Sometimes boards have an agenda of their own that may alter your direction.

3.6 ADMINISTRATIVE AND MANAGEMENT OPTIONS

There are several ways to administer and manage a transportation program. Program administration involves preparing grant applications, maintaining financial and non-financial information, preparing specifications or requests for proposals, planning, and other similar functions.

Management involves overseeing transportation service delivery. Included in program management are hiring and training drivers, collecting statistical information, monitoring maintenance, staff supervision, and other similar functions.

Administrative and management functions do not necessarily need to be combined. If they are not within the same agency (i.e. administration by county government with management provided by a management company) the administrative function must also take on a contract monitoring role.
Below are the two most typical administration and management options.

- Administration and management with in-house employees; and
- Administration in house with management contracted to a public or private entity.

For additional information on administration and management options refer to Chapter 6 of the Handbook.

3.7 CONTRACTING WITH PRIVATE FOR-PROFIT COMPANIES

In any of the mentioned organizational options it is also possible to enter into a management agreement with the private sector. Operations would be performed by the contractor. The selected organizational structure would remain as the policy body. If you are considering (or reconsidering) your organizational options also consider participation by the private sector. Also refer to Step 2, Chapter 6 of the Handbook.

3.8 CHECKLIST

If you can answer "yes" to the following questions you are finished with this chapter.

☐ Have you determined the organizational structure?

☐ Have you determined the appropriate administration and management structure(s)?

☐ Has your strategic planning committee reached a consensus?

☑ If needed, have you formed either a new private non-profit corporation or a transit authority?

☐ Has your board been appointed?

☐ Has the first meeting been scheduled?

☐ Do you have officers?

☐ Do you know what the board's needs are at this time?
CHAPTER 4

FINANCIAL PLANNING
CHAPTER 4
FINANCIAL PLANNING

4.1 USING CHAPTER 4

This chapter provides additional guidance on successfully completing major activities and establishing your coordinated transportation program. Use the Reference Guide at the beginning of this chapter to locate those topics on which you need assistance, then turn to the appropriate section.

All activities or policies may not apply to your coordination program. Some may seem to apply, but you may be unsure. If you are not entirely sure, read the section before deciding.

4.2 BUDGETS AND FINANCING PLAN

Coordinated transportation programs often pose special financial management challenges. They usually have limited resources, multiple funding sources, and are accountable for the use of public funds. Financial management is necessary to manage services so that the goals and objectives of the program are achieved efficiently, equitable and accurate bills are prepared for system users, and the expenditure of public funds is documented.

According to the "Comprehensive Financial Management Guidelines for Rural and Small Urban Public Transportation Providers," financial planning "identifies needs, develops managerial strategies, helps make the best use of limited resources, helps reduce uncertainty, and may even help educate both public officials and the general public."

Financial planning is an ongoing process that takes into consideration changes in the financial, operating and political environments in which the system operates, as well as the changes in demand for services. The process is iterative. First, you must establish the system’s goals and objectives. Second, you must establish a plan of action for achieving these goals. The plans might address service design or operational characteristics of the service and/or modifications of policies and procedures within any of the major functional areas of the program (i.e., human resources, maintenance, risk management). Third, the probable outcomes and associated financial implications of each activity must be assessed. If the plans are not feasible given the program’s fiscal realities, then the process should be repeated adjusting and fine tuning at each step until a plan emerges that can efficiently and effectively meet the coordinated system’s goals and objectives.

A coordinated program’s fiscal realities (i.e., its projected costs and revenues which determine the services it provides) must be evaluated by developing an accurate accounting of its costs and revenues. (See Section 3.5 for determining a fiscal time period). Full cost accounting must include operating costs, including administration, and capital costs, whether or not they resulted in an immediate out-of-pocket expenditure. Accounting for the total cost of the system requires an understanding of basic cost concepts and the use of a consistent costing method. The primary reason for full cost accounting is the fact that all costs must be paid sooner or later. If you only address the immediate out-of-pocket costs, the overhead,
administrative, and capital costs do not go away. By addressing the total costs of your program, your billings can reflect the total cost ensuring that all participants are paying their fair share of the cost of doing business. See (Section 4.6 for a discussion of cost allocation.)

Revenue must include fares, agency contracts, grants and other governmental payments, and other sources that may be unique to your coordinated program. If your transportation program is open to the general public, it may be eligible for federal and state transit financial assistance. Contact ODOT for further information. Also, detailed funding information is included in Chapter 5 of this Guide.

Full cost and revenue accounting must then be translated into a budget that forecasts revenue and expenditures for the future. The preparation of your budget will require you to look ahead and forecast how the system is expected to look in the short and/or long term future. Once the budget is prepared, it provides a tool that can be used to measure you actual performance. Refer to Chapter 6, Steps 4 and 5 of the Handbook for updating your budget. For convenience, copies of the budget forms provided in the Handbook are also provided in the Supplemental Materials section of this chapter.

Following your financial plan, and revising it when necessary, is the only way to be successful in implementing and maintaining a coordination program. In managing the day-to-day affairs of the coordination program, you will also need to create "paper trails" of all financial activities. All public agencies are subject to audits and your program will be as well. Failure to properly manage finances can result in unpleasant consequences.

Additional References


4.3 MEMORANDUM OF UNDERSTANDING

The use of a memorandum of understanding is a local decision. As a guideline, if your coordination program involves cooperation, you may not need formal contracts. Also, if all participants including the coordinator are under the same governmental entity (e.g. departments of county government) you may not need an agreement, since the overall organizational structure for all departments is the same; in the case of a county, the county commissioners would provide for the structure.

If one or more participants or the coordinator are not under the same governmental unit, you may want to execute a simple memorandum of understanding with other participants. The key elements of a memorandum of understanding are as follows:

- Identify the parties to the memorandum;
- State the purpose (e.g. to engage in joint purchasing arrangements);
- Define responsibilities of both parties;
- State any special terms or conditions (e.g. payment for supplies jointly purchased shall be due to the coordinator within 30 days of receipt);
• Date of memorandum; and

• Termination or cancellation provision.

Two examples of a memorandum of understanding are provided at the end of this chapter in the Supplemental Materials.

4.4 AGENCY CONTRACTS

Contracts between the coordinator or lead agency and participants are necessary in some joint use and all consolidation programs when the participants represent agencies that are not linked directly to the coordinator (i.e. all parties are not under a single county government). In developing contracts there are two philosophies: Make the contract as non-prescriptive/general as possible to allow for flexibility in its interpretation and if a disagreement arises negotiate a compromise or pursue legal remedies; or make the contract as comprehensive as possible to minimize disputes over interpretation. This guide recommends the latter.

You can find contracts that other agencies have prepared and used. You need not reinvent the wheel. Remember, the decision concerning the need for an agreement and the complexity of the agreement is a local decision. If you choose to use another program’s contract as a model, be sure to include all the legal language required by all of your coordination project’s funding agencies. This will ensure that the contract reflects your local situation, and that you have followed the applicable competitive bidding requirements.

The agreement (contract) between the contracting agency (public body) and the provider forms the basis of understanding between the two parties. The purpose of the contract is to clearly define the responsibilities of each party, the exact nature of the services to be rendered, and the financial payments to be provided for services rendered.

The following provides a bullet point list of the elements typically found in a transportation agreement as taken from the Federal Transit Administration’s contracting workshop manual. Read each section carefully to determine which sections are needed for your agreement. Although no one likes lengthy, wordy contracts, the more items that are spelled out, the fewer issues arise later. Regardless of whether you are the purchaser or the provider of service, the same major contract provisions apply. The contract is a tool that is used to protect both parties. The agreement will stipulate what each agency will be doing for the participating organizations.

• Contract Preamble
  - Identifies both parties to the agreement
  - States purpose of agreement

• Period of Performance
  - States contract life
  - Identifies the expected service start date

• Scope of Services to be Provided
  - Describes the service area
  - Details the days and hours of services
  - Describes the routes for fixed or Deviating route services
  - Describes demand response services. (e.g. required notice for service requests, cancellations, no-shows, etc.)
• Equipment Requirements for Performance of Services
  - Lists the number of vehicles required
  - Stipulates the required spare vehicle ratio
  - Indicates the type of vehicles to be used and any special equipment required (e.g., vans, buses, automobiles; required seating capacity, handicapped accessibility features, etc.)
  - Specifies which party is responsible for providing necessary equipment
  - Explains the contracting agency’s rights to periodic inspection of equipment

• Vehicle Operator Requirements
  - Describes pre-employment provision
  - Special licensing requirements
  - Physical examinations and/or substance abuse testing
  - Review of driving record history
  - Required vehicle operation experience
  - Outlines the minimum driver training requirements and responsibilities
  - Specifies the passenger complaint procedure and the reporting of complaints to the contracting agency

• Methods of Payment/Reimbursement of Services Rendered
  - Indicates maximum amount payable under the agreement
  - States the method of requests for reimbursement
  - Details the invoice format and submission schedule
  - Details eligible cost categories
  - Explains the invoice review process and anticipated payment schedule

• Service Revenues/Passenger Fares
  - States the fare structure and any discount passes or tickets to be utilized
  - Details the passenger eligibility determination responsibility and ticket and/or pass sales requirements
  - Describes the fare collection procedures and revenue handling

• Service Records - Management and Retention
  - Describes the records maintenance and isolation from other business records
  - States requirements for operator’s accuracy and accountability of records
  - Details record retention period
  - States rights of audit by the contracting agency and/or its Federal/State funding source representatives

• Service Reporting Requirements
  - Details service delivery and financial reporting requirements
  - Describes reporting categories, report formats and submission schedules
  - Explains information collection procedures and provides a description of the methods required for accurate compilation

• Contract Audit Requirements
  - States how contractor secures audit of contract services and payment of audit costs
  - Sets standards for auditing service records and financial accountability
  - Details audit schedule
  - Describes methods and/or procedures for resolution of audit findings

• Insurance Requirements and Levels of Coverage
  - States required insurance coverage
  - Describes minimum limits of liability and equipment replacement values
  - Details "hold harmless" and indemnification clause

- Required Provisions. Identifies and describes each of the required provisions and, if Federal Transit Administration (FTA) funds are used, at a minimum includes: 1) Nondiscrimination in employment and/or receipt of services (Title VI and Section 504); 2) Current employee labor protection laws (13(c) Labor Protection Warranty); 3) Efforts to utilize DBE’s in any subcontracts resulting from the contract for provision of services; 4) Drug and alcohol testing requirement; 5) ADA Compliance; 6) CDL Requirements; 7) Clauses relative to conflicts of interest and non-collusion. See FTA’s Best Practices Procurement Manual for a complete list of Federal clauses.

- Termination of Contract

- Delineates acceptable reasons for contract termination
- States time frame for notification of intent to terminate
- Describes process for termination of contract

- Amendments to Contract

- States terms for contract amendments
- Details amendment process
- States that amendments must be mutually agreeable and incorporated as written attachments

- Identification of Contract Managers/Contacts

- Requires name, address and telephone number of contract manager(s) and service providers (both the provider and contracting agency representative)

- Glossary of Terms Utilized in Contract

- Defines contract terms
- Used to clarify the interpretation of contract provisions and intended meaning of terms

An example of a simple agreement for providing transportation services is provided at the end of this chapter in the Supplemental Materials section.

The contract elements described generally constitute the major issues that must be addressed when contracting for services. However, due to the variety of local and State laws and/or ordinances, consultation with legal counsel is recommended to ensure that the contract document meets all necessary requirements and is enforceable by both parties.
Listed below are several other contract elements that could be incorporated into the document depending on the nature of the services to be provided and/or the if the service is to be operated by a private operator.

- Service Marketing;
- Surety Bonding Requirements;
- Unavoidable Cost Escalation;
- Method of Handling Fuel Tax Rebates;
- Incentives for Productivity Improvement; and
- Penalties for Non-Attainment of Required Productivity Levels or Failure to Adhere to Other Service Requirements (e.g. on-time performance, complaints, etc.).

Additional References


Example agreements are available from the Ohio Department of Transportation upon request.

4.5 COST ALLOCATION PLANS

The participants in a coordinated transportation program must be able to identify and understand their costs to enable the agency to manage their operations more efficiently and to develop contract rate structures that will result in total cost recovery. Contract rates should not be a reflection of what the contracting group desires or is willng to pay, but a reflection of the true cost of the transportation services being received. If a participant underestimates its costs, or does not account for all costs, it is essentially cross-subsidizing the contracting group with other agency funds.

Costs can be divided into two major categories: operating and capital. Operating costs refer to those expenses that are consumed in a single calendar or fiscal year to make the transit system operate. These expenses include labor, fringe benefits, materials and supplies, maintenance, office space and equipment. Administrative costs are a subset of operating costs. They include expenses that are used to support an agency so that it can perform its basic functions. Administrative costs include salaries and fringe benefits for administrative personnel, rent and utilities, marketing, general office supplies, professional fees, taxes, and most miscellaneous expenses. Capital costs refer to the expense associated with long-term acquisitions of physical assets such as vehicles, maintenance facilities, and equipment.

4.5.1 Operating

Operating costs are made up of direct and indirect costs. An example of a direct cost would be a driver's wage and fringe benefits associated with the direct provision of service. Another example would be expenses for a vehicle such as fuel or contract maintenance. Examples of indirect costs include utilities, rent,, and administrative overhead. In some cases, direct and indirect costs are allocated on a unit of service basis (i.e., per mile, per hour, per zone, per passenger trip, or per passenger mile). In other cases, a formula is used to allocate costs using two or three variables.
The easiest method of allocating costs is called the unit operating cost approach. To use this method, first you must estimate the total annual operating and administrative costs that are directly or indirectly attributable to the transportation program. This total cost must then be divided by the total number of units of service that will be delivered during the year. Units of service can be expressed in passenger miles, hours, passenger trips, zones, or passenger miles. The result is a unit operating cost that can be used to assess the costs of existing services or of future services. By simply multiplying the unit rate by the number of units associated with a service, the cost of that service can be calculated. This method, though simple, has limited practical use because single variable methods tend to be inequitable if there is much variety in the trips provided. For example, if a per mile cost method is used, trips with short distances, but long wait times would be underestimated, while longer distance trips with no wait time would be overestimated.

A more equitable method of determining agency transportation costs is called the three variable model. This approach consists of placing operating costs into three groups; those costs related to vehicle miles (i.e., tires, fuel, maintenance, vehicle depreciation, insurance, etc.), those costs related to vehicle hours (i.e., operator wages and fringes, etc.), and those costs related to the fixed costs (i.e., administrative staff wages and fringe benefits, rent, utilities, etc.). The costs associated with vehicle miles and vehicle hours are considered variable costs. They will change with the amount of service provided. Fixed costs are the expense items that do not vary with the number of miles or hours of operation, but instead, reflect the scale or size of the agency. There are no established rules for assigning expenses, however, you should assign line item expenses based on an understanding of how expenses are incurred. The method must be logical, defensible, and consistent.

Once the costs have been assigned to the appropriate variable, a separate unit operating cost is calculated for each of the three variables. First, the total annual expenses associated with miles should be divided by the total annual vehicle miles. Second, the total annual expenses associated with hours should be divided by the total annual vehicle hours. And finally, the fixed cost factor can be calculated by dividing the total annual fixed costs by the total of the variable costs (mile plus hour costs). Thus, the fixed cost factor is calculated as a percentage of the other costs.

The formula is:

\[(\text{Total Hourly Cost/Total Hours}) + (\text{Total Mileage Cost/Total Miles}) \times (1 + (\text{Total Fixed Costs/(Total Hourly Cost + Total Mileage Cost)}))\]

This formula can be used to estimate the existing costs of individual routes or services for allocation to the appropriate funding agency. In addition, the formula can be used to forecast the cost impact of service or policy changes.

The three variable cost allocation method is widely used because it is relatively simple, equitable in that it accounts for expenses associated with both miles and hours of service, easy to understand, and compatible with the operating environments of most coordinated programs.

4.5.2 Capital

Capital costs expressed in terms of vehicle depreciation can be included in the three variable cost model as a mileage expense. If a vehicle was purchased with public transit funds, only the local share can be depreciated; however, if the vehicle was purchased with local funds, the entire vehicle cost can be depreciated. In most cases, however, capital costs are addressed as a
separate issue from the operating budget. They should not be ignored, however, but instead included as a separate capital replacement surcharge.

The only time that you might not want to allocate capital costs among coordination participants is when you are confident that you will be able to secure sufficient funds from other sources to replace the equipment when needed. In most cases, however, coordinated transportation programs must obtain local funding for all or part of a new or replacement vehicle’s cost. In this case, unless other arrangements are made to secure the local share from some other source, you will need to allocate an amount to regain the local share through charges to participating agencies. When the equipment must be replaced, the funds collected will be available to cover the local share. Your accounting system must be designed to provide for a capital replacement fund. A capital replacement fund should be set up as an interest bearing account and you should make monthly deposits of any capital replacement amounts collected from participating agencies. Monies collected need to be placed into that fund and not used for non-capital purposes.

If the coordinator is leasing or purchasing the equipment (without state or federal capital funding) then the capital costs must be built into the cost structure paid by all participants. Numerous methods can be used. For example, if only one agency has customers onboard a vehicle at a time, the allocation could be on a per mile basis. If passengers are mixed, however, another allocation method is needed. If your charging structure is based on passenger miles, grids, or zones, these can be used as the allocation method. These methods all work well for vehicles and related equipment. Don’t forget to include an amount for inflation.

The following illustrates the computation of the capital user fee for a vehicle that is expected to last three years with inflation at three percent per year. The capital user fee in this example is calculated using vehicle miles.

\[ \frac{\left( \$35,000 \times 1.03 \times 1.03 \times 1.03 \right)}{120,000 \text{ miles}} = \$0.318712 \text{ per mile.} \]

Items such as computers and software pose a different equity problem. For example, a computer system designed to schedule trips is not related to grids, passenger miles or other units of service. It is related to the number of trips scheduled. Thus, for office equipment the number of trips scheduled is a better method of allocating costs.

A special distinction must be made here for those agencies who bid to provide services using vehicles that are subsidized in part with ODOT funds. In these cases, bid prices must include the full cost of the vehicle as if there were no subsidy. This requirement is in place to ensure that agencies that receive publicly subsidized vehicles do not unfairly compete with the private sector.

4.5.3 Additional Administrative Burdens

As indicated earlier, administrative costs are considered a subset of operating costs. However, in some cases, participating agencies have special administrative requirements that generate additional costs. For example, some agencies require that eligibility be determined on a trip by trip basis, others require that records be maintained by unduplicated passenger trips, yet others require special invoicing procedures. In these cases and many others, the cost for this additional administrative burden should be in addition to the operating cost described in Section 4.5.1 and included as a separate surcharge.
4.6 FARE STRUCTURES

You must establish a fare structure if the system is open to the general public and a fare is to be charged. The key difference between fare structures and contract rates are that fares are not normally designed to cover the fully allocated costs for providing transportation services. General public fares are typically subsidized to keep the fares affordable. The fare plus the subsidy equal the full cost of providing the service.

Note that the customers of human service agencies could ride as an agency sponsored passenger on one trip, and on another non-eligible trip, ride as a general public passenger, paying the established fare. The fare could be full fare or discounted. It could even be free. This is a local policy decision. Fare subsidies can be obtained from many different funding sources including FTA, ODOT, local governments, and philanthropic organizations, to name a few.

Subscription Fares

The following are the two most common subscription route fare systems:

- Single fare: One fare regardless of distance traveled. Simple to understand and budget for, less equitable as variety of trip characteristics increase.

- Base fare plus zonal charge: A base fare is charged with an additional amount charged for each additional zone traveled (e.g. base fare of $1.00, plus $0.50 for the next two zones, and $0.25 per zone thereafter).

Demand Response Fares

Demand response fares can be established several ways. Like subscription route services, a single fare can be established. Single fare systems are typically found in small communities where the distance traveled is not great. In larger service areas such as in a county or multi-county service area, and where travel distances are much greater, a graduated fare is frequently used. Thus, passengers (or agencies) pay in proportion to the distance traveled.

Another method commonly used in Ohio is the grid based system. It is easy to use, and it is equitable. In a grid system persons pay based on their origin and destination. The more grids they pass through, the greater the fare charge. In an automated reservation system the grids can be computed automatically.

Grids can be any size desired. They can be 1 mile by 1 mile, 2 miles by 2 miles, 3 miles by 3 miles, etc. Once the grid size is determined, an overlay is produced over the entire service area. An example of a grid system for Medina County, Ohio is provided at the end of this chapter as Supplemental Material.

When a passenger first registers with the coordinator, the location of their home (which is the normal travel origination point) is determined. This information is thereafter maintained for future reference either manually or in a computer database. When a trip is being scheduled, the grid of origin is confirmed, and the grid of destination is determined. The number of grids through which the person will travel (origin to destination) is then computed. In counting the grids both the origin and destination grids are counted as one grid each. Also, the grids are counted moving only vertically and/or horizontally. Grids are not counted moving diagonally.
This method is adaptable to a computerized reservation and scheduling system as well as easily translated into an agency billing method.

4.7 AGENCY RATES

Setting contract (purchase of service) rates is necessary when special services are to be provided for one or more agencies. In most situations the rate charged must be based on the fully allocated cost of service (see Section 4.5). The financial well-being of the service providers will depend on the extent that they can recover the total cost of providing the service. Thus, provider agencies must establish rates that reflect their true costs. In Section 4.5 we described how to fully allocate your expenses to determine your full cost of service. This section describes the process for developing the pricing structure to recover those costs. If a purchaser agency does not have the funds to pay for the service, that agency has the option to purchase fewer trips, make their trip requests more efficient, find another way to provide the service, or solicit additional funding from other sources.

There are several different pricing structures that can be used to recover the full cost of providing the service. The primary consideration that must be addressed when assessing the alternatives is the tradeoff between simplicity and equity. Generally, the simpler a rate structure is to understand and administer, the less equitable it is if there is a wide variety of trip characteristics provided. In contrast, the more equitable a rate structure is, the more complicated it usually becomes.

To determine which structure will serve you best, you must first have a clear picture of the variety of trip characteristics that will be served, and a consensus among the participating agencies regarding the relative importance of simplicity and equity. Are agencies willing to compromise simplicity to ensure that every trip reflects its true cost, or are agencies willing to compromise per trip equity assuming that the cost for service will equal out over time?

Generally it is recommended that "per unit" pricing structures be used to simplify recordkeeping, budgeting, and ease of administration. (Please note, that a three variable model was recommended for costing in 4.5, but a per unit rate structure is recommended for pricing). Per trip, per mile, per hour, per passenger mile, per zone, and per base mile are the most common per unit structures. Each structure has its strengths and weaknesses which makes it suitable in some circumstances and not in others. You should assess each to determine how close it comes to meeting your needs.

**Per Trip** - The "per trip" structure is a simple method that can be calculated by dividing the total operating costs of the service (following the procedure in Section 4.5) by the total number of one-way passenger trips that will be served by the corresponding service. This method is equitable when each of the passenger trips are similar in character and are approximately the same length. It is used most often for services that operate in a small well-defined service area. This method, however, does not account for differences in the cost associated with different trip lengths.

In this case each agency would pay its fair share based on the number of passenger trips taken by their clients. The only records that need to be maintained and reported are the number of passenger trips carried by the agency during the billing cycle. The cost per trip can be calculated for individual services, or on a periodic basis (i.e., annually, monthly).
Per Mile - The "per mile" structure is also fairly simple to calculate. The total operating costs are divided by the total miles traveled for the corresponding service. This method works best when miles can be directly attributed to a service and there is little wait time involved with the service. In this case, agencies would pay for the number of miles traveled by their clients. In shared ride situations where vehicles deviate to pick up additional passengers, it is difficult to determine which miles are attributable to which trip. Similarly, trips that have long wait times or are very time consuming compared to the miles traveled will be underestimated. This method also requires meticulous recordkeeping by drivers to account for every mile. The cost calculated can also vary from day to day for the same trip depending on the route the driver follows, making it difficult to explain and budget.

Per Hour - If service is provided for a single agency, the "per hour" method works well because the total cost of the service can be easily divided by the number of hours operated in service. However, in instances where more than one agency's clients are being transported, it is difficult to distribute the service hours to individual clients.

Per Passenger Mile - The "passenger mile" structure may be more equitable for those agencies that have considerable variation in the length of each trip. This method requires that the number of miles traveled by each passenger be recorded. In this case, the total operating costs for the service would be divided by the total number of passenger miles for the corresponding period. Each agency would be charged the passenger mile rate for the number of passenger miles consumed by their clients. This method is more labor intensive in that drivers must meticulously record the mileage when each passenger gets on and off the vehicle. This method also underestimates trip costs when there are substantial wait times or short distance, time consuming trips. Also, this method does not adjust for additional miles traveled to pick up additional passengers. The per passenger mile rate structure can result in different costs for the same trip depending on the exact route taken between the pick-up and drop-off point on any given trip.

Per Zone - A "zone rate" structure is more difficult to explain to agencies because it uses a unit of service (i.e., zone) that is probably new. There are two primary zone types: the grid and the concentric circle. The grid method overlaps a grid of equal size squares over the service area. The number of zones crossed to get from the origin to the destination is counted and multiplied by the established cost per zone. Grid size depends on the size of the service area and density of development. Typically grids are one-half mile squares. The concentric circle method is based on the same principle except that instead of a grid, concentric circles are superimposed on the service area. In many cases, the circles are further subdivided by three or four lines that radiate from the center of the service area, resulting in pie shaped zones. The best method will depend on the geographic configuration and size of your service area. Grid systems are typically used in large service areas (i.e., county, multi-county) with a number of major trip generators/communities located throughout. The concentric zone method is typically used in smaller service areas where the majority of travel is focused on one central community.

To compute the initial zone rate, you will need to divide the total operating cost for a period by the total number of projected zone crossings during the same period. To project the number of zone crossings that system riders will consume conduct
a sample of the current riders to see how many zones each typically crosses. Take the average number of zones consumed by the sample and multiply that number by the total number of projected riders transported. The cost per zone can then be calculated by dividing the total operating cost by the estimated number of zone crossings.

This method is equitable for trips of varied length and is easy to administer once the initial design is established. This method also provides stability in trip costs as the cost of traveling from one zone to another will always be the same regardless of the route taken or the number of deviations made to share trips. This method also requires limited recordkeeping on behalf of the drivers, and the rate can be established at the time of the trip request.

Once service is operational, the zone rate needs to be monitored closely. Based on actual costs and the total number of zones crossed for a given period of time, the actual cost per zone can be determined. Once the system has stabilized, it is possible to develop a graduated zone method. The rate for the first zone can be established higher than for subsequent zones. This graduation front loads the administrative and fixed costs of the trip on the first zone with the variable costs only attributed to each additional zone.

**Base Mileage** - The "base mileage" rate structure establishes the base number of miles for each trip at the time the trip is requested. The base miles are based on the direct route between the pick-up and drop-off points. The total operating costs for a service is divided by the estimated number of base miles for the corresponding service. Once the unit rate is established, agencies are then charged by multiplying the per unit rate times the number of base miles traveled by their clients.

While this system works well for subscription service, it does not work well when there are frequent changes in ridership, where there is variation in travel characteristics, or where there are multiple destinations.

Typically, it is recommended that an agency choose one method and consistently use it for all of its contracts. When more than one method is used, the process becomes confusing and participating agencies can become skeptical of the equity of the pricing structure.

**Shared Ride Adjustment**

Most agencies have three different trip types that might require alternative unit rate amounts depending on the nature and volume of trips by type. First, there are demand response trips that are one time trip requests. These trips should be charged the full per unit basis regardless of whether the trip is shared. Subscription trips, on the other hand, are made in advance and are considered fixed. The route can be costed as a subset of the service. In this case, the passenger of the service would pay the per unit rate calculated for the specific service. Similarly, group trips from one single pick-up to one single drop-off, are easy to serve. Thus, even though they may be one time events, the trip could be costed out as a subset of the service with its own unit rate established.

**Surcharges**

It is also highly recommended that when you are establishing your pricing structure that you also add in surcharges for a capital reserve fund and for additional administrative requirements. See Section 4.5 for further discussion.
4.8 CASH FLOW MANAGEMENT

All transportation programs, including coordinated programs, require cash flow. This is especially true if as coordinator, you are directly operating transportation services with in-house staff. Otherwise, you will not be able to meet payroll, pay bills, etc. When a private for profit operator is used, they will sometimes agree to provide cash flow for a few months. However, you will end up paying the interest costs for this in some fashion.

With the exception of possible fare revenues, all other revenues will be reimbursements. These include all payments from participating agencies and other possible funding sources. You will be submitting reimbursements to your funding agencies at least quarterly. Some may require monthly requests. You will also be billing agencies at the end of each month. The normal payment cycle is thirty (30) days and in some cases, longer. Thus, you will need to prepare to "carry" expenses for sixty (60) days. You will obviously need some up front cash to sustain operations (i.e. pay for drivers, fuel, insurance, maintenance, etc.). Ideally, you will need to obtain at least the equivalent of two (2) months expenses in up front cash. Hence, if your coordination program is budgeted at $200,000 per year, you will need between $30,000 and $35,000 to meet your cash flow needs.

Several methods are available to address cash flow. You may secure seed money from a local government (or governments). Agencies may be willing to provide an advance. As a last resort you can secure a line of credit from a local bank. If your program is organized under a new structure, you will likely need the support of a local government to secure the line of credit. If you choose this latter alternative, remember that only short term interest is eligible for reimbursement.

Under many grant programs, you cannot begin a coordination program that provides transportation service directly without up front cash.

If you will be contracting with another entity (public or private) to actually operate the service (hire drivers, handle maintenance, purchase fuel and insurance, etc.) your cash flow needs may be less. This is because you may be able to structure the provider agreement to pay the contractor when you have been reimbursed by your funding agencies. The contractor will then need to provide for cash flow. Note, however, that the contractor will be passing the interest costs for maintaining cash flow onto you and the agencies through a higher contract rate.

4.9 START-UP FUND UTILIZATION

The Ohio Department of Transportation offers funding through the Ohio Coordination Program to public entities to assist in the coordination of transportation services among transportation providers. The primary goal of the program is to enhance and expand transportation through coordination in the Ohio counties having no public transportation system. Other program goals include: increasing the efficiency and effectiveness of transportation service delivery; and developing coordination models which can be applied to other communities.

Eligible applicants include boards of county commissioners, municipalities or villages in counties without a public transportation system which are applying on behalf of a coordination project within its boundaries; boards of county commissioners,
municipalities or villages in a county that is served by a public transportation system applying on behalf of a coordination project within the portion of the county that is unserved by the public transportation system; or Regional Transit Authorities (RTAs) or County Transit Boards (CTBs) applying on behalf of a coordination project within the portion of the county that is unserved by the RTA or CTB.

All projects must demonstrate some level of interagency coordination in their local area to qualify as an eligible project. Interagency coordination is defined as cooperating in the delivery of transportation services between two or more agencies.

Eligible project expenses are limited to operating expenses, (e.g., salaries and fringes for coordinators, dispatchers, drivers, etc., fuel and lubricants, maintenance costs, insurance, rent and utilities, office supplies, postage, copying, etc.). Capital expenses for purchase of equipment are not eligible. Each eligible applicant may apply for up to seventy-five percent of their total direct operating expenses, not to exceed $50,000, for a one-year project period. Applicants should apply for only the amount of funds they believe they will reasonably expend during the project period.

Funds are awarded on a calendar year basis. Application materials are distributed in early August; completed applications are due approximately October 1.

As previously stated, applicants may apply for up to $50,000 for a one year project. The total that can be secured is $100,000 over a maximum two year period for a coordination project. If you apply for Ohio Coordination Program funding, you must file a sound plan for use of those funds. You will need to be certain that your system does not become dependent on this temporary funding. You must have a strategy to secure replacement funding at the completion of the second year. If not, your operation may cease to exist. It will be important for you to establish credibility in your community and to begin your search early for replacement funds. Refer to Chapter 5 of this Guide for additional information on funding.

Additional References

ODOT, Ohio Coordination Program Criteria and Application Instructions.

"Building Mobility Partnerships: Opportunities for Federal Funding;" Community Transportation Assistance Project, May 1996.

4.10 LOCAL FINANCIAL SUPPORT

Your program must be supported locally as evidenced by a sound local financial commitment. The financial commitment could include the agencies who are involved in your program. It may also include a city, county, or other local government or any combination of such. Or it could be through an organization such as the United Way or a local foundation. The financial commitment from agencies who purchase transportation services from the coordination program for their customers needs to include paying the fully allocated costs for transportation services. Commitment from local governments includes providing up front operating cash (to meet cash flow), providing the local matching share for new and replacement capital, and other support such as in-kind legal and/or auditing services.

4.11 BILLING AND INVOICING

Billing and invoicing may be a critical function of the coordinator. This will be true for any coordination activities where the coordinator will require reimbursement from participants. It is especially true for those coordination
programs which involve the delivery of transportation services to participating agency customers.

The components necessary for billing include the following:

- Data collection (trip information and units consumed by agency);
- Tailored agency reports (one-way trips and other information needed by an agency such as unduplicated persons served, etc.);
- Calculation of amounts due (e.g. number of units consumed by each agency times the fully allocated cost per unit of service provided);
- Posting the invoice to accounts receivable;
- Tracking the invoice through payment with follow up contact if the invoice is not paid within 30 days.

There are numerous computer software choices applicable for compiling operating statistics, generating reports for participating agencies and for creating billings. (Refer to Chapter 8 for additional information on computer programs for transit.)

4.12 PURCHASING

Procurement Policy

Local governments have specific purchasing policies designed to meet local, state and federal procurement regulations. If your coordination program is to be organized under a local government, you need to obtain and follow the established procurement policy. If, however, your coordination program is organized under a new entity you will need to develop a purchasing policy. The best place to begin is by obtaining a copy of a procurement policy of a local government or a participating human service agency.

Spending Authorization

The governing body must determine how much the coordinator (staff) can spend before obtaining authorization. For example, the coordinator may be authorized to spend up to $500 for a single item without the governing body’s specific approval (assuming the item is included in the budget). Purchases for a single item over $500 in this example would require prior authorization by the governing board. You must define both the maximum amount coordination staff may spend without prior board approval and you must also clarify which staff members is so authorized.

Procurement Methods

There are three (3) basic procurement methods for major purchases (excluding very small items such as consumable office supplies and equipment). These are 1) obtaining written quotes; 2) soliciting bids; and 3) requesting proposals. There are important differences among these methods.

Quotes. Generally, small purchases, defined as items costing less than a certain amount (e.g. under $2,000 depending on local policy) can be made without a competitive bid. In these instances a short specification is developed and written quotes are solicited from at least three vendors. The lowest quote is then accepted. Be sure to retain all quotes in your procurement files for the auditors.

Invitation for Bids (IFB) An Invitation for Bid (IFB) is used when 1) the cost of the item exceeds the small purchase threshold and cannot be obtained through soliciting written
quotes; and 2) the exact product and the accessories can be positively defined. A bid is used when there are several potential bidders who can provide a product that meets the minimum specifications. Vehicles, fareboxes, mobile communications equipment, computers, copy machines, and office furnishings can all be very clearly specified. These items are typically purchased through the IFB process.

Each year as part of its Specialized Transportation Program, the ODOT Office of Public Transportation develops specifications for standard and wheelchair accessible vehicles and establishes vehicle term contracts under the ODOT Cooperative Purchasing Program.

ODOT issues purchase orders directly to the vendors on behalf of its Specialized Transportation Program grantees. Other entities including political subdivisions, state universities or colleges and local boards of mental retardation and developmental disabilities may issue their own purchase orders directly to the vendors after notifying ODOT of their intent and providing a copy of their local board's authorizing resolution. To obtain the guidelines for participating in the ODOT term contracts or copies of the vehicle specifications, contact the ODOT Office of Public Transportation at (614) 466-8955.

Vehicles and equipment can also be purchased through state term contracts managed by the Ohio Department of Administrative Services (DAS). For more information about these term contracts, contact the DAS general information number at (614) 466-6512.

Request for Proposals (RFP) Bids are not typically used in purchasing services such as transportation. Except for a subscription service, it is difficult to specify the exact number of units (vehicle miles or hours) which will be purchased, especially for a new coordination program. Only estimates can be provided.

A request for proposals (RFP) is normally used to secure a service provider that can provide the best quality of service for the price. Proposals are evaluated on the basis of technical merit, compliance with the requirements in the RFP, price, and other qualitative factors. In developing an RFP it is important to describe as much about the desired services as is known. It is also important to specify the basis for the award. An example of the table of contents of an RFP for a service provider is provided in the Supplemental Materials section at the end of this chapter. The table of contents will provide you with an understanding of the importance of a well constructed RFP. Should you be required to develop an RFP for a service provider, try to obtain an example from another agency. It will save you much time and help you develop an RFP that addresses your needs.

Note: Public or private non-profit agencies that bid or propose to provide service must bid their fully allocated cost including expense for capital. In situations where capital equipment will be used that was purchased with ODOT funds, the cost of these vehicles must be reflected in the bid price to ensure no unfair competition with the private sector.
4.13 ACCOUNTING SYSTEM AND AUDITS

All private non-profit or public entities that spend any money must be audited. Ideally, the audit may be performed by a local government. Due to the single audit requirements, if your organization falls under a local government or existing agency, the audit must be performed as a part of the local government's or agency's annual audit. If, however, you have formed a private non-profit organization or transit authority you will be responsible for securing a single audit of your organization.

To adequately prepare for an audit, you must have a good accounting system in place. If you do not have bookkeeping knowledge, you will need to find someone with that experience. If one of the participants or local government agency is unwilling or unable to assist, you can purchase the services of a local accounting firm.

Documentation of all expenditures for the audit period (your organization’s fiscal year) is the key to a satisfactory audit. The following list provides examples of other items which are essential:

- All treasurer’s reports for the audit period;
- Copies of board meeting minutes showing approval of the treasurer’s report and authorization for all expenditures for items purchased that are over the coordinator’s authorization level;
- A cost allocation plan that has been followed;
- Copies of all contracts, agreements, and memoranda of understandings;
- Accounting policies that have been followed;
- Records of services provided (trips, hours, miles, etc.);
- Purchase orders, invoices, and cancelled checks for all invoices received;
- Copies of all billings, deposit slips;
- Copies of all reconciliations of all bank accounts;
- Copy of the general ledger;
- Verification that subsidiary ledgers tie into the general ledger;
- Personnel files that document employment and wages;
- Time sheets or time cards that verify the hours worked for hourly employees; and
- Detailed list of inventory that ties into the general ledger.

Additional References


Contact ODOT for additional information about State Term Contracts.

CHAPTER 4

FINANCIAL PLANNING

Supplementary Materials

- Examples of Possible Administrative/Management Expenses
  - Examples of Possible Operating Expenses
- Sample Agency Memorandum of Understanding
- Sample Provider Memorandum of Understanding
- Sample of a Simple Agency and Provider Agreement
- Example of a Grid Fare Zone System (Medina County, Ohio)
- Example of a Table of Contents for a Request for Proposals to Secure a Transportation Service Provider
  - Equitable Contract Rates for Rural Transit Systems
## EXAMPLES OF POSSIBLE ADMINISTRATIVE/MANAGEMENT EXPENSES

<table>
<thead>
<tr>
<th>EXPENSE ITEM</th>
<th>TOTAL</th>
<th>ALLOCATED TO COORDINATION</th>
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<tbody>
<tr>
<td><strong>I. WAGES, SALARIES &amp; FRINGE BENEFITS</strong></td>
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<td>A. Wages &amp; Salaries</td>
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<td>1. Coordinator</td>
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<td>2. Administrative Assistant</td>
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<td>3. Bookkeeper</td>
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<td>4. Secretary</td>
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<td>5. Other</td>
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<td>Sub-Total Wages &amp; Salaries</td>
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<td>B. Fringe Benefits</td>
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<td>1. Workmen's Compensation</td>
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<td>2. Unemployment Compensation</td>
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<td>4. Health Plans</td>
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<td>Sub-Total Fringe Benefits</td>
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**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)

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<td>B. Data Processing</td>
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<td>C. Bookkeeping/Accounting</td>
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<td>D. Other</td>
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<td><strong>TOTAL GENERAL SERVICES</strong></td>
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<td><strong>VI. PROFESSIONAL SERVICES</strong></td>
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<td>A. Attorney Fees</td>
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<td>B. Accounting/Auditing</td>
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<td>C. Consulting</td>
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<td>D. Marketing</td>
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<td>E. Other</td>
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<td><strong>TOTAL PROFESSIONAL SERVICES</strong></td>
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<td><strong>VII. MARKETING</strong></td>
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<td>A. Advertising</td>
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<td>B. Promotional Materials (Brochures/Posters)</td>
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<td>C. Other</td>
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<td><strong>TOTAL MARKETING</strong></td>
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<td><strong>VIII. DEPRECIATION</strong></td>
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<tr>
<td>A. Buildings and Grounds</td>
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<td>B. Capital Equipment</td>
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<td>C. Other</td>
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<td><strong>IX. TRAVEL</strong></td>
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<tr>
<td>A. Mileage Reimbursement</td>
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<td>B. Out-of-Area</td>
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<td>1. Air</td>
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<td>2. Hotel</td>
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<td>3. Rental Car</td>
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<td>4. Subsistence</td>
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<td><strong>X. MISCELLANEOUS</strong></td>
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<td>A. Conference Registrations</td>
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<td>C. Interest Expenses</td>
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**GRAND TOTAL ALL EXPENSES**
**EXAMPLES OF POSSIBLE OPERATING EXPENSES**

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<th>EXPENSE ITEM</th>
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<td><strong>I. WAGES &amp; FRINGE BENEFITS</strong></td>
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<td>A. Wages</td>
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<td>1. Dispatchers</td>
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<td>2. Drivers</td>
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<td>4. Washers</td>
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**GRAND TOTAL WAGES AND FRINGE BENEFITS**

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<tr>
<th>II. VEHICLE OPERATING COSTS</th>
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<td>B. Oil &amp; Lubricants</td>
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<td>C. Tires &amp; Tubes</td>
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<td>D. Maintenance Contracts</td>
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<td>1) Vehicles</td>
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<td>2) Radio Communications</td>
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<td>E. Parts</td>
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<td>1) Minor</td>
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<td>2) Major</td>
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<td>F. Cleaning Supplies &amp; Materials</td>
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<td>G. Miscellaneous Supplies &amp; Materials</td>
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**GRAND TOTAL VEHICLE OPERATING COSTS**

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<th>III. INSURANCE</th>
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<td>A. Vehicle</td>
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<td>B. Property &amp; Grounds</td>
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**GRAND TOTAL INSURANCE**
### Examples of Possible Operating Expenses (Continued)

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<td><strong>IV. LEASES &amp; RENTALS</strong></td>
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<td>A. Buildings &amp; Grounds</td>
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<td>B. Vehicles</td>
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<td><strong>TOTAL LEASES &amp; RENTALS</strong></td>
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<td><strong>V. MISCELLANEOUS EXPENSES OF OPERATION</strong></td>
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<td>A. Staff Training</td>
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<td>B. Uniforms</td>
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<td>C. Licensing &amp; Fees</td>
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<td>D. Other</td>
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<td><strong>GRAND TOTAL MISCELLANEOUS EXPENSES</strong></td>
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<td><strong>GRAND TOTAL ALL OPERATING EXPENSES</strong></td>
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MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding between Medina County Office for Older Adults (hereinafter referred to as "OOA") and the Medina County Transit Department (hereinafter referred to as "MCT") will define the terms agreed upon for provision of Title III-eligible transportation service and non-subsidized senior transportation service during the period beginning on January 1, 1996 and continuing through December 31, 1996.

I. BASE LEVEL OF SERVICE

MCT will provide door-to-door transit service to persons designated by OOA as eligible for Title II-B service. The travel destinations and trip purposes of these passengers will meet the requirements of the Older Americans Act and Western Reserve Area Agency on Aging (WRAAA).

MCT expects to provide approximately 24,872 one way trips at an average cost of $2.70 per trip during calendar year 1996. This equates to an annual budget of $67,154.00. As the WRAAA recognizes miles as being the unit of measure for transportation service, and MCT operates on a grid basis, MCT and OOA have agreed upon a formula that converts grids to miles. (The WRAAA conversion formula can be found in Attachment A). The following types of service will be eligible for inclusion in the base level of service:

A. Nutrition Site Transportation Service

1. Group trip passenger service will be provided between dispersed residential trip origins and each of three nutrition sites located in Brunswick, Medina, and Wadsworth.

2. Routes will generally adhere to particular geographic assignments and will be sufficiently flexible to accommodate new passengers.

3. Vehicles will begin picking up passengers at their homes as early as 7:00 a.m. for transportation to the nutrition sites. Passengers will generally arrive at the nutrition sites between 9:00 a.m. and 10:30 a.m. Return service will begin at 12:30 p.m. and continue through 3:00 p.m.

4. The service schedule for dedicated Older Adult Nutrition Site Transportation is located in attachment B.

B. Grocery Shopping Service

1. Between the hours of 8:00 a.m. - 11:00 a.m., and 12:30 p.m. - 2:00 p.m., passengers will be shuttled in small groups between the Medina nutrition site and various stores in the North Court Street commercial corridor, or, between the Wadsworth nutrition site and the Great Oaks shopping plaza; or, between the Brunswick site and various stores in the Rt. 42 and 303 corridors.

2. Grocery shopping service will be provided as warranted by passenger demand, but will in no event be less than the schedule found in Attachment B.
C. Medical Appointments Service

1. Transportation service to and from medical appointments will be provided to residents of Medina County in response to passenger demand.

2. Service will be provided on a first-come first-serve basis subject to advance reservation.

3. Medical appointment service will be provided as warranted by passenger demand, but will in no event be less than the schedule found in attachment B.

4. Medical appointment transportation should be scheduled the same day that the medical appointment is made, but no more than 2 weeks in advance.

D. Escort Service

1. OOA will provide escorted transportation service for eligible individuals traveling to medical destinations located outside of Medina County. OOA will schedule and supply the volunteer drivers necessary to deliver these trips.

2. MCT agrees to oversee the maintenance and repair of the sedan used for this service, and to forward service invoices to OOA for payment.

II. COST, PAYMENT, AND REPORTING TERMS

A. For Billing Purposes:

MCT will submit an invoice to OOA by the 5th of each month for the services provided during the preceding month. The invoice will reflect, on a grid basis, all passenger activity for which payment is requested, including:

A. Name of eligible passenger.
B. Date and time of travel.
C. Total Number of Miles traveled by MCT riders.
D. Total number of Grids traveled by OOA clients.

OOA will pay MCT on a per passenger basis $2.50 for each initial grid traveled through, and .20¢ for each grid traveled through there after.

Program income received in the form of cash donations from Title III-B eligible passengers will be collected by MCT on behalf of OOA. These monies will be kept separate from other revenue collected by MCT and delivered to OOA on a daily basis. The donation delivery policy can be found in Attachment C.

B. Title III Quarterly Report:

The following data requested for preparation of the title III quarterly report shall be completed by MCT and submitted to OOA by the 7th day of the month succeeding the end of the calendar year quarter (April 7, July 7, October 7, 1996 and January 7, 1997). At minimum, the data collected shall include:
1. Total Number of Units of Service for the quarter. (Calculated by using the formula in attachment A).
2. Total number of unduplicated clients receiving service per quarter. (Unduplicated client = each client counted only one time per quarter).
3. Total number of New clients receiving service per quarter. (New clients = those clients receiving service for the first time in the calendar year. Note: In the first quarter unduplicated client totals equal new client totals).

* Data collection and reporting requirements for the quarterly report are subject to change via direction of the WRAAA.

III. SERVICE QUALITY STANDARDS

All transportation services provided in accordance with this Memorandum of Understanding shall meet or exceed the requirements defined in the Ohio Department on Aging (ODA) Quality Assurance Standards shown in Attachment D, and ODA Safety Manual.

IV. OTHER TERMS AND ASSURANCES

A. Priority Population Goals

MCT shall cooperate with OOA to provide service to priority client population groups as defined by ODA, WRAAA, and/or OOA. During calendar year 1996, the client goals for each priority population group will be as follows:

<table>
<thead>
<tr>
<th>Minority:</th>
<th>6 African-American (Black)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low Income:</td>
<td>108</td>
</tr>
<tr>
<td>Age 75 or older:</td>
<td>210</td>
</tr>
<tr>
<td>Handicapped:</td>
<td>250</td>
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<tr>
<td>Abused/Neglected/Exploited:</td>
<td>3</td>
</tr>
<tr>
<td>Isolated/Alone:</td>
<td>55</td>
</tr>
<tr>
<td>Frail/Impaired:</td>
<td>35</td>
</tr>
<tr>
<td>Low Income Minority:</td>
<td>8</td>
</tr>
<tr>
<td>Rural:</td>
<td>350</td>
</tr>
<tr>
<td>Limited English Speaking:</td>
<td>5</td>
</tr>
</tbody>
</table>

All totals in each of the above category represent unduplicated clients. A total of 350 unduplicated clients shall be served. Some clients may have more than one characteristic.

B. Client Assessment

For purposes of this agreement, MCT shall transport only those persons designated as Title III-B eligible by OOA. The names of eligible passengers shall be maintained on a list in MCT’s computer files and made available to OOA upon request.

Any request for transportation service by a person not recorded on the list (i.e. - a new client) shall be referred to OOA for client approval before Title III-B eligible transportation service is provided. The potential client may ride for a fare determined by MCT until approval is completed by OOA. Any OOA client riding on a non Title III-B eligible trip may be eligible for a 1/2 fare subsidy under MCT’s 1/2 fare subsidy program found in attachment E of this document.
OOA will reassess clients every six months unless otherwise warranted, and will not notify MCT when a client is no longer eligible for Title III-B funded service. MCT will forward a passenger to OOA for client documentation purposes at the end of each month, included will be a no-show and cancellation list.

C. Client Waiting List

OOA shall maintain a client waiting list in the event that demand for Title III-B funded service exceeds the 1996 budgeted amount stipulated in this Memorandum of Understanding. Clients will be prioritized on the waiting list with those in greatest social and economic need, particularly the low income minority and isolated, receiving top priority. OOA’s Social Service Coordinator will make all determinations regarding clients place on the waiting list. MCT personnel will assist OOA Social Services staff by providing pertinent information as available.

D. Termination

This Agreement may be terminated for convenience by either party upon ninety (90) days notice in writing provided by one party to the other. In the event that funding for the services covered in this Agreement is eliminated or decreased, OOA shall have the right to terminate or negotiate a modification of the scope and compensation. MCT will provide the services to the effective date of termination, and OOA will make payment in accordance with the payment provisions or this Agreement for the services prior to the effective date of termination.

E. Entire Agreement

This contract, together with appendices hereto and documents incorporated herein by reference, constitute the entire agreement between OOA and MCT, supersedes any and all prior written and oral agreements or understandings, and may be modified only by a writing executed by both OOA and MCT.

By:


Approved:
MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding between the Medina County Office for Older Adults (hereinafter referred to as "OOA") and the Medina County Transit Department (hereinafter referred to as "MCT") will define the terms agreed upon for provision of Title III-eligible transportation service during the period beginning on January 1, 1993 and continuing through December 31, 1993.

I. BASE LEVEL OF SERVICE

MCT will provide door-to-door transit service to persons designated by OOA as eligible for Title III-B service. The travel destinations and trip purposes of these passengers will meet the requirements of the Older Americans Act and Western Reserve Area Agency on Aging (WRAAA).

MCT will operate a maximum of 116,044 vehicle miles of transportation service during calendar year 1993. The following types of service will be eligible for inclusion in the base level of service:

A. Nutrition Site Transportation Service

1. Group trip passenger service will be provided between dispersed residential trip origins and each of three nutrition sites located in Brunswick, Medina, and Wadsworth.

2. Routes will generally adhere to particular geographic assignments and will be sufficiently flexible to accommodate new passengers.

3. Vehicles will begin picking up passengers at their homes as early as 7:30 a.m. for transportation to the nutrition sites. Passengers will generally arrive at the nutrition sites between 9:00 a.m. and 10:30 a.m. Return service will begin at 12:30 p.m. and continue through 3:00 p.m.

4. The cities of Medina and Wadsworth will receive service five days per week. All remaining areas of the county will be served as dictated by passenger demand, but will not receive less service than the following minimum schedule:

<table>
<thead>
<tr>
<th>Brunswick Nutrition Site Routes</th>
<th>Medina Nutrition Site Routes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wednesday, Friday</td>
<td>Monday</td>
</tr>
<tr>
<td>Wednesday</td>
<td>Thursday, Friday</td>
</tr>
<tr>
<td>Wednesday</td>
<td>Monday - Friday</td>
</tr>
<tr>
<td>Wednesday</td>
<td>Monday, Friday</td>
</tr>
<tr>
<td>Wednesday</td>
<td>Thursday</td>
</tr>
</tbody>
</table>

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Memorandum of Understanding
Title III-B Transportation Service
January 4, 1993

Wadsworth Nutrition Site Routes

- Sharon Monday, Thursday
- Seville Wednesday
- Wadsworth Monday - Friday

B. Grocery Shopping Service

1. Between the hours of 9:00 a.m. - 11:00 a.m., and 12:30 p.m. - 2:00 p.m., passengers will be shuttled in small groups between the Medina nutrition site and various stores in the North Court Street commercial corridor; or, between the Wadsworth nutrition site and the Great Oaks shopping plaza; or, between the Brunswick site and various stores in the Rt. 42 and 303 corridors.

2. Supplemental grocery shopping service will be provided as warranted by passenger demand, but will in no event be less than the following minimum schedule:

<table>
<thead>
<tr>
<th>Area Covered</th>
<th>Days of Operation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medina local</td>
<td>Two days per week</td>
</tr>
<tr>
<td>Wadsworth local</td>
<td>Two days per week</td>
</tr>
<tr>
<td>Wadsworth to Medina</td>
<td>One day per month</td>
</tr>
<tr>
<td>Spencer/Homer to Medina</td>
<td>One day per month</td>
</tr>
<tr>
<td>Lodi to Medina</td>
<td>One day per month</td>
</tr>
<tr>
<td>Litchfield to Medina</td>
<td>One day per month</td>
</tr>
</tbody>
</table>

C. Medical Appointments Service

1. Transportation service to and from medical appointments will be provided to residents of Brunswick, Medina, and Wadsworth in response to passenger demand.

2. Service will be provided between the hours of 7:00 a.m. and 6:00 p.m. on a first-come first-served basis subject to advance reservation.

D. Escort Service

1. OOA will provide escorted transportation service for eligible individuals traveling to medical destinations located outside of Medina County. OOA will schedule and supply the volunteer drivers necessary to deliver these trips.

2. MCT agrees to oversee the maintenance and repair of the sedan used for this service, and to forward service invoices to OOA for payment.
Memorandum of Understanding  
Title III-B Transportation Service  
January 4, 1993

II. COST AND PAYMENT TERMS

MCT will submit an invoice to OOA by the fifth day of each month for the services provided during the preceding month. The invoice will show all passenger activity for which payment is requested, including:

A. Name of eligible passenger  
B. Date and time of travel  
C. Number of Title III-B eligible miles

OOA will pay MCT eighty-eight cents (88¢) for each eligible vehicle mile operated up to a maximum amount of one hundred and two thousand one hundred and nineteen dollars ($102,119). The determination of eligible vehicle miles shall be made in accordance with the "Method of accounting for Provision of Title III-B Eligible Trips" shown in Attachment A.

Program income received in the form of cash donations from Title III-B eligible passengers will be collected by MCT on behalf of OOA. These monies will be kept separate from other revenue collected by MCT and delivered to OOA on a daily basis.

III. SERVICE QUALITY STANDARDS

All transportation services provided in accordance with this Memorandum of Understanding shall meet or exceed the requirements defined in the Ohio Department on Aging (ODA) Quality Assurance Standards shown in Attachment B, and ODA Safety Manual.

IV. OTHER ASSURANCES

A. Priority Population Goals

MCT shall cooperate with OOA to provide service to priority client population groups as defined by ODA, WRAAA, and/or OOA. During calendar year 1993, the client goals for each priority population group will be as follows:

<table>
<thead>
<tr>
<th>Category</th>
<th>Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minority</td>
<td>10</td>
</tr>
<tr>
<td>African-American (Black)</td>
<td>10</td>
</tr>
<tr>
<td>Asian</td>
<td>1</td>
</tr>
<tr>
<td>Hispanic</td>
<td>1</td>
</tr>
<tr>
<td>Low Income</td>
<td>260</td>
</tr>
<tr>
<td>Age 75 or older</td>
<td>450</td>
</tr>
<tr>
<td>Handicapped</td>
<td>380</td>
</tr>
<tr>
<td>Abused/Neglected/Exploited</td>
<td>5</td>
</tr>
<tr>
<td>Isolated/Alone</td>
<td>75</td>
</tr>
<tr>
<td>Frail/Impaired</td>
<td>60</td>
</tr>
</tbody>
</table>

All totals in each of the above category represent unduplicated clients. A total of 660 unduplicated clients shall be served. Some clients may have more than one characteristic.
Memorandum of Understanding
Title III-B Transportation Service
January 4, 1993

B. Client Assessment

For purposes of this agreement, MCT shall transport only those persons designated as Title III-B eligible by OOA. The names of eligible passengers shall be maintained on a list in MCT’s computer files and made available to OOA upon request.

Any request for transportation service by a person not recorded on the list (i.e. - a new client) shall be referred to OOA for client assessment before Title III-B eligible transportation service is provided. The potential client may ride for a fare determined by MCT until assessment is completed by OOA.

OOA will reassess clients every six months unless otherwise warranted, and will notify MCT when a client is no longer eligible for Title III-B funded service.

C. Client Waiting List

OOA shall maintain a client waiting list in the event that demand for Title III-B funded service exceeds the maximum number of miles stipulated in this Memorandum of Understanding. Clients will be prioritized on the waiting list with those in greatest social and economic need, particularly the low income minority and isolated, receiving top priority. OOA’s Social Service Coordinator will make all determinations regarding clients place on the waiting list. MCT personnel will assist OOA Social Services staff by providing pertinent information as available.

By: __________________________________________
OOA Director

By: __________________________________________
MCT Director

Date: January 4, 1994
SAMPLE AGENCY AND PROVIDER AGREEMENT

THIS AGREEMENT is made by and between Alternative Paths, Inc. (hereinafter referred to as "AGENCY"), a non-profit agency with principal offices at 246 Northland Drive, Medina, Ohio, and the Medina County Board of Commissioners on behalf of the Medina County Transportation Consortium (hereinafter referred to as "OPERATOR").

1. **Term:** The services to be performed under this agreement will be for the period commencing on January 20, 1993 and continuing through June 30, 1995.

2. **Scope of Service:** OPERATOR will provide regular weekday round trip transportation for designated passengers traveling between residential locations within Medina County and the AGENCY’s day treatment facility located in the Medina County Human Services Building, 246 Northland Drive, Medina, OH 44256. OPERATOR will be responsible for all operating and maintenance functions necessary to provide the highest quality service possible, including: hiring and training drivers; supervision of personnel; passenger reservations and scheduling; vehicle dispatching; fuel lubricants, parts, and supplies as required to service, maintain and repair vehicles; and insurance.

3. **Passenger List:** AGENCY will provide OPERATOR with a current list of passengers to be transported. The list will include those passengers designated by the AGENCY as eligible for funded transportation. The following information must be provided for each passenger: name; address; telephone number; and special handling instructions as appropriate. It is understood that the passenger list may vary according to the day of week, and is subject to periodic revision as necessary to serve the needs of the AGENCY.

4. **Schedule:** Passengers will be picked up each morning and afternoon according to pre-arranged schedules established by OPERATOR. Morning pickups will generally begin at designated residential locations no earlier than 8:30 a.m. such that all passengers arrive to the AGENCY’s facility by 9:45 a.m. Return service departures from the AGENCY’s facility will generally begin at 2:05 p.m. such that all passengers are returned home before 3:30 p.m.

5. **Operating Days:** Service will be provided every weekday except the following holidays: New Years Day; Martin Luther King Day; Presidents Day; Memorial Day; Independence Day; Labor Day; Columbus Day; Veterans Day; Thanksgiving Day; and Christmas Day.

6. **Compensation:** During the period from January 20, 1993 through June 30, 1994, AGENCY will compensate OPERATOR at a rate of eighty-eight cents (88¢) for each vehicle mile operated in accordance with this agreement, up to a maximum of thirty-eight thousand (38,000) vehicle miles. Maximum compensation paid during this period of the agreement will not exceed thirty-three thousand four hundred and forty dollars ($33,440).
During the period from July 1, 1994 through June 30, 1995, AGENCY will compensate OPERATOR at a rate of ninety-three cents (93¢) for each vehicle mile operated in accordance with this agreement, up to a maximum of twenty-six thousand (26,000) vehicle miles. Maximum compensation paid during this period of the agreement will not exceed twenty-four thousand two hundred dollars ($24,200).

AGENCY shall receive a credit of forty and four-tenths cents (40.4¢) per vehicle mile for each mile operated by the volunteer driver referenced in Paragraph 9 when assigned by OPERATOR to provide revenue service, except that no credit shall be given for miles operated for field trips referenced in Attachment C to this Agreement.

Vehicle mileage shall be computed according to the method described in Attachment A to this Agreement.

7. **Method of Payment:** OPERATOR will submit a monthly invoice to AGENCY for costs incurred in the performance of this Agreement. The invoice will be supported by appropriate documentation showing the names of all passengers transported pursuant to this Agreement and the basis for OPERATOR’s determination of the number of miles operated. AGENCY will pay the full amount invoiced within thirty (30) calendar days following the date of receipt of the invoice.

8. **Vehicles:** AGENCY agrees to lease two (2) small buses in good operating condition to OPERATOR for the sum on one dollar ($1) per year for each year of this Agreement. The conditions of the lease are provided in Attachment B and shall be considered a part of this Agreement.

9. **Volunteer Driver:** AGENCY will provide at no additional cost to OPERATOR the services of one (1) of its employees to drive as assigned by OPERATOR. Said employee will possess a valid commercial drivers license (CDL) issued by the State of Ohio, and will maintain a satisfactory driving record at all times during the course of this agreement. The individual will remain an employee of the AGENCY but will be additionally insured by OPERATOR as a volunteer driver. The volunteer driver will be available to the OPERATOR for up to four (4) hours of driving per weekday generally during the hours of 8:00 a.m. - 10:00 a.m. and 2:00 p.m. - 4:00 p.m.

10. **Reports:** OPERATOR will furnish AGENCY with summary operating information as required to accommodate the AGENCY’s funding source and internal management needs.

11. **Insurance:** OPERATOR will provide the following insurance as necessary to perform the services covered under this agreement:

   A. **WORKER’S COMPENSATION** - Statutory limits required by State law.

   B. **EMPLOYER’S LIABILITY** - $1,000,000 per occurrence.

   C. **COMPREHENSIVE GENERAL LIABILITY** - $1,000,000 per occurrence.

   D. **COMPREHENSIVE AUTOMOBILE LIABILITY** - $1,000,000 per occurrence.
Agreement
Page 3 of 3

OPERATOR agrees to indemnify, defend and hold harmless AGENCY and its officers, agents, employees, and business visitors from any and all claims of damage to property or injury to persons which may arise from the performance of services under this Agreement. Prior to commencing work, OPERATOR shall furnish a Certificate of Insurance showing the minimum limit of insurance coverage. Their Certificate of Insurance shall state that AGENCY is named as an Additional Insured on all policies covered by the Certificate as to work performed for on behalf of AGENCY.

12. Disputes: Any claim or dispute concerning questions of fact or law arising out of or relating to this Contract, its performance or alleged breach, which is not disposed of by agreement of the parties, shall be decided by the Medina County Board of County Commissioners who shall render a decision in writing on the issue(s) in dispute and mail or otherwise furnish a copy thereof to the AGENCY. The OPERATOR agrees to proceed in a manner consistent with the decision(s) of the Board of County Commissioners.

13. Termination: This Agreement may be terminated for convenience by either party upon ninety (90) days notice in writing provided by one party to the other. In the event that funding for the services covered in this Agreement is eliminated or decreased, AGENCY shall have the right to terminate or negotiate a modification of the scope and compensation. OPERATOR will provide the services to the effective date of termination, and AGENCY will make payment in accordance with the payment provisions of this Agreement for their services provided prior to the effective date of termination.

14. Entire Agreement: This contract, together with appendices hereto and documents incorporated herein by reference, constitute the entire agreement between AGENCY and OPERATOR, supersedes any and all prior oral agreements or understandings, and may be modified only by a writing executed by both AGENCY and OPERATOR.

IN WITNESS WHEREOF, Alternative Paths, Inc. and the Medina County Board of Commissioners have executed this Agreement as of this date, January 20, 1993.

Alternative Paths, Inc.

By: ________________________________

Median County Commissioners

By: ________________________________

By: ________________________________

By: ________________________________
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<tr>
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<td>3.14 Governing Law</td>
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<td>3.15 Safety</td>
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<td>3.16 Disclaimer of Liability</td>
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<td>3.17 Indemnification</td>
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<td>Cargo Preference</td>
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<td>Davis-Bacon Act and Copeland Act</td>
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<td>Publication, Reproduction, and Use of Material</td>
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<td>Debarred, Suspended, or Ineligible Contractors</td>
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<td>Non-Collusion</td>
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<td>3.44</td>
<td>Lobbying Restrictions</td>
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<td>3.45</td>
<td>Audit and Inspection of Records</td>
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<tr>
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<td>Prevention of Prohibited Drug Use in Transit Operations</td>
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<td>3.48</td>
<td>Americans with Disabilities Act of 1990</td>
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<td>United States Department of Labor Section 13 (c) Indemnity</td>
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<td>Public Service Commission</td>
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EQUITABLE CONTRACT RATES FOR RURAL TRANSIT SYSTEMS

All coordinated transit systems should develop and implement equitable contract rate structures. The issues surrounding contract rates and a method for developing an appropriate rate structure are summarized below:

Major issues dealing with transit contract rate structures:

There are three major issues that need to be addressed when developing a contract rate structure:

1. appropriate use of Federal/State public transit subsidies in providing mobility for a special contracting group

2. equitable payment by the contracting group, and

3. positive and negative fiscal impacts of providing contract service.

Appropriate use of public transit subsidies in providing mobility for a special Contracting group:

In order for coordinated transit systems to be considered public transit systems they must be open to the general public. For those systems that provide contract service for special client groups or agencies, ODOT has established a goal of having at least 50% of a system’s riders consisting of the general public.

Equitable payment by the Contracting group:

The local transit system is responsible for collecting a reasonable fare and for securing adequate local share to support the service. Those systems that have limited or no local share from the supporting jurisdiction may supplement their local revenues through the use of service contracts with local agencies. Contract revenues are accepted as a form of local match for coordinated transit systems. Consequently, to be equitable, contract rates should at least equal the typical local share minus applicable local subsidy plus the average fare, which generally totals approximately 30-35% of the operating costs of the service. The percent of local share that is charged to the contract should be dependent on local policy regarding the purpose and appropriateness of local subsidy use for various types of transportation services (i.e., non-profit versus for-profit entities).

In addition, the transit system should also consider contract rates higher than this level, especially when the contract provides a higher-than-normal quality of service (i.e., immediate response, administrative support). Transit systems should also be aware that ODOT will not utilize state funds to subsidize package delivery or private for-profit transportation. Thus contracts with these entities should be charged at their fully allocated cost.
The contract rates should not be a reflection of what the contracting group desires or is willing to pay, but a reflection of the true value of the transit service being received. When the contract rate structure is too low, the transit system is essentially cross-subsidizing the contracting group with other agency funds. Under these circumstances, the transit system should work with the affected contracting group to phase-in a more appropriate rate at the earliest practical time.

**Positive and negative fiscal impacts of providing contract service**

The provision of contract services may decrease the local cash requirement that is required as local match for the general public transit service. If your coordinated system operates in a rural area, the amount of Rural transit subsidies may be affected depending upon whether you have reached your Rural transit funding limit. Likewise, other Federal/State funding programs may be leveraged by contract revenues.

**Method for developing an appropriate contract rate structure**

These three important issues are addressed by the following 7-step method for developing an appropriate contract rate structure.

**Step #1**

Determine what it costs your coordinated transit system to provide general public transit service.

The easiest method of determining transit costs is called the unit operating cost approach. This consists of dividing your total annual system operating costs by some measure of service (i.e., either total annual vehicle miles, vehicle hours, vehicle trips or passenger trips). This results in a "unit operating cost." Multiplying the unit operating cost times some measure of a current or proposed contract service gives the cost of operating the contract service. For systems that purchase transportation, the fully allocated operating cost should include the fixed unit rate plus any agency administrative costs.

Here is an example:

* total annual system operating budget for 1997 is $1,000,000
* total annual system vehicle miles for 1997 is 350,000
* dividing $1,000,000 by 350,000 gives a unit operating cost of $2.86 per vehicle mile
* total annual vehicle miles proposed to be operated under contract is 3,000
* multiplying $2.86 cost per mile by 3,000 vehicle miles gives a total annual operating cost of providing the proposed contract service as $8,580

A more comprehensive method of determining transit costs is called the three unit operating cost approach. This method consists of placing operating costs into three groups: those costs related to vehicle miles (i.e., tires, fuel, some maintenance, etc.), those costs

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to vehicle hours (i.e., operator wages and fringes, etc.), and those costs related to the fixed costs (i.e., management overhead, supervision, facilities operations, etc.). A separate unit operating cost is calculated for each of the three groups. Multiplying each of the different unit operating costs times the corresponding measure of a current or proposed contract service, and then adding gives the cost of operating the contract service.

Here is an example:

* total annual system operating budget for 1997 is $1,000,000; $600,000 is related to vehicle miles, $210,000 to vehicle hours, $190,000 to fixed cost

* total annual system vehicle miles for 1997 is 350,000; total annual system vehicle hours is 17,500; total number of peak vehicles is 5

* dividing $600,000 vehicle mile costs by 350,000 vehicle miles gives a vehicle mile unit operating cost of $1.71 per vehicle mile; dividing $210,000 vehicle hour costs by 17,500 vehicle hours gives a vehicle hour unit operating cost of $12.00 per vehicle hour; dividing $190,000 fixed costs by 5 peak vehicles gives a vehicle unit operating cost of $38,000 per additional peak vehicle

* total annual vehicle miles proposed to be operated under contract are 3,000; total annual vehicle hours are 150; with no additional peak vehicles required

* multiplying $1.71 cost per mile by 3,000 vehicle miles gives a total annual vehicle mile operating cost of $5,130; multiplying $12.00 by 150 gives a total annual vehicle hour operating cost of $1,800; multiplying $38,000 by 0 vehicle gives $0

* adding all three costs together gives a total cost of operating the contract service as $6,930 (i.e., $5,130 + $1,800 + $0)

* note that this $6,930 is different from the $8,580 cost calculated using the unit cost approach; the $6,930 cost estimate is more accurate since it is more refined

An even more complicated (but more accurate) method incorporates depreciation of vehicles, facilities and other capital as part of the cost of providing service and/or a fee for additional administrative requirements. Those coordinated transit systems interested in this approach should contact ODOT for more information and assistance.

**Step #2:**

Determine the percentage of the system costs that are paid for by passenger fares, local subsidy, State subsidy and Federal subsidy.

Here is an example:

* total annual system operating costs of $1,000,000

* passenger fare cost-recovery ratio of 12%; this means that overall the general public riders pay for 12% of the $1,000,000 cost (i.e., .12 x $1,000,000 = $120,000)

* local subsidy amounts to 32% of costs (i.e., .32 x $1,000,000 = $320,000)
* State subsidy amounts to 30% of costs (i.e., \(0.30 \times 1,000,000 = 300,000\))

* Federal subsidy amounts to 26% of costs (i.e., \(-0.26 \times 1,000,000 = 260,000\))

**Step #3-**

Learn about the types of potential contract services including the nature of the contracting group, purposes for using the service, and any special requirements.

Your general public service should be the benchmark against which to measure any current or proposed contract service. The degree to which a contract service is designed to be more specialized than your general public service should be determined.

The quality of the service is measured by response time, reservation requirements, exclusivity of the group, sharing of vehicles with others outside the contracting group, tailoring of service times and routings, charter-like grouping of trips, etc.

The nature of contracting groups include, but are not limited to general public, governmental agency (i.e., County Department of Human Services), non-profit human service agencies (i.e. senior citizens center), for-profit human service entities (i.e., a nursing home), and for-profit businesses (i.e., a factory interested in special shift shuttles).

**Step #4-**

Determine what percentage of the cost of each type of potential contract service should be recouped from contract rates.

The market for contract services exists when a contracting group determines that it needs service that is more specialized and of a higher quality than that which you provide for the general public. The contracting group places a higher value on specialized high quality service that focuses more on the needs of the contracting group than does the general public service. The higher the level of specialization and quality of the service, the more costly the service is to provide and the greater the departure from general public service. The higher the service quality, the higher should be the percent of the cost of the service that is recouped from the contract rate for that service. If you do not charge a rate that mirrors the cost and value of the service, then you may not be obtaining the maximum benefit of available Federal, State, and Local subsidies or meeting the intent of ODOT’s Rural transit funding program.

General rules for contract rates in communities with limited or no local match are:

* the general public should be charged the fare. The fare should reflect system goals for farebox recovery ratio. ODOT has established a goal of 15 percent for Rural transit systems

* the higher the quality of the contracted service, the higher the percentage of costs should be charged

* government and non-profit agencies should be charged the fare plus local subsidy percentage
* for-profit human service entities should be charged a higher percentage than non-profit human service agencies

* for profit businesses should be charged the highest percentages

* package delivery should be charged 100 percent of the cost and can only be provided if the service is incidental and does not distract from the public transportation

An example of how to calculate a fare plus local subsidy percentage is provided below:

* proposed contract service is projected to cost $10,000 annually

* the cost recovery for fares on the general public system is 12 percent

* local subsidy accounts for 32 percent of the costs of general public transit

* the combined fare plus local subsidy percentage for general public transit is 44 percent (i.e., 12 percent + 32 percent)

* the contract rate for this particular contract service should be at least $4,400 (i.e., 44 percent of $10,000)

* the remaining $5,600 of the costs (i.e., 56 percent of $10,000) is still being funded by public subsidy

**Step #5.**

Formalize your determinations into a contract rate policy for adoption by your Board or governing jurisdiction.

The policy will provide the transit system with clear, common sense directions for establishing contract rates that are applied fairly and uniformly.

When developing the policy, the coordinated transit system may want to make provisions for phasing in the new or modified rate structure for current clients. In addition, it may be prudent for a transit system to undercharge a contracting group if another source of local subsidy can be found. If this is done, it should be done purposefully and as a fully informed decision.

Once the policy is adopted, the transit system should market its availability for contract service.

**Step #6.**

Review and update the contract rate policy on a periodic basis.
Periodic review is needed in order to ensure that the rates reflect actual service cost, local economic and political conditions, local match requirements, and the desire of the system to engage in contract service. As costs to the transportation system rise (i.e., fuel, insurance), these costs should be passed through to the contracts.

Step #7:

Enter into contract service wisely and use the contract revenues prudently. The cost to provide contract service must be tracked, and you must have a formal policy to determine how the various revenue sources will be used to offset the costs. Contract services should be expected to pay a larger share of their total costs as public funding sources become increasingly limited.

There are two important fiscal implications regarding contract services:

* if there are fixed levels of available Federal and State public subsidies, the provision of Contract service diminishes the amount of general public transit that can be provided

* if there are untapped public subsidies available, the provision of contract service can increase the amount of general public transit that can be provided

If there are no additional public subsidies available, only contract rates at 100 percent of cost will have no net change on the amount of public subsidy available for general purpose transit. Any contract rate less than 100 percent of cost will leave less public subsidy available for the provision of general public service.

When there are untapped State and Federal subsidies that only need a local match to be leveraged, contract revenues can be used as this local match. If the contract service rate is at least the "fare plus local subsidy percentage", then the contract revenues can act as local match for an amount of leveraged new subsidies that will be greater than the public subsidy used to fund the contract service. The higher the contract rate percentages, the higher will be the leveraging factor for Federal and State subsidies.

If the contract revenues are greater than the local match requirement, the transit system has three alternatives.

* reallocate a portion of the contract revenues to farebox receipts, which would in turn reduce the Federal share

* increase expenses by expanding service for the general public up to levels that would maintain Federal subsidies at current levels

* discount contract rates

Conclusions:

A coordinated transit system's contract rate structure needs to address three major issues: appropriate use of public transit subsidies, equitable payment by the contracting group, and the positive and negative fiscal impacts of providing contract service.
The above 7-step method of developing a contract rate structure is practical and provides the transit system with contract rates that should be considered fair and equitable by ODOT, the contracting group and the general public.
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GRANT AND PROGRAM ADMINISTRATION
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GRANT AND PROGRAM ADMINISTRATION

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CHAPTER 5

GRANT AND PROGRAM ADMINISTRATION

5.1 GRANT ADMINISTRATION AND GRANTSMSHIPS

If you have been successful in accessing state or federal funding for your project, you will be responsible for reporting and meeting grant administration requirements, both financial and non-financial. Contact each state and/or federal funding agency and request copies of all financial and non-financial reporting forms. You will then be able to determine the information that must be collected and the methods to be used for collecting this data.

5.2 REPORTS FOR PARTICIPANTS AND GRANTORS

If your coordination program relies on grants from ODOT or other sources, you must provide reports of operations on a regular and continuing cycle. You will also be requested to provide participating agencies with information they need to create reports to their funding agencies. The first step is to determine the specific information that each participant needs. A method to compile that information can then be created.

5.3 RECORDKEEPING AND PERFORMANCE MEASURES

Numerous records must be maintained by the coordination office. These are important, not only for generating management reports, but also for providing statistical information to justify your coordination program.

Many transit organizations have developed forms designed to capture needed information. Remember, performance monitoring and evaluation begins with data collection. Data collection forms can be obtained by contacting other coordination programs in your state. A set of example data collection forms used by other systems is provided at the end of this chapter as Supplemental Materials. There are other forms in Chapter 6 of the Handbook.

Obtaining reliable and valid data is another challenge. The key is thorough driver training. All operators, whether they are direct employees or are employed by contractors must be properly trained in accurate data collection. When, for example, daily, weekly, or monthly vehicle logs are turned in, the coordinator must review the records to ensure that they are being completed properly. Information concerning vehicle operations can then be pulled from the logs (e.g. vehicle miles and hours, one-way trips, etc.).
Remember, too, that it is important for drivers to write clearly. Sloppy paperwork is an aggravation you do not want or need.

### 5.4 SOURCES OF ASSISTANCE

In addition to participating agencies, numerous other funding sources exist. Included at the local level are United Ways and foundations. Nationally, the Community Transportation Association of America (CTAA) has reported that foundations are the least sought after grants by transportation providers. Information about foundations can be located at your local library (or a library in the closest large town).

The U.S. Department of Health and Human Services, through its Community Transportation Assistance Project (CTAP), published a list of other federal funding programs available. A copy of that information is included at the end of this chapter as Supplemental Material.

ODOT also provides funding and administers the following grant programs:

- Ohio Coordination Program;
- Ohio Public Transportation Grant Program;
- Ohio Elderly and Disabled Transit Fare Assistance Program;
- Specialized Transportation Program (FTA Section 5310);
- Rural Transit Program (FTA Section 5311); and
- Ohio Technical Assistance Program (OTEC).

The Supplemental Material section provides additional information about these programs including eligible grantees, available funding, application deadlines and other special information.

ODOT also provides technical assistance as well as training, and a resource library of materials on a variety of topics. You should not rule out any agency’s or foundation’s grants or assistance without thoroughly reviewing their eligibility criteria. It is important to be creative and to think "outside the box."

Other State agencies may also administer programs which include transportation as an eligible expense and which support transportation coordination. In fact, several Ohio agencies participate on a State Agency Transportation Coordination Task Force. A list of those agencies along with staff contact information is included in the Supplemental Materials section.

### 5.5 FUND LEVERAGING

Sometimes certain funds can be leveraged. For example, all Federal Transit Grant Programs require a "match." Capital Grants are typically funded at 80% Federal, 20% local. In this case, for every $2.00 of local dollars invested, $8 Federal dollars are leveraged. However, competition for these Federal dollars may be fierce. You may be able to improve your chances for approval by overmatching the Federal dollars. Overmatching might include providing 25% or 30% local funds rather than the required 20%. This case is also true of local foundations.
CHAPTER 5
GRANT AND PROGRAM ADMINISTRATION

Supplementary Materials

- Sample Operational Data Collection Forms
- Federal Funding Resource Matrix
- ODOT Office of Public Transportation - Transit Grant Program Overview
- State Agency Transportation Coordination Task Force
Semi-Monthly Time Sheet

Name ___________________________ Month ______________

Circle One: 1st to 15th 16th to 31st

Report for 1st to 15th due by the 17th of each month.
Report for 16th to 31st due by the 2nd of each month.

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</tbody>
</table>

Semi-Monthly Total Hours

Signature ___________________________

Approved ___________________________
Bus Log

Month, Year ____________________  Bus Number ____________________

<table>
<thead>
<tr>
<th>Date</th>
<th>Driver</th>
<th>Segment or Run No.</th>
<th>Seg. Start Time</th>
<th>Seg. End Time</th>
<th>Seg. Hours Earned</th>
<th>Mileage Out</th>
<th>Mileage In</th>
<th>Total Miles</th>
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<tbody>
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5-5
# FUEL & OIL SHEET

Option 1

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>DATE</td>
<td>ODOMETER READING THIS STOP</td>
<td>ODOMETER READING LAST STOP</td>
<td>FUEL ADDED Gallons</td>
<td>FUEL MILES PER GALLON (Col. H / Col. C)</td>
<td>OIL QTS. ADDED</td>
<td>OIL MILES PER QUART (Col. H / Col. B)</td>
<td>OIL CHANGED (Col. A - Col. B)</td>
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<tr>
<td>TOTAL - MONTH</td>
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</table>

Maintenance Coordinator Signature

Director Signature

5-6
Bus Damage Report
(Use only one form per incident. Attach additional paper if necessary.)

Bus Number: ____________________________

Bus Make: ____________________________

Date of Occurrence: ________________ 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)
### PRE-SHIFT INSPECTION

#### I. DAILY VEHICLE CHECKLIST

**DATE:**

**VEHICLE:**

**MILEAGE:**

- Ending: ____________________________
- Starting: ____________________________
- Daily Total: ____________________________

**INSPECT AND CHECK BELOW ITEMS IF OK**

**A. UNDERHOOD**

1. Oil Level
2. Fuel Level
3. Radiation Level
4. Battery Level
5. Windshield Washer Level
6. Engine/Hose/Belts
7. Coolant Level
8. Cooling System Leaks

**B. EXTERIOR**

1. Tires
2. Turn Signals
3. Head Lights
4. Tail/Brake Lights
5. Windshield Wipers
6. Fresh Body Damage
7. Cleanliness

**C. INTERIOR**

1. Brakes & Parking Brakes
2. Steering
3. Transmission
4. Mirrors (adjustment)
5. Gauges/Instruments
6. Controls (Equipment)
7. Cleanliness
8. Radio
9. Damage
10. Horn
11. Log Book

**Safety Equipment**

1. Fire Extinguisher Charged
2. Flares/Triangles
3. First Aid Kit
4. Back-up Alarm
5. Rear Door Buzzer

**D. FUEL ADDED**

- Gals.

**OIL ADDED**

- Qts.

**ODOMETER READING**

**FUELING**

**E. PM STICKER**

- OK
- Needs P.M. Attention

---

**CODES**

- Inspected and OK
- X Needs Repair
- R Repaired

---

**NOTE ANY DEFECTS BELOW**

1. UNDERHOOD

2. EXTERIOR

3. INTERIOR

4. SAFETY EQUIPMENT

---

**MAINTENANCE PERFORMED**

---

*Driver Signature*

*Maintenance Coordinator Signature*

---

5-8
PREVENTATIVE MAINTENANCE INSPECTION
PERFORM MONTHLY ALL VEHICLES

[ ] OK
[ x ] Adjustment Made
[ ] Needs Attention

Vehicle No. ____________________
Date: ____________________
Mileage: ____________________

SPECIAL INSTRUCTION FOR REPAIR NEEDED:
__________________________________________________________

PREPARE FOR INSPECTION

☐ Check drivers report
☐ Review maintenance
☐ Wash vehicle
☐ Comments

START UP AND DRIVE

☐ Starting
☐ Emergency brake
☐ Service brake
☐ Transmission
☐ Horn
☐ Speedometer

REMAIN IN VEHICLE

☐ Fuel gauge
☐ Oil gauge
☐ Windshield washer and wipers
☐ Registration
☐ Headlights low
☐ 4-Way flasher indicators
☐ Instrument panel lights
☐ Air Conditioner
☐ Doors
☐ Safety equipment
☐ Battery charging gauge
☐ Steering wheel free play
☐ Headlights indicator
☐ Turn signal indicators
☐ Interior lights
☐ All window glass
☐ Seats

OUTSIDE INSPECTION

☐ Hood
☐ All lights
☐ Front end, kingpins wheel
☐ Bearings tie rod ends
☐ Wheels and rims tighten lugs
☐ Bumper body damage
☐ Fuel cap
☐ Outside mirror
☐ Tires: Check wear cracks/pressure
☐ Record _____ lbs. per sq. in.

UNDER HOOD

☐ Air compressor mounting & belt tension
☐ Throttle linkage
☐ Water pump and fan hub/lube
☐ Air filter change
☐ Engine oil change
☐ Fuel filter change
☐ Radiator check level
☐ Radiator clean front
☐ Anti-freeze protected
☐ Battery check water level
☐ Lubricate all fittings
☐ Steering gear and shaft/lube
☐ Power steering hoses and oil level
☐ Water pump and fan belt
☐ Cr/ase breather, clean/change
☐ Exhaust system tighten
☐ Oil filter change
☐ Radiator pressure check
☐ Hoses, check and adjust
☐ Master cylinder fill
☐ Alternator belt tension terminals
☐ check and lub

UNDER CHASSIS

☐ Engine & transmission mtg bolts check & adjust
☐ Transmission, check cover, bell & seal area for leaks
☐ Differential, check gear oil level and clean breather
☐ Springs, shackles U-bolts, check for cracks
☐ rust-tighten
☐ Body mtg bolts check & adjust
☐ Transmission, check gear oil level
☐ Exhaust muffler tail pipe hangers tighten if loose
☐ Differential check for leaks

DRIVE OFF & PARK

☐ Engine oil, check level
☐ Hood latch, check
☐ Record all pertinent information in vehicle records

Mechanic Signature

Maintenance Coordinator Signature
QUARTERLY VEHICLE SAFETY INSPECTION
(Recommended Form)

[ / ] OK
[X ] Needs Attention

<table>
<thead>
<tr>
<th>INSPECTOR</th>
<th>INSPECTION DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>MAKE</td>
<td>MODEL</td>
</tr>
</tbody>
</table>

A. FLUIDS
- engine oil level
- radiator/washer level
- battery water level
- brake fluid level
- transmission/power-steering

B. GENERAL CONDITION
- body, bumper, trim

C. TIRES
- tread wear
- tire pressure
- lug nuts
- type, season

D. DOORS
- open and close properly
- won't open accidentally
- latches, handles, hinges

E. FLOORS/STEPS
- clean and free of debris
- safe from tripping
- tread covers not loose

F. SEATS
- sharp edges/exposed metal
- upholstery/springs
- firm mountings

G. GRAB-RAIL STANCHIONS
- padded properly
- firmly mounted
- other padding

H. WINDOWS
- safety glass
- vision obstruction
- operation
- sun visors

I. EMERGENCY EXITS
- doors work properly
- latches properly
- other exits open properly
- labeled properly
- no obstruction to exits
- door ajar warning alarm

J. SAFETY EQUIPMENT
- flares/reflectors triangles
- first aid kit
- 5 lb ABC fire extinguisher

K. DRIVER'S SEAT
- firmly mounted
- adjusts and catches
- seatbelt works properly

L. HEATER/DEFROSTER
- fans operate F/R
- heaters operate F/R
- defroster operates F/R
- air conditioner operates

5-10
PREVENTATIVE 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. ____________________________

5-11
PREVENTATIVE 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. ____________________________

5-12
PREVENTATIVE MAINTENANCE REPORT

Month: 
Vehicle #: 
Date: 
Mileage: 

MAINTENANCE LEVEL C
(to be done every 12,000 miles)

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<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td></td>
<td>Complete Maintenance Level A</td>
</tr>
<tr>
<td></td>
<td>Complete Maintenance Level B</td>
</tr>
<tr>
<td></td>
<td>Front End (Inspect/Align)</td>
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<tr>
<td></td>
<td>Rear Wheel Bearings (Clean/Repack)</td>
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<td>Engine Compression (Check)</td>
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<td>Valves (Adjust if needed)</td>
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<td>Valve Cover Gaskets (Inspect)</td>
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<td></td>
<td>Wheel Bearings (Inspect/Repack)</td>
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<td>Spark Plugs (Clean)</td>
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<td></td>
<td>Transmission (Change Filter/Fluid)</td>
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</tbody>
</table>

( ) OK  
( X ) Adjustment Made  
( O ) Need Attention

SPECIAL/INSTRUCTIONS for repairs needed:

Mechanic's Signature: 

INT.  

5-13
# VEHICLE CLEAN INSPECTION

**DATE:** ____________________  **BUS NO:** ____________________  
**CLEANED BY:** ____________________

## I.

1. STANCHION WET WIPED
2. SIDE & REAR WINDOWS WASHED AND CLEANED
3. INTERIOR PANELS, WINDOWS, SIDE & REAR CLEANED
4. DRIVER'S COMPARTMENT
   - WINDSHIELD
   - LEDGERS
   - DASHBOARD
   - PEDESTAL
   - DRIVER'S SEAT
   - MIRRORS
   - (INSIDE & OUTSIDE)
5. DESTINATION SIGN GLASS WET WIPED
6. FIRE EXTINGUISHER CHECKED
7. INTERIOR SIDEWALLS WASHED
8. WHEEL HOUSING WASHED
9. SEATS WASHED - WIPE
10. FLOOR WASHED
11. REMOVE GUM & OTHER ARTICLES FROM FLOOR
12. INTERIOR DOOR & SIDEWALLS WASHED AND CLEANED
13. UPPER DECK BEHIND REAR SEAT CLEANED
14. ROUTE SIGN - FRONT & REAR CLEANED
15. INSPECT CUT SEATS
16. INSPECT FOR CRACKED WINDOWS
17. NOTE OTHER VISIBLE DAMAGE

## II.

1. INTERIOR LIGHT LENS CLEANED INSIDE AND OUT
2. CEILING WASHED & CLEANED
3. REPORT WORN TIRES & LOCATION
4. CLEAN AND PAINT WHEELS
5. CLEAN WINDOW TRACK INTERIOR
6. WHEELCHAIR LIFT AND PLATFORM

**SPECIAL INSTRUCTIONS:** ____________________

**COMMENTS:** ____________________

______________________________
______________________________
______________________________

5-14
Mechanical Failure or Deficiency Report

Bus Number: ____________________________

Date: ________________________________

Time: ________________________________

Reported By: _________________________

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

________________________________________________________________________

________________________________________________________________________

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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)
**TIRE REPLACEMENT**

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

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<tr>
<th>REMOVAL</th>
<th>INSTALLATION</th>
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<tbody>
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<td>Bus No. __________________________</td>
<td>Hours Labor ________________________</td>
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<td>Date: ______________________________</td>
<td>Date: ______________________________</td>
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<td>Hubometer Reading _________________</td>
<td>Hubometer Reading _________________</td>
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<tr>
<td>Size ______________________________</td>
<td>Size ______________________________</td>
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<tr>
<td>Manufacturer _______________________</td>
<td>Manufacturer _______________________</td>
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<tr>
<td>Model ______________________________</td>
<td>Model ______________________________</td>
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<tr>
<td>Tread Reading _____________________</td>
<td>Tread Reading _____________________</td>
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<td>□ New  □ Used</td>
<td>□ New  □ Used</td>
</tr>
</tbody>
</table>

**LOCATION ON VEHICLE** ______________________

- **St. Side**
  - Rear: A, B, C, D
  - Top: E
  - Front: F
- **Curb Side**

**REASONS FOR REPLACEMENT:**

- □ Worn Out
- □ Damaged
- □ Other: (Specify)

(Driver if known ______________________)

(Official Use Only)

Mechanic’s Signature ______________________

5-17
<table>
<thead>
<tr>
<th>Qty.</th>
<th>Part Number</th>
<th>Description</th>
<th>Cost Each</th>
<th>Cost Total</th>
<th>Sub. Repairs (1)</th>
<th>Total Hrs. Labor</th>
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<td>Other</td>
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</tbody>
</table>

**Mech. Sign.**

**TOTAL**

**TOTAL**

*IF FOLLOW-UP TO MECHANICAL FAILURE REPORT, ATTACH REPORT HERETO*

*(1) ATTACH COPY OF SUBLET BILL HERETO*
<table>
<thead>
<tr>
<th>VEHICLE MASTER RECORD</th>
</tr>
</thead>
<tbody>
<tr>
<td>DATE</td>
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</tbody>
</table>

**KEY:**
- ADJUST
- REPAIR
- INSPECT
- ROADCALL
- PM 1, 2, 3
- OTHER

**COST**

**REMARKS**
# MAINTENANCE AND OPERATING COST

<table>
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<tr>
<th>VEHICLE(S)</th>
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<th>TOTAL</th>
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<td>Cost From Vehicle Master Record</td>
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<td>Brakes</td>
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<td>Suspension</td>
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<td>Drivetrain</td>
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<tr>
<td>Body &amp; Misc.</td>
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<td>P.M.</td>
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<td>Wheelchair Lift</td>
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<td>A. Total</td>
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<td>B. Cost From Fuel and Petroleum Records</td>
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<td>C. Total Cost (A + B)</td>
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<td>D. Total Miles Operated</td>
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<td>Cost Per Mile of Operation (C + D)</td>
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</table>

Period _____ of _____
Federal Funding Resource Matrix

The matrix below gives readers an easy-to-understand breakdown of critical information on 95 sources of federal funding for transportation. Each of these funding sources is described in the same order in the pages following the matrix. By determining which type of agency your system is, the kind of funding you are seeking and how you hope to use the funding, you'll find numerous, appropriate funding possibilities.

<table>
<thead>
<tr>
<th>Program Name</th>
<th>CFDA Number</th>
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<th>FY 1995 Funding Level (millions)</th>
<th>Categories of Assistance</th>
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<td>Ohio Coordination Program</td>
<td>Cities, Counties, RTAs, CTBs</td>
<td>$500,000 annually for operating projects; 75% State funds/25% local</td>
<td>August 1</td>
<td>October 1</td>
<td>Target areas are counties without public transportation</td>
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<td>Ohio Public Transportation Grant Program (OPTGP)</td>
<td>Cities, Counties, RTAs, CTBs, and private nonprofit corporations</td>
<td>capital, planning, and operating/funding ratios vary</td>
<td>Schedule varies from year to year</td>
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<td>Ohio Elderly and Disabled Transit Fare Assistance Program</td>
<td>Cities, Counties, RTAs, CTBs which offer general public transportation service</td>
<td>$2.6 million annually</td>
<td>Schedule varies from year to year</td>
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<td>Transit Systems must offer reduced fares to elderly and disabled riders; reduced fares can be no more than one half the regular adult fare.</td>
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<td>Specialized Transportation Program (FTA Section 5310)</td>
<td>private nonprofit corporations and public entities which are designated as leads in coordination efforts</td>
<td>approximately $2 million annually for capital (small buses and vans) purchases only; funding ratio is 80% Federal/20% Local</td>
<td>Program announced in early March; application materials available early April</td>
<td>June 27</td>
<td>MPOs administer the program in their urbanized areas; applicants in these areas apply directly to the MPO. All others apply directly to ODOT.</td>
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<td>Program</td>
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<td>cities, counties, RTAs, CTBs, and private nonprofit corporations</td>
<td>approximately $5 million annually; capital (80% federal/10% State/10% local) and operating (funding ratios vary)</td>
<td>July 1</td>
<td>September 1</td>
<td>State and Federal funds are allocated annually through a performance based allocation process.</td>
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<td>Urban Transit Program (FTA Section 5307)</td>
<td>cities, counties, RTAs, CTBs</td>
<td>Federal funds allocated to each urbanized area</td>
<td>Schedule varies</td>
<td>Schedule varies</td>
<td>Allocations made to each specific urbanized area are published annually in Federal Register's applications filled directly with FTA</td>
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<td>Ohio Technical Assistance Program (OTECA)</td>
<td>cities, counties, RTAs, CTBs, and private nonprofit corporations</td>
<td>approximately $300,000 annually</td>
<td>Program is on the State Fiscal year July through June.</td>
<td>Letters of requests accepted after July 1.</td>
<td>Eligible projects are scholarships, training and technical assistance. Requests are first come, first served.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Unless otherwise noted, all applications are filled with ODOT. For further information on specific programs, or to request criteria and application instructions, contact the Office of Public Transportation at (614) 466-8955.
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10/06/97
CHAPTER 6

OPERATIONAL POLICIES
### 6.1 How to Use This Chapter

6.2 Cancellation Policies

6.3 Complaint Procedures

6.4 Customer Eligibility Certifications

6.5 No-Show Policies

6.6 On-Time Performance

6.7 Pick Up Windows

6.8 Passenger Rules

6.9 Maximum Time On Board

6.10 Consumer Confidentiality

6.11 Making Concessions: When to Say "No"
CHAPTER 6

OPERATIONAL POLICIES

6.1 HOW TO USE THIS CHAPTER

This chapter contains guidance on establishing operational policies. Depending on the coordination activities undertaken, you may not require all of these policies. If you are operating directly or are responsible for purchasing transportation for coordination participants, you will need to establish operating policies. If your coordination program is linked to information and referral, joint purchasing and similar coordination activities, and does not involve transportation service delivery, the information in this chapter will not apply to your project.

6.2 CANCELLATION POLICIES

Cancellations will occur for a variety of reasons. For example, an evaluation of a mid-sized demand response transit program’s trip scheduling practices found that the cancellation rate was about eight to ten percent of total trips. At the same time, trips were being denied. Upon examination it was discovered that passengers were scheduling multiple trips in advance while only planning on taking one of those trips. Which trip was actually used depended on the most convenient day in a given week depending on the passenger’s personal circumstances. It was taking about 15 to 30 minutes to schedule trips, but cancellation calls were handled immediately. Thus, passengers consume less time by scheduling multiple trips and canceling those they do not need or want. After implementing a cancellation policy, cancellations fell to about two percent.

Minimizing cancellations is very important. Suggested elements to consider for your cancellation policy include the following:

- Definition of sufficient cancellation notice (1 hour, 2 hours, etc.);
- Definition of insufficient cancellation notice;
- Excusable circumstances (emergency situation);
- Whether or not passengers must pay for cancelled trips;
6.3 COMPLAINT PROCEDURES

Every transportation program should establish a sound method for handling and addressing complaints. When a complaint is handled quickly and courteously, a complaining party can be turned into a strong supporter. Address each of the following areas when developing complaint procedures:

- **Availability of comment/suggestion/complaint forms on all vehicles;**
- **Options for submitting comments/suggestions/complaints (mail, suggestion box on vehicles, telephone, etc.);**
- **On-board notice;**
- **Procedure to classify by type (driver, vehicles, vehicle temperature, late bus, etc.);**
- **Immediate acknowledgement (can be a letter or post card) of comment, complaint, or suggestion and timeline for responding to and resolving the complaint;**
- **Length of time comments are to be retained by the system;**
- **Definition of valid complaint and what information must be provided to validate the input;**
- **Complaint review process, response deadline, and appeal process**
  - if the problem has been resolved, when and what action(s) will be taken,
  - issue being investigated,
- if issue cannot be resolved what documentation must be provided, and
- if investigation reveals that the complaint has no merit what documentation must be provided;

- Confidentiality of input party’s identity;

- Periodic review (quarterly, semi-annually, etc.) of input received (to take action to correct common complaints, or implement suggestions); and

- Maintaining written record of all steps.

6.4 CUSTOMER ELIGIBILITY CERTIFICATIONS

Each participating agency will most likely want to be responsible for eligibility determination for their customers. However, one or more agencies may want eligibility certification to be a function of the coordinated transportation system. If this is the case in your system obtain the eligibility criteria from each participant. Then, be sure to confirm with agencies each of the following:

- Requirements for proof of eligibility;

- Period of eligibility and recertification requirements;

- Documentation required; and

- Record keeping requirements.

The costs associated with performing eligibility certifications should be included in those unit rates billed to agencies for which you are conducting eligibility screening. You may want to use a direct method to allocate certification costs to the appropriate agencies.

6.5 NO-SHOW POLICIES

No-shows are passengers who schedule trips and then are not present at the time and place of the requested pickup and who have not properly cancelled (in accordance with the provisions of the cancellation policies). The failure to cancel a scheduled trip with sufficient notice affects those passengers who have been denied service due to full schedules and results in the unproductive consumption of time and resources. Money is lost and the transportation system becomes inefficient.

No-shows must be controlled. They can represent 5 to 20 percent of all requested trips if a good policy is not in place. A no-show rate of 2 or 3 percent is reasonable.

Most of the items listed for inclusion in the cancellation policy also pertain to no-show policies. At a minimum, the following issues need to be addressed in a no-show policy for a coordinated transportation program.

- Passenger Awareness: No-show policies and procedures must be explained by the reservationist to passengers and agencies at the time a trip is scheduled. Service brochures also need to apprise riders of no-show policies. Agencies must be responsible for explaining to their riders the policies and procedures related to no-shows and the consequences for violating these policies.
• **Agency by Agency Determination of No-Show Ramifications:** Each participating agency should be able to determine how it desires no-shows (and cancellations) to be handled. They can elect to follow the policy or pay for these occurrences. While a standard cancellation and no-show policy should be created, an agency may elect to pay for its customers who fail to provide proper cancellation notice or who violate the no-show policy. If an agency desires to pay for those unused trips, this should be their right. However, agencies must either pay for these occurrences or agree to follow the coordination program’s policies.

• **Insufficient Cancellation Notice:** Insufficient notice of cancellation may be considered the same as a no-show. The determining factor is usually the ability of the reservationist to cancel the trip from the daily work assignments of the assigned driver prior to the driver’s leaving for the pick up point. In the event, due to insufficient notice, the trip cannot be cancelled for whatever reason, the trip should be treated as a no-show.

• **No-Show Records:** No-show records must be maintained. The reservationist can update these records at the time of each no-show event. The records can be maintained manually or, if available, as a function of the scheduling software.

• **No-Show Notification:** A process must be in place for reservation staff to notify the transportation coordinator whenever they record a no-show. The transportation coordinator must send passengers who accrue a no-show event a standard letter notifying them that a specified number of no-shows within a specified time period will result in a specific action. A letter is to be sent for each no-show (assuming your policy does not suspend service on the first event). In some systems service is suspended for a specified number of days when the third no-show in a 6 or 12 month period occurs. Whatever the disciplinary action may be, it must be communicated to the passenger (and sponsoring agency, if applicable).

• **No-Show Appeal Process:** Passengers (or agencies on their behalf) must be granted the right to appeal a no-show determination. This practice is good business. Receipt of an appeal should be limited to within a specified number of days of the mailing of the warning letter. You should decide if the appeal can be made either verbally or in writing. You should also decide to whom the appeal is to be sent (normally the transportation coordinator). The person assigned the responsibility for appeal review must consider the appeal based on the reason given and the history of the person responsible for the no-show event. A response to the passenger (or interceding agency) in writing within a specified number of working days of receipt of an appeal must be provided. You must decide on the number of days allowed for receipt of an appeal and the number of days for resolution/disposition. You will also have to decide if you will grant appealing parties the right to further appeal to the governing board.
• **Suspension of Service:** As noted earlier, some systems suspend service unless the passenger or agency agrees to pay for the no-show. Some systems give persons one "free" no-show. When the third no-show occurs in the allotted time period *(e.g. a 12 month period)*, service is suspended *(e.g. 30 days, 6 months, etc.)* unless the person pays the full cost of the second and third no-show events. Whatever method you select, a disciplinary measure needs to be taken to control no-shows.

• **Service Reinstatement (if applicable):** A process to reinstate service for a passenger whose service has been suspended must be specified. The suspension could be for a designated number of days or until the no-shows have been fully reimbursed.

• **Suspension of Service Rescission:** Some person within the transportation organization must be authorized to rescind a suspension of service due to no-shows. The decision to rescind a suspension of service must be based on the circumstances surrounding each individual suspension on a case-by-case basis. Ideally, the person would be the same person who made the suspension decision.

As with cancellation policies, no-show policies must be formally adopted by coordinated transportation governing board.

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### 6.6 ON-TIME PERFORMANCE

On-time is typically defined as the time a vehicle is scheduled to arrive at a pick up point. Performance refers to whether or not the vehicle arrived at the pick up point at the scheduled time.

The scheduled time may be within a certain number of minutes (see section 6.7) or it may be at a specified time *(e.g. arrival at an agency by 8:45 am to deliver a group of mental health customers)*.

You must develop a method to track arrival times in order to monitor on-time performance. This information could be included on the driver’s log. As an option, drivers could radio the dispatch office to report actual arrival times. These times can then be compared to scheduled arrival times. By assessing on-time performance, you can make decisions to adjust schedules up or back. Over time, this information also helps schedulers improve their scheduling capabilities. Monitoring on-time performance is especially important in a demand response operation.

You should work with your policy committee to create a definition of on-time performance. Is it plus or minus five minutes of the scheduled time? Is it less than five minutes of the scheduled time?

---

### 6.7 PICK UP WINDOWS

In a demand response operation *(which many coordinated rural and small urban systems are)* it is not possible to accurately project pick up, destination arrival, and departure times. If the system is operating subscription
service, the actual routes can be timed, and an accurate schedule can be developed. But in demand response services numerous events combine to make time projections difficult. For example, when a reservationist and/or dispatcher receives a random service request at 8:00 am, the dispatcher cannot project how many additional requests will be received until the call-taking cut off time. Additional random trips result in changing pick up patterns and schedule times. Also, especially with a system that serves many elderly persons and persons with mobility impairments, the boarding/disembarking process can be time consuming.

For these reasons most demand response (including route and point deviation) systems create pick up windows. A pick up window is the time during which a passenger is instructed to be ready for the vehicle to arrive at the agreed upon pick up point. In small service areas (a small town or community) the pick up window may be 15 minutes before or after the requested pick up time. Thus, if the agreed upon pick up time is 8:00 a.m., the actual pick up time could be between 7:45 and 8:15 a.m. If the vehicle actually arrives within the one-half hour window, the vehicle is considered "on-time" (see Section 6.6).

In larger rural areas the pick up window is normally longer. Typical windows in large rural areas are 30 minutes plus or minus the agreed upon pick up time (a one hour window).

The pick up window provides flexibility to route vehicles in the most cost efficient way. Work with your operations committee to create a definition for your pick up window.

---

6.8 PASSENGER RULES

Coordinated systems must have rules about the behavior of passengers on board a system vehicle. These rules are for common courtesy as well as for the safety of all passengers and the driver.

The typical rules governing passenger behavior are listed below. Each system should work with participating agencies to establish appropriate rules.

- **Age Limitations:** Many systems have a minimum age under which a child must be accompanied by an adult eighteen (18) years of age or over.

- **Safety of Passengers/Child Restraint Seats:** Since many coordination systems use sedans, station wagons, taxicabs, and vans, a policy concerning the use of safety belts is necessary. The policy should be consistent with state law and include the use of approved child restraint devices. Consideration must also be given to the threat of air bags to small children and adults.

Decide, too, whether or not you will provide approved child safety devices or if passengers with small children will be required to provide their own safety devices. This is a local issue which must be addressed in this policy.

- **Passenger Assistance for Special Needs:** Demand response service can be "curb-to-curb" or "door-to-door." In curb-to-curb services, drivers are responsible for providing assistance to all passengers getting in and out of vehicles, for ensuring that seat belts
or other appropriate child restraint seats are properly used and secured, and for assisting persons with disabilities using wheelchair lift and passenger restraint systems. Door-to-door service extends the curb-to-curb service to include assisting persons from the door of their home (or destination) and into the system vehicle.

Policies covering what assistance drivers are to provide must be created for your system. As with all of the operating policies, this should be a committee effort.

Due to liability issues many systems provide only curb-to-curb service. Liability can include injury to passengers getting from their door to the street or boarding area since the coordinated program has no control over the condition of private property. Other liability issues experienced include accusations of theft from the passenger as well as sexual harassment. Other potential liability exposure results when a driver has passengers on board and must leave the vicinity of the vehicle to provide assistance to another passenger. For these reasons many experienced systems have a policy that requires passengers who need additional assistance to secure their own escorts. These systems do not allow drivers to assist passengers using wheelchairs up or down any steps at the pickup location. Typically these systems allow one escort to ride free.

- **Disruptive Behavior**: A policy to address disruptive behavior should be developed. Disruptive behavior includes the following:
  - carrying or brandishing weapons;
  - loud, foul or abusive language;
  - fighting with other passengers;
  - sexual, racial, or other forms of harassment against other passengers and/or the driver;
  - throwing items or yelling out of the vehicle windows or doorway;
  - vandalism;
  - drunkenness or impairment from other substances which results in disruptive behaviors;
  - interfering with the driver’s ability to safely operate the vehicle;
  - the willful disregard for the safety of others; and/or
  - playing portable radios, tape players, CD players, etc. without personal headphones that ensure that other passengers are not disturbed.

- **Driver Intervention**: Depending on the severity of the passenger’s behavior, drivers should be instructed on how to respond to given situations. For example, some systems afford the driver some latitude in making decisions if they have reason to believe that they can safely stop the behavior and/or harassment by intervening. However, drivers need to be aware that their actions could possibly provoke behavior which is more disruptive than the original problem. Drivers must have clear guidance on how to address these common situations (e.g. intervene, communicate with dispatch staff, notify law enforcement, contact a sponsoring agency, pull over in a safe area and await other assistance, etc.).

Occasionally you may encounter a passenger who does not practice good “hygiene”. If this constitutes a potential safety or health hazard for the driver or passengers, you must develop a policy for addressing this issue. If the passenger is being sponsored, work with the sponsoring agency.
• **Suspension of Service or Other Ramifications:** Depending on the severity (and/or the willful repetitive occurrences) of a passenger's disruptive behavior, the system may want to consider a policy of temporary or permanent suspension from transportation service. Other measures may also be taken. However, each transportation program must have policies to control passenger behavior and clear consequences for persons who show willful violation of the established policies.

Other passenger rules should address the following subjects:

- Eating and drinking by drivers and passengers on board a system vehicle;
- Smoking by drivers and passengers while on board a system vehicle;
- Reasons for suspending service;
- Number of packages and bags passengers can bring on board; and
- Assistance with packages.

### 6.9 MAXIMUM TIME ON BOARD

Depending on the service area and the vehicle size, some systems have found it necessary to impose a "maximum time on board" policy. If the service area is very large and the vehicle is in the small bus category (18-25 passengers) passengers could be on board a significantly long time while all passengers are being picked up. They may spend 1 1/2 to 2 hours making a trip which by private automobile would take a quarter of that time. Thus, a policy on maximum ride time is required.

Maximum ride time has to be balanced based on 1) the size of the service area; 2) the size of the vehicle; 3) the customer base; and 4) the time it would normally take a person to travel from their origin to their destination in a private automobile. As a rule, the maximum travel time should be no more than twice the time it would take via private vehicle. This is a decision for the operations committee.

6.10 CONSUMER CONFIDENTIALITY

Many human service agencies are required to keep information about their customers confidential. Each participant in the coordination program may have different policies and regulations concerning consumer confidentiality. The coordinator should create a confidentiality policy and implementing mechanism(s) consistent with the requirements of participating agencies. One mechanism is segregating records in locked files (physical files if a manual record keeping
system is in place or via password if an automated computer record system is used). Find out what confidentiality requirements each agency must follow. Then create a confidentiality policy.

6.11 MAKING CONCESSIONS:
WHEN TO SAY "NO"

No matter how well your program is put together, how effective your project is, and how well you are organized, you will not satisfy everyone, all the time. As a provider of a service, you must place a high priority on always attempting to satisfy your customer (participating agencies, their customers, and others dependent upon your coordination program). In attempting to satisfy your customer you will often find reasonable concessions. But there will be times when the most reasonable concession will be unsatisfactory to your customer. As a general rule, when the action (or actions) requested by one of your customers would adversely impact other customers, or cost your program money that it cannot recoup, it is time to say "no." However, even when saying "no" to a customer, always provide a reasonable explanation of why you cannot meet the request.

Before saying "no," be sure you are not doing so "because that is the way we have always done it." Many such requests have the potential for making improvements to your coordination effort. Keep an open mind and be prepared to evolve.

Since you have already worked through the Coordination Handbook to plan your coordination system, you have doubtless encountered many turfisms and "perceived" barriers with the many different state and federal programs and requirements. It is possible however, that in developing your

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CHAPTER 7

RISK MANAGEMENT
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CHAPTER 7

RISK MANAGEMENT

7.1 ACCIDENTS AND INCIDENTS

The number of accidents and incidents must be monitored. First, a definition of both terms should be established. An accident may be defined as "any form of bodily injury or any property damage of $100 or more." An incident may be defined as "driver/passenger confrontation, property damage under $100" and similar occurrences. You need to develop definitions for these terms and have them adopted by the governing board.

Once defined, these occurrences must be related to a specified number of vehicle miles. Many transit system use accidents and incidents per 100,000 miles of vehicle operation as two separate measures. Monitoring accidents and incidences is essential. Establish your policy.

Additional References


7.2 EMERGENCY PROCEDURES

Operations staff must be prepared to handle emergencies. Emergencies can range from a sick passenger to an accident or vehicle fire. Preparedness is the best defense. Staff, especially drivers and dispatch personnel, must be thoroughly trained to handle emergency situations. Address the following items in your risk management plan. (Also refer to Section 7.5.)
• On-board passenger accident or illness:
  – dispatch notification,
  – passenger comfort,
  – securing witnesses,
  – passenger’s right to file claims and an explanation by operators on how to make such claim,
  – how to handle sudden illnesses, and
  – handling other passengers while awaiting assistance;

• Vehicle operator illness policies (while operating a system vehicle);

• Fires:
  – immediate actions (stopping in a safe place, evacuating passengers, etc.),
  – getting persons with disabilities out of the vehicle,
  – checking to be sure no one is left on board,
  – notifying dispatch, and
  – supervising passengers while awaiting assistance;

• Maintenance and mechanical breakdown:
  – maintaining vehicle maintenance records,
  – getting a vehicle out of the flow of traffic when a mechanical problem arises,
  – ensuring passenger safety,
  – notifying dispatch, and
  – securing the vehicle, use of 4-way flashers and flares or reflectors; and

• Accidents:
  – passenger evacuation and safety,
  – notifying dispatch,
  – involvement of police,
  – when to request an ambulance,
  – securing the vehicle, use of 4-way flashers and flares or reflectors,
  – securing witnesses,
  – what to say and not say,
  – reporting accidents and completing forms, and
  – drug and alcohol testing.

Additional References


7.3 FTA DRUG AND ALCOHOL TESTING REGULATIONS

The Omnibus Transportation Employees Testing Act of 1991 gave the Federal Transit Administration (FTA) the statutory authority and legal requirement to develop rules requiring drug and alcohol testing programs for all FTA Section 5309, 5307, and 5311 recipients. The Federal Highway Administration (FHWA) was also required to establish regulations requiring drug and alcohol testing for all holders of Commercial Drivers’ Licenses. The final rules published on February 15, 1994 in the Federal Register and subsequent amendments, clarifications, and interpretations define the drug and alcohol testing requirements that must be met by FTA funded transit systems. The final rules should be consulted directly for specific rule content. Also, the Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit, along with corresponding updates, will provide additional insights into the regulations and current FTA interpretation of the regulations.
The Implementation Guidelines for Drug and Alcohol Regulations in Highway Transportation should be consulted directly for specific content of the FHWA rules. The FHWA rules were reprinted in their entirety, including all modifications and corrections on March 8, 1996.

The purpose of the FTA drug testing regulation (49 CFR Part 653) is to prevent prohibited drug use in transit operations by requiring all recipients of FTA financial assistance to have an anti-drug program that is designed to detect the use of prohibited drugs by safety-sensitive employees. The purpose of the FTA alcohol testing regulation (49 CFR Part 654) is to prevent alcohol misuse in transit operations by establishing programs designed to help prevent accidents and injuries resulting from the misuse of alcohol by safety-sensitive employees. The FHWA regulation (49 CFR Part 382) similarly prohibited drug use and alcohol misuse among CDL holders. The FTA and FHWA regulations are similar but they are not the same. Agencies that receive FTA Section 5311 or 5307 funding need only comply with the FTA regulation and do not need to comply with FHWA’s regulations even if they have CDL holders on staff. However, agencies that do not receive FTA funding through the Section 5307 or 5311 programs should comply with FHWA regulations for those employees who hold CDLs. Agencies that do not receive FTA funds nor employ CDL holders do not have to comply with either regulation.

Both regulations pre-empt inconsistent state and local laws except for criminal law violations. Consequently, there are no provisions for waivers or exemptions from the regulations. For FTA recipients, compliance is a condition of continued FTA funding and must be certified on an annual basis. Violations of FHWA regulations can result in significant fines for both the driver and/or agency and the loss of the driver’s CDL. False certifications or misrepresentations are punishable with criminal penalties including a maximum fine of $10,000 and/or imprisonment for up to five years.

An agency can embellish or add to the FTA/FHWA requirements, as long as the FTA/FHWA minimum requirements are met. Employees must be notified of what provisions are made under the authority of the FTA or FHWA and which are made under the authority of the agency.

Common to both regulations are the following requirements:

**Policy**

The policy must describe the system’s drug abuse and alcohol misuse program policies and procedures, including applicability, prohibited behavior, circumstances for testing, testing procedures, required employee compliance, consequences, and agency contact person.

**Applicability**

The FTA regulations are applicable to safety-sensitive employees that perform a duty related to the safe operation of transit services, including contractors that “stand in the shoes” of safety-sensitive transit employees. Safety-sensitive duties include the operations of a revenue service vehicle, regardless of whether the vehicle is in revenue service; operation of a vehicle that requires a Commercial Drivers’ License; controlling movement or dispatching revenue service vehicles; maintenance of a revenue service vehicle or equipment (Section 5311 maintenance contractors are exempt); and security personnel that carry firearms. The FHWA rules apply to only those individuals that
Prohibited Behavior

The consumption of five specified illegal drugs (marijuana, cocaine, amphetamines, opiates, and phencyclidine) are prohibited at all times, and thus an individual is subject to testing anytime while on duty. Employees must be prohibited from reporting for duty or remaining on duty that requires the performance of a safety-sensitive function anytime the employee’s ability to perform his/her assigned functions is adversely affected by alcohol, or whose breath alcohol concentration is 0.04 or greater. Under FTA regulation, employees with a concentration of 0.04 or greater may not perform safety sensitive functions until he/she has been evaluated by a substance abuse professional and passed a return to duty test. Alcohol tests can only be conducted during, before, or immediately following the performance of safety-sensitive job functions. In addition, employers shall prohibit employees from consuming alcohol within four hours of performing safety-sensitive job duties, while on-call, or within eight hours following an accident.

Testing Methods

The testing procedures used must be consistent with the requirements set forth in 49 CFR Part 40, as amended, including urinalysis for drugs and evidential breath testing for alcohol. The DOT regulation provides guidance with respect to the procedures for urine specimen collection; use of custody and control forms; sealing and shipping procedures; laboratory processing procedures; establishment of minimum testing thresholds; quality assurance and quality control procedures; review of results by a Medical Review Officer; and reporting requirements for drug tests. The rule also defines the procedures for breath alcohol collection; specification for the testing equipment; and qualification of the testing technicians.

All drug testing under the FTA/FHWA regulations must be done in a laboratory certified by the Department of Health and Human Services (DHHS). These laboratories have been rigorously inspected and tested and meet the highest standards for analytical competence. An initial screen is performed using an immunoassay test. If the screen does not register negative, a confirmatory test will be performed using a gas chromatography/mass spectrometry (GC/MS) test. The test results must be reviewed by a qualified Medical Review Officer (MRO) for verification and validation. The MRO must provide the individual with an opportunity to discuss the test results, verify the individual’s biomedical history, and determine whether there is a legitimate medical explanation for the test result.

The regulations require that alcohol tests include initial screen and confirmatory tests that are conducted using equipment approved by the National Highway Traffic
Safety Administration (NHTSA) and trained technicians. If an initial screen test indicates an alcohol concentration of 0.02 or greater, a second confirmatory test must be completed within at least fifteen minutes, but not more than thirty minutes after the initial test. All confirmatory tests must be performed using an Evidential Breath Testing (EBT) device and operated by a Breath Alcohol Technician (BAT). The regulation prohibits any employer from allowing an employee with an alcohol concentration of 0.04 or greater to perform any safety-sensitive duties. An employee with an alcohol concentration of 0.02 or greater, but less than 0.04, must be removed from duty for eight hours or until a retest shows a test result of less than 0.02. The FHWA regulations require the individual to be removed from duty for 24 hours following a test result of 0.02 or greater but less than 0.04 BAC.

Testing Categories

Drug testing must be performed for pre-employment (including transfers to a safety-sensitive position), reasonable suspicion, random, post-accident, return-to-duty, and follow-up. Alcohol tests must be performed for all of the same instances except for pre-employment.

Education and Awareness Training

All employees must receive or have access to general information regarding substance abuse, community hotline telephone number(s) and the transit system policy. In addition, all FTA safety-sensitive employees must receive at least sixty minutes of training on the effects and consequences of drug use on personal health, safety and the work environment. Supervisors must receive an additional 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use and an additional 60 minutes on the physical, behavioral, speech, and performance indicators of probable alcohol misuse.

Consequences

All employees must have a negative drug test prior to performing any safety-sensitive functions. Random drug and alcohol tests are also required. A test refusal or a positive test will result in the immediate removal from safety-sensitive duty. The agency may take whatever disciplinary action it deems appropriate consistent with its personnel procedures and work rules. The regulations stipulate, however, that no employee is allowed to return to work until they have a negative test result, have successfully completed the treatment prescribed by a qualified Substance Abuse Professional (SAP), and have agreed to frequent, unannounced, follow-up testing for a period of one to five years.
Information, Referral, and Evaluation

Once removed from duty, an individual that has refused a test or tested positive must be advised of the resources available to evaluate and resolve problems associated with the use of prohibited drugs or the misuse of alcohol, including the names, addresses, and telephone numbers of SAPs and counseling and treatment programs. The employee must be assessed by a SAP who shall determine what assistance, if any, the employee needs in resolving their alcohol or drug problems.

Recordkeeping and Reporting

The regulations require extensive recordkeeping for one, two, and five year periods for various types of records. The records must be secured and kept separate from personnel records. The confidentiality of these records must be maintained with disclosure allowed only under very specific circumstances as outlined in the regulations.

Certification of Compliance

FTA recipients must make annual certifications of compliance to FTA each year as part of the grant application process. In addition, FTA recipients are required to provide annual data summaries of their testing programs. The reports should be provided for each recipient and any contractors that are standing in the shoes of the recipient. FHWA covered agencies are also required to prepare annual data summaries, but are only required to submit them if specifically requested by FHWA.

Additional References


"FTA Drug and Alcohol Regulations Updates," FTA Newsletter published quarterly: available from RLS & Associates, Inc. Call 937-299-5007 to be placed on the mailing list free of charge.

7.4 INSURANCE

You will need to consult an insurance expert. If you are part of an existing organization or local government, it is likely that this entity already has a risk manager. Talk to that person for assistance in assessing your insurance needs. If your organization is new and you have no risk management contacts, you can consult a local insurance broker. They will be able to help you identify your risks and insurance coverages. Another transit provider (normally one in a large community) may also have a risk manager who could provide guidance. You may also be able to find an example of a request for insurance proposals since you must obtain insurance through a competitive process.

This section provides an overview of the types of insurance that your coordination program may need. The actual insurance you need will depend upon the nature of your coordination program. This section is not all inclusive. You must obtain guidance from an insurance advisor. This section provides
sufficient information for you to begin discovering your insurance needs and solutions.

The following are the major categories of insurance available to transit providers:

- General liability - refers to the normal liability of an organization resulting from its operations, facilities, and employees;

- Public officials/directors and officers liability - refers to the liability resulting from the actions of a member on a governing board;

- Building liability - refers to the liability resulting from the ownership of a building;

- Workers’ compensation - refers to the statutory system prescribed by law for employers to provide medical care and loss of income benefits to employees sustaining injuries on the job;

- Automobile liability - refers to the liability resulting from motor vehicle operation; and

- Automobile physical damage - refers to the liability resulting from physical damage caused by motor vehicle operation.

The coordination program’s board must approve by formal action all insurances to be purchased, deductible amounts, and other insurance related decisions.

Officers and Directors (Public Officials) Errors and Omissions Liability

This insurance is designed to protect directors and public servants for alleged wrongful acts. Included is protection against errors, omissions, misstatements, neglect or breach of responsibilities in lawsuits or claims. Fraudulent, dishonest, or malicious acts are not covered. It will protect your board members against suits by employees over wrongful termination, and it will protect them in the event of certain kinds of discrimination lawsuits.

Professional Liability

You may need to secure professional liability insurance, if you or your staff will provide advice to other organizations on technical issues.

Crime

Like it or not, your coordination program will have the risk of theft from dishonest employees and from criminals outside your system. Crime insurance provides protection against theft of money and other property.

Property

Property insurance covers the replacement or repair of property damaged by "perils." Perils include fire, smoke damage, floods, wind, and similar happenings.
Employee

If your coordination system has employees, workers' compensation and unemployment compensation are required. Workers' compensation insurance protects employees in the event they are injured in the performance of their duties. Unemployment insurance is usually a payroll tax that you pay for using your state's unemployment fund.

Optional insurances which your governing body will need to consider are

- Healthcare;
- Life;
- Disability;
- Dental; and
- Eye care.

These insurances are considered as a part of the employment package and are voluntary.

Vehicle

If you are involved in vehicle operations or assigning persons to vehicles operated by another agency or company be certain that vehicle insurance is in place. If you are contracting for service, you must be named as an additional insured and held harmless by the entity operating the service. Additionally, if the vehicles were purchased with Federal and/or State funds, those agencies must also be named as additional insured. You will need a copy of the certificate and assurance that the coordinator agency will be notified in writing in advance of any termination of the insurance.

Vehicle insurance includes the following:

- Comprehensive automobile liability (owned, non-owned, and hired) which covers
  - bodily injury to passengers,
  - property damage (vehicles and other properties).

You will have to make a decision concerning the deductible for your vehicles. The higher the deductible, the lower the premium. Common deductibles are $250, $500, and $1,000. This, as with all insurance issues, will be a board decision.

Other

Excess liability covers claims over and above the primary coverage. This insurance normally only covers the same risks as the primary coverage. Excess liability can usually be purchased for all or just one or two of the risks covered by primary policies.

Umbrella liability provides higher limits of coverage over a broader base than do the primary coverages and excess liability. This kind of insurance is important since protection is extended for potential high level losses. This is especially important since the primary (and excess) insurances may not cover some items covered in the umbrella policy.

Additional References

7.5 CREATING A RISK MANAGEMENT (SAFETY) PLAN

In addition to having insurance, it is wise to create a risk management plan. A risk management plan reviews risks, creates policies and procedures to safeguard against the risks, and provides damage control if a risk becomes a reality.

The Transportation Cooperative Research Program (TCRP) published a 1995 report entitled "TCRP Synthesis 13 - Risk Management for Small and Medium Transit Agencies." The report provides the following explanation of the purpose of risk management:

"Protect the organization from severe financial disruption due to accidental losses, and do so at a cost that is affordable and does not fluctuate significantly from year to year."

"Underlying risk management objectives include protecting assets from loss or destruction, creating a safe work environment for employees, and reducing the likelihood of injuring or damaging a customer or another party."

Negligence is presumed to be the cause of all preventable accidents. The purpose of a safety plan is to minimize accidents and when one occurs, to determine whether the negligence resulted from the action or inaction of a transit employee, in order to identify and implement corrective action and ultimately prevent future accidents and/or injuries. The safety policy needs to cover all transit employees involved in transit service provision as well as subcontract employees providing service on behalf of the coordinator.

A safety or risk management plan should address the following:

- Pursuit of an active safety inspection program involving all facilities, vehicles, and work procedures, to identify and correct all hazardous work conditions and practices;

- An active investigation and review of all work related accidents involving transit employees or property to determine the source of negligence in the accident and to outline preventive measures;

- Conducting formal and informal safety training sessions for all employees;

- Establishing personal protective equipment guidelines for all transit employees, provide the equipment, and require employees to utilize the equipment;

- Designation of person(s) responsible for establishing the safety plan including
  - being responsible for successfully administering the plan and establishing, monitoring, and reporting on the system’s safety objectives;
  - developing, publishing, and enforcing reasonable safety procedures pertinent to transit activities;
- providing (or providing for) or ensuring adequate job training and continuing instruction for all employees, including those of sub-contractors;
- making the final determination as to preventability or non-preventability;
- meeting with employees involved in accidents determined preventable to review disciplinary and corrective action; and
- setting a good example for safety by working in a safe manner and by encouraging others to do so.

**Responsibilities of all employees including**

- promptly reporting all work-related injuries and accidents to the administrator (in-house employees) or the contractor's supervisor (contractor staff), or their designee;
- reporting all unsafe practices or conditions;
- using proper judgement to avoid accidents;
- participating in all safety training;
- becoming familiar with, and operating within, all safety procedures for the assigned work activity;
- notifying the administrator or contract supervisor or their designee when taking medication which may impair physical or mental alertness and affect ability to perform a job safely;
- using or wearing protective equipment at all times and obtaining replacements for such equipment when damaged or otherwise unserviceable; and
- accurately completing "Employee Statements" on appropriate accident reports; and

- Disciplinary policy for failure to follow the risk management plan to include progressively more severe discipline up to and including termination.

**Pre-Loss**

According to the TCRP report previously referenced, examples of pre-loss risk control include the following:

- Hiring practices geared to employ only qualified personnel;
- Training to assure new employees understand how to perform their jobs, interact with the public, and react in emergencies; and
- Maintaining equipment to make sure that it operates with as few failures as possible.

The TCRP report provides more specific pre-loss controls which include

- Pre-trip bus inspections;
- Employee disciplinary codes that consider accident records and safety violations;
- Provisions requiring labor's participation in risk control activities in system labor agreements;
- Service route visual inspections;
- Financial incentives to employees to reward safe work;
- Establishing a labor/management safety committee;
• Safety consideration in scheduling, routing, and bus stop design;
• Written minimum standards, such as drivers wearing seat belts; and
• Bus operator monitoring (ride checks, street supervision, complaint follow-up).

If the recommendations in this Guide are followed, your system will have many of the pre-loss risk management practices in place. You need to consider the others not specifically addressed in this Guide that would be applicable to your coordination program (financial incentives to reward employees for good safety records, creating a labor/management safety committee, etc.). To locate examples of pre-loss risk management practices, consult with your insurance agent. Also, contact other transportation systems including large urban projects. You may even want to contact one of the national transit management companies and obtain a copy of their risk management plan. Remember, you don’t need to create something if you can find and then choose among specific activities already developed by someone else.

Post-Loss

Post-loss activities are actually a form of "damage control." In other words, the result of loss can be minimized if the reaction to the potential loss is thought out in advance, proper safeguards are in place, planned actions taken (or established procedures followed), and the situation controlled. A simple example is first locating a vehicle’s fire extinguisher in a location where the driver can quickly get to it and ensuring that all drivers know how to use the fire extinguisher (thinking about the situation and reaction in advance). Be sure that drivers check the extinguisher for charge as a part of the pre-trip inspection (proper safeguards in place). A driver’s quick reaction to a vehicle fire by extinguishing the flame with a fire extinguisher completes the cycle (controlling the situation). In this example the loss would be minimized since the entire vehicle did not burn. The following provides some additional examples as cited in the TCRP research:

• Prompt, efficient and professional response to all incidents that may generate claims brought by employees or third parties;

• Cooperation between claims professionals and the involved management and operating personnel of the organization;

• Speedy resolution and payment of losses for which the organization is liable;

• Management of service provided by healthcare and legal professionals;

• Organized and firm defense against meritless allegations;

• Periodic independent management audits of the claim handling function; and

• An active accident review committee, composed of labor and management.

If your coordination program involves control over the movement of vehicles and the transport of persons, you need to consider the on-going benefits which can be derived from a post-loss risk management plan.
Additional References


CHAPTER 8
SCHEDULING AND DISPATCHING

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8.1 COMPUTERS AND SOFTWARE

A coordinated transportation system may be forced to deny some trips because the staff lacks time to schedule all requests. A computerized scheduling and dispatch system can make the task easier. It can also eliminate the need for additional personnel. Once you have made the decision to purchase software, you must decide which software package to buy.

The software package purchased will depend on the coordinated system’s mode of operation. Does your project require each agency to have its own database, which can then be viewed by other agencies (for trip sharing purposes)? Does your project require a central coordinator who schedules all trips of all participating agencies in a consolidated system? It is critical that the needs of individual agencies be considered as well as the coordination project as a whole. For example, agencies with volunteer drivers would have different software needs than would agencies who have all paid drivers. Also, some software packages cannot prepare vehicle schedules for vehicles garaged at de-centralized locations (such as if drivers take vehicles to their homes). Other software packages cannot handle real-time scheduling (scheduling that is done on the same day as the trip).

There are numerous software programs available off-the-shelf for scheduling and dispatching. Some programs do more than others, but all can keep records, generate some reports, and provide billing information. Some items to keep in mind when looking at software products are as follows:

- Does the software meet the needs of your coordination project and of all the participating agencies?
- Can the program generate customized reports?
- Does the program use day before (batch) or day of (real-time) scheduling/reservation?
- Is the software in use any place else and what experiences (good or bad) have the users had with the product?
- How long has the developer been in business?
- When will the next generation of software be available, and how much will an upgrade cost your coordination project?
- How many simultaneous users can be on the system, and can enough stations be connected to meet anticipated growth?
• Does the coordination project need a Geographic Information System (GIS); (one that can generate maps of routes for each day for each vehicle or track vehicle location)?

• Does the coordination project need automatic vehicle locators or mobile data terminals on board their vehicles?

Once you determine the software your system needs, you must purchase hardware. The hardware must meet the requirements of the software and allow all agencies to coordinate operations in the manner to which they originally agreed. You will need hardware to network the agencies together if this is to be a feature of your program. The network aspect can be difficult, especially in hilly areas. Wireless networks can have problems reaching through hills, trees, or other obstructions, and hardwired networks using dedicated phone lines can add a large monthly charge to the cost of the system.

Some organizations in Ohio have found that purchasing hardware and software from different vendors can also create problems for networked systems.

Other types of software are available, sometimes as add-on modules to the scheduling/dispatch software and sometimes as stand-alone. This software can handle accounting, maintenance tracking, drug and alcohol testing and tracking, risk management issues, and other types of transit needs. Some of these packages can be very helpful to a coordinated system. Accounting software that is integrated with the scheduling/dispatch system is especially valuable, since this software simplifies invoicing each agency for their share of customer trips.

Additional References

"How to Choose a Computerized Scheduling/Dispatch System," Ohio Department of Transportation.


8.2 RESERVATIONS, SCHEDULING AND DISPATCHING

The terms reservation, scheduling, and dispatching are often used interchangeably. For many systems these functions are all performed by the same person or persons. However, there can be differences. For this reason these functions are addressed separately below.
Reservations Function and Policy

This function entails taking calls from passengers and agencies to schedule a trip. The function is handled much like a commercial airline when persons call to order a plane ticket and select a seat. The function can be performed by the person(s) who makes the vehicle schedules. In a small system with a minimum number of random trips, this is normally the case.

You should assign someone to take inquiries about your coordination program and to take calls for service if your program 1) is to be open to the general public; and/or 2) accommodates agencies' desires to have their customers call the coordination office directly to arrange their trips. You will not need a "reservationist" or call taker if your services are all subscription (repetitive trips over an extended period of time that do not require a customer to call and request each trip) and communications between the scheduler/dispatcher and each participating agency are established.

Most consolidated systems and/or general public systems have certain times when calls (and service requests) are cut-off. For example, for service tomorrow calls may be only taken between 8:00 am and 1:00 pm today (some systems have a two-day advance reservation requirement). The cut-off time will depend upon the number of trips you expect to provide, the amount of random trip making, the number of vehicles, and the number of reservationists and/or schedulers. If your service (or part of your system) is designed to provide complementary paratransit service in accordance with the Americans with Disabilities Act of 1990, the reservation office must take reservations during the normal office hours on the day before service is desired. This includes Sundays and holidays.

Scheduling

Good demand response schedulers are said to be "worth their weight in gold." Demand-based services require someone to put each day's vehicle schedules together. This may involve creating the most efficient routing pattern for subscription services. It may also involve routing vehicles used in subscription service to address some random (non-repetitive) trip requests, or it may involve creating a full day's schedule for all random trips. A good scheduler will maximize the number of persons transported per vehicle hour.

Even if your program involves only trip sharing, someone will have to develop coordinated service schedules. Trip sharing requires someone from each agency to review the routes and schedules of all other provider agencies to determine if trips can be placed on another agency's vehicle. This person will then need to coordinate (communicate) with the agency which has the available space to make the necessary trip sharing arrangements. Thus, a person for the provider agency will also need to become involved.

For consolidated systems providing only subscription service, the travel of all participating agencies will need to be re-grouped into the most effective routing pattern taking into consideration maximum travel time, passenger compatibility, and vehicle capacities. Thereafter, re-grouping needs to occur anytime a subscription rider change occurs.
For consolidated systems that have random trips, the scheduler will arrange each day’s schedule the day before. This information will be given to the drivers. You will need to develop a communications link with drivers. (Also refer to the next section “Dispatching.”) If all drivers report to a central location before they begin driving, a list of the pick ups, the pick up times and locations along with the destinations can be given to the driver at that time. If drivers take the vehicles home each day or if vehicles are stored at another location, you must establish telephone, mobile radio, fax, or internet communications with the drivers. Some systems allow drivers to determine their own order of pick ups and drop offs. This practice is not recommended for systems with multiple vehicles and drivers that provide random trips.

The list (schedule) for the drivers should be in sequence for both pick ups and drop offs. It may be in the form of a roster or trip manifest or it may be a list similar to the following example:

<table>
<thead>
<tr>
<th>ACTION</th>
<th>TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. P/U Mary Smith, 125 Queen St., Any City:</td>
<td>7:45 am</td>
</tr>
<tr>
<td>2. P/U Lester Bay, 200 17th St., Any City:</td>
<td>8:00 am</td>
</tr>
<tr>
<td>3. D/O Mary Smith, 275 Main St. Any City</td>
<td>8:10 am</td>
</tr>
<tr>
<td>4. P/U Donna Wilson, 2001 Ridge Rd., Ott Twp.</td>
<td>8:30 am</td>
</tr>
<tr>
<td>5. Travel via Rt. 178 to New Town</td>
<td></td>
</tr>
<tr>
<td>6. D/O L. Bay &amp; D. Wilson at Ott Senior Ctr.</td>
<td>9:15 am</td>
</tr>
<tr>
<td>7. P/U Gary Norris 1715 Hazel St. New Town</td>
<td>9:35 am</td>
</tr>
<tr>
<td>8. P/U Betty Burns, 1800 Hazel St. New Town</td>
<td>9:45 am</td>
</tr>
<tr>
<td>9. P/U Pete Allen, 2429 Walnut St., New Town</td>
<td>10:00 am</td>
</tr>
<tr>
<td>10. Travel to New Town MH Center, 300 Main St.</td>
<td></td>
</tr>
<tr>
<td>11. D/O B. Burns, P. Allen at MH Center</td>
<td>10:15 am</td>
</tr>
<tr>
<td>12. D/O G. Norris, 500 W. Main, New Town</td>
<td>10:25 am</td>
</tr>
</tbody>
</table>

An example of a typical dispatch sheet is provided at the end of this chapter as Supplementary Material.

**Dispatching**

Some systems use a dispatcher to communicate with drivers. The dispatcher may also take reservations and schedule trips. The most common communication technology used today is a mobile radio communications system.

The dispatcher’s job includes assisting drivers when needed. An example would be when a driver gets to a pick up location and no one appears to be waiting. If the pick up is at a passenger’s home, the dispatcher can call and alert the passenger that the vehicle is waiting outside. The dispatcher also makes decisions such as when a driver is to depart and record a no-show. Cancellation calls are typically routed to a dispatcher who then advises drivers about cancellations. Inquiries from passengers who are waiting for their ride are also taken. The dispatcher can obtain the estimated time of arrival (ETA) from the assigned driver and provide that information to the passenger. Providing assistance in emergency situations, interfacing with the maintenance department concerning a maintenance problem reported by a driver, and similar activities are all handled by a dispatcher.

In some systems, the dispatcher also conveys passenger pick up instructions to drivers. This practice is used in lieu of the driver trip manifest (schedule) as described previously. Dispatchers maintain the travel roster (and in some instances they are the creators of the schedule) and instruct drivers throughout the service day about where each should be going. Dispatchers also advise drivers on what fare is to be collected, recording the information as a method to balance cash receipts turned in by drivers at the end of each driver’s shift.
Service can also occur on a real-time basis (service that is provided on the same day the trip is requested). Not many coordinated transportation programs provide real-time service, and those that do are either taxicab companies or properties with sophisticated electronic equipment on the vehicles (automatic vehicle locators, global positioning systems, computer data terminals, etc.). In this instance the dispatcher takes service requests, determines which vehicle and driver are the closest and available, makes the assignment and advises the passenger of the approximate pick up time. In the future, more real-time dispatching will likely occur as technology improvements become more affordable to transit providers.

Additional References

CHAPTER 8
SCHEDULING AND DISPATCHING

Supplementary Materials

• Example of a Typical Dispatch Sheet
## Repeat Riders List

### Advance Reservation List

**For Period:**

**Service Area:**

**Subcontractor:**

**Day of Week:**

<table>
<thead>
<tr>
<th>Name and Social Security Number</th>
<th>Origin Trip</th>
<th>Return Trip</th>
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<tr>
<td></td>
<td>Address</td>
<td>Grid Code</td>
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CHAPTER 9

STAFFING
CHAPTER 9

STAFFING

9.1 STAFFING AND JOB DESCRIPTIONS

Your staffing requirements will depend entirely on the size and scope of your coordination plan. If you are planning only to implement a few simple cooperative or joint use actions, you will probably not need a full time staff person devoted to coordination. The work could be completed by existing staff. Also, staff persons from each participating agency could share the coordination responsibilities.

If you are planning to fully consolidate the transportation programs of several providers you will at least need a transportation coordinator. In many small systems the transportation coordinator performs nearly all functions, including accounting and billing. Additional staff will depend upon 1) whether you are operating with in-house drivers; 2) the size and nature of your program (all subscription or subscription plus random trips); 3) the number of vehicles being consolidated; and 4) the expected service volumes.

The following are staff positions commonly associated with a coordinated transportation program. Only the very largest systems need all of these positions. Your program may have only one person or just a few. The list is provided as a guide for both large and small systems. If your program will be operating 15-20 vehicles or more, performing maintenance in-house, and serving the general public, the positions (and titles) underlined are the ones that you will most likely need.

- Transportation coordinator, director, executive director, general manager. The key staff person responsible for coordination, operations, and all functions of the coordination office.

- Operations manager, supervisor, maintenance coordinator: oversees the day to day on-street operation of the service. In small systems the transportation coordinator is also the operations supervisor.

- Planner. Responsible for all planning. Systems that are not open to the general public rarely have planners. Also, planners are a luxury even for systems with large budgets who may rely on a regional planning organization.

- Fiscal director, accountant, bookkeeper, clerk. Responsible for accounting functions, sometimes combined with clerical.

- Trainer. Responsible for all driver training.

- Clerical, secretary, clerk. Responsible for all clerical functions including answering the telephone, filing, typing, etc., sometimes combined with fiscal director.
• **Maintenance supervisor.** Responsible for overseeing the maintenance function and mechanics. In small systems this person may also be the only mechanic.

• **Mechanic.** Performs all repairs.

• **Mechanic’s helper, assistant, aide.** Assists the mechanic by completing minor repairs. This person normally would not have a mechanic’s certificate but needs to have maintenance skills.

• **Dispatcher, scheduler, reservationist.** These functions are normally performed by the same person or persons in systems with 10-15 vehicles or fewer. In larger systems or systems that provide a lot of random trips the functions are sometimes split. For example, if a reservationist is taking trip requests and attempting to schedule the trip simultaneously, a caller may be on the telephone 15 to 30 minutes to schedule a complete round trip. Taking the reservation normally takes less than 5 minutes. In some larger systems these functions are split between two or three persons.

• **Drivers, operators.** Operate transit vehicles.

• **Bus washers.** Clean vehicles (may be combined with drivers and/or maintenance in small systems).

Examples of job descriptions for those positions that users of this Guide would most likely need in a consolidated transportation program as well as examples of salary ranges and minimum qualifications are provided as Supplemental Materials at the end of this chapter.

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9.2 COMMERCIAL DRIVER’S LICENSE (CDL) REQUIREMENTS

Operators of vehicles with a passenger capacity of greater than 15 persons must have a Commercial Driver’s License. The following provides a summary of what is required:

With the enactment of the Commercial Motor Vehicle Safety Act of 1986, operators of commercial motor vehicles are permitted to have only one driver’s license. A commercial motor vehicle is defined as a motor vehicle or combination of motor vehicles that:

- Has a gross vehicle weight rating (GVWR) greater than 26,000 pounds; or

- Has a gross combination weight rating (GCWR) greater than 26,000 pounds inclusive of a towed unit with a GVWR of more than 10,000 pounds; or

- Is designed to transport 16 or more persons including the driver.

Any service provider that operates vehicles that meet one or more of these requirements must ensure that all drivers who operate these vehicles have a Commercial Driver’s License (CDL) with the necessary endorsements. To obtain a CDL the driver must successfully complete a comprehensive written and skill test administered by the Ohio Bureau of Motor Vehicles or its designated testers. Additional endorsements may be necessary (i.e., air brake) for special equipment operation.
For detailed information regarding the CDL, testing requirements, or testing facilities in Ohio, you should contact the Division of Driver Vehicle Services at (614) 466-4056 or the Bureau of Motor Vehicles at (614) 752-7216.

9.3 TRAINING

Over the past ten years many new training programs have been developed for transportation providers. Numerous programs are available on video cassette, and drivers and other staff can review the tapes at their convenience. However, some training programs require classroom instruction.

The following training courses (in alphabetical order) are the ones most commonly used by coordination programs. All operators should be trained in these areas. This training will take time. A program for training new employees as well as refresher courses should be offered.

- Bloodborne Pathogens;
- Defensive driving;
- Driving on ice and snow;
- Drug and Alcohol education;
- Emergency procedures;
- First aid/CPR;
- Providing assistance for the elderly and persons with disabilities;
- Pre-trip inspections;
- Radio procedures;
- Records and operations forms; and
- Sensitivity training.

Other training which some systems provide include the following:

- Empathy;
- Interacting with persons with mental disorders/recognizing mental instability;
- Map reading;
- OSHA right to know;
- Passenger relations; and
- Sexual harassment.

Methods to secure training vary among providers. One common technique is to send a staff person to Train-the-trainer courses. This staff member can then train in-house staff. However, the disadvantage is that staff changes occur. ODOT is a good source for some training courses. It is probable that some of the agencies participating may also
have training programs in place. The National Safety Council can provide defensive driving training to operators. CPR and first aid can be provided by a local organization. Other training can be secured by using the videos available through ODOT’s video lending library.

Additional References


National Transit Institute, New Brunswick, New Jersey. (732) 932-1700 http:\\policy.rutgers.edu\nti\n
University of Wisconsin at Milwaukee, Division of Outreach and Continuing Education, (414) 229-4891.

9.4 DRIVER REQUIREMENTS

As noted in Chapter 7, a pre-loss risk management plan is essential for a coordinated transportation program. Hiring drivers with good qualifications is an important responsibility of the service provider. Not only will you (or the provider) need to hire dependable persons with excellent driving skills, you will also need drivers who can work with the public; follow instructions; complete paperwork; and ideally, know the service area’s roads and destinations.

The following must be addressed when establishing minimum qualifications for drivers:

- Number of years driving experience;
- Education completed;
- Driving record;
- Criminal background check (identify any convictions of a felony or drug or alcohol offense);
- Evaluation of misdemeanor convictions on a case-by-case basis;
- Willingness to take training offered;
- Willingness to take drug and alcohol testing and to agree to the drug and alcohol program;
- Physical examination and no injury or illness that would interfere with required driver activities; and
- Pass a basic skills driving test and demonstrate an aptitude for completing paperwork before employment is confirmed.

In many communities it is hard to find (or retain) drivers. This problem can be attributed to the local economy, or it can be that your system only needs part time drivers. It can also be due to a low wage. It is recommended that if you have difficulty recruiting qualified drivers you need to:

- Reconsider the wage and benefit package offered;
- Create an awards program to help build loyalty; or
9.5 VOLUNTEER UTILIZATION

Some coordination programs use volunteers. Volunteer operations require continuous recruiting efforts. Many other systems have discovered that using volunteers is not worth the time spent on recruitment.

Those transportation providers that have had a good experience using volunteers have a good recruitment process in place as well. If you are planning to use volunteers, you will need to create the recruitment system.

In some communities there are organizations that manage volunteer recruitment. Ask other agencies. Inquire about such an organization in your area. If one exists in your community, contact that organization. You may also want to check with the American Association of Retired Persons (AARP), which has a volunteer program.

Additional References


CHAPTER 9

STAFFING

Supplementary Materials

- Sample Job Descriptions
- Typical Salary Ranges
POSİTİON TITLE: TRANSPORTATİON COORDİNATOR

General: The Transportation Coordinator shall serve at the pleasure of the Governing Board. At all times the Coordinator shall keep the Board properly advised on all policy matters. The Coordinator shall have the overall responsibility for recommending policy to the Board, and upon Board authorization, shall effectively implement those policies.

At all times, this member of the staff shall exhibit a pro-company attitude and be willing to attend training seminars and other courses necessary to fulfill the requirements of this position. In addition, this employee shall display a positive and cooperative attitude in working with all other staff and providers.

The following duties and responsibilities are typical of those duties to be performed by the Transportation Coordinator.

Typical Duties and Responsibilities:

1. Responds to questions and inquiries from Board members and from the community in a timely fashion.

2. Responsible for the overall coordination of human service and general public transportation services in the service area.

3. Responsible for the daily management of the transit office.

4. Identifies short and long term planning needs and develops programs to implement planning efforts.

5. Identifies staffing needs and upon authorization from the governing Board, interviews and evaluates applicants, making hiring recommendations to the Board.

6. Trains, supervises, and evaluates all personnel.

7. Establishes all office procedures, policies and routines and assures the effective and efficient operation of the office.

8. Oversees the design of all routes, schedules, fare systems, service operating hours and days, and other service details.
9. Determines and assesses service delivery areas, provider utilization and geographical assignments.

10. Designs and modifies all monitoring and control forms, implements necessary reporting data collection procedures and oversees the timely completion and submittal of this information.

11. Institutes and maintains a performance monitoring system sufficient to provide the statistics necessary to make quarterly assessments of all services provided, as well as to ensure that revenues cover expenses.

12. Develops, implements, and monitors a system safety plan.

13. Based upon performance information, makes recommendations to the Board on any needed changes in system design/operation, toward the goal of more efficient and effective operations and service delivery.

14. Oversees the preparation of all grant applications, annual operating plans and annual operating and capital budgets.

15. Assures the completion and timely submittal of all local, state and federal grant reports.

16. Monitors budget expenditures and takes appropriate actions to modify services so that budgets are not exceeded.

17. Develops, modifies and assures the timely completion of all accounting functions and establishes sound fiscal management practices, providing for a cash flow mechanism.

18. Authorizes all program expenditures and purchases upon proper approval of the governing Board.

19. Develops all bid specifications and requests for proposals to assure that proper procurement guidelines are followed.

20. Oversees the proper care and maintenance of vehicles under the control of the Board, and monitors all subcontractors for compliance with vehicle care and maintenance provisions.

21. Negotiates all contracts and monitors contracts for compliance.

22. Attends local interest group meetings to explain the transportation program and develops and implements other marketing programs designed to increase a positive consumer awareness of the service.
23. Prepares agendas for periodic Board meetings and presents information on agenda items that will enable Board members to understand issues and therefore take appropriate actions.

24. Prepares and sends a Board Meeting Pre-Packet to each Board member prior to each Board meeting which contains the following sections: Preliminary Agenda; Summary Report of Agenda Items; Treasurer’s Report; Operational Statistics; Other Items of Interest.

25. Represents the Board at other transportation meetings.

26. Assures that all local, state and federal policies, rules and regulations are properly implemented and followed by the network and its subcontractors.

27. Conducts periodic inspections of on-street operations to assure service quality.

28. Oversees annual customer satisfaction survey and provides a report to the Board.

29. Oversees regular checks to ensure that trips reported by providers are actually taken (contract service).

30. Any other duty or responsibility necessary to develop and maintain effective service operation and good public relations including assisting other staff in the performance of their duties.

Minimum Qualifications:

The ideal applicant for this position should hold a four (4) year degree in Business Administration or related field from an accredited college or university. Applicable experience in managing and/or operating a transportation system is highly desirable and could be substituted for the formal educational requirement. The successful applicant will have excellent skills in the following areas: logical organization of complex tasks; action oriented with the ability to obtain desired results; strong writing skills; ability to manage, train and supervise staff; ability to work cooperatively with Board, staff and service provider(s) as the lead member of the transportation team; excellent budgetary skills; and strong interpersonal communication skills. In addition to the above, the successful applicant must possess excellent time-management skills and must have a minimum of three years experience in a responsible management position.

Starting Salary Range: Negotiable depending on background and past salary.
POSITION TITLE: CHIEF DISPATCHER/RESERVATIONIST

General: The Chief Dispatcher/Reservationist shall report directly to the Transportation Coordinator. The Chief Dispatcher/Reservationist will oversee trip scheduling from initial screening request through service delivery. It shall be the duty of the Chief Dispatcher/Reservationist to assist the Transportation Coordinator in the overall efficient operation of transit services on a daily basis.

At all times, this member of the staff shall exhibit a pro-company attitude and be willing to attend training seminars and other courses necessary to fulfill the requirements of this position. In addition, this employee shall display a positive and cooperative attitude in working with all other staff and providers.

The following duties and responsibilities are typical of those duties to be performed by the Chief Dispatcher/Reservationist.

Typical Duties and Responsibilities:

1. Assists the Transportation Coordinator in the efficient coordination of the system’s operation.

2. Answers telephone calls from the public for scheduling travel, taking cancellations, or for requesting information on available services, inclusive of other transportation modes not under the system’s control, in a courteous and polite manner.

3. Refers calls for schedule, fare, program guidelines and other such requests to the Reservationist/Secretary or other assigned staff.

4. Prepares initial customer intake form and maintains customer files in alphabetical order so that files can be retrieved and utilized in scheduling all future trips (manual system) and/or maintains computerized reservation system.

5. Assesses customer needs and identifies travel options, providing prospective customer with sufficient information to select appropriate travel modes.

6. Determines point of trip origin and destination and seeks to group the requested trip with other previously scheduled trips, so that redundancies in operations are minimized thereby developing an efficient and effective dispatching unit, maximizing the boardings per vehicle hour of operation.

7. Provides customers with information on the estimated time of pickup, fare charges to be paid to driver, cancellation and no-show policies and other information on the provision of service to the public.

8. Makes trip assignments to the service provider(s) at the time of trip scheduling and assures that all contract providers have an accurate listing of scheduled trips by at least 5:00 P.M. on the day prior to the trips.
9. In the event that requested time slots are unavailable due to excessive requests, maintains and coordinates a waiting list in the event of cancellations.

10. Maintains a roster of all no-shows and follows established operating procedures relative to the notification of patrons and denial of trips, as appropriate, all in a courteous and helpful manner.

11. Has a knowledge of regional terrain and road patterns of the surrounding area.

12. Maintains an updated list of drivers and vehicles, their locations, conditions, and special equipment available.

13. Monitors radio communications system and tracks the daily provision of services to be cognizant of how operations, at any given time, are proceeding and makes contact with providers in order to resolve any service delays, so that schedules may be caught up.

14. Handles emergency situations such as in-service breakdowns, missed pickups and no-shows, and as needed, assists operating personnel in resolving daily operating and scheduling problems.

15. Consults with Transportation Coordinator on matters which are not addressed as standard operating procedures and makes recommendations on needed changes in operating policies and procedures.

16. Promptly apprises the Transportation Coordinator of any field problems such as accidents, breakdowns, delays, etc., and maintains records of all field problems.

17. Maintains records and verifies all daily logs, schedules, passenger rosters, carrier assignments etc., in a neat and accurate manner.

18. Assists in the training and supervision of all dispatchers and drivers.

19. Assists in the preparation of monthly reports.

20. Reconciles fares with manifests.

21. Assumes any other duty or responsibility assigned by the Transportation Coordinator which is pertinent to the overall function of the office or its work programs.

Minimum Qualifications:

The ideal applicant for this position should have at minimum, a two year associate degree in a business management related discipline. Actual experience in the delivery of transportation
services in a position of responsibility may be considered as a substitute for the desired education. The successful applicant must possess excellent interpersonal communication skills and be able to reduce detailed policies, regulations and procedures to written form. Applicants must possess a thorough knowledge of the service area, including familiarity with landmarks, the names and locations of streets and highways and other specific geographic information on the area. The successful candidate will have the following attributes: ability to communicate politely and effectively on the telephone; ability to write (or print) clearly; ability to learn all rules, regulations and procedures developed for governing the provision of transportation services and the ability to explain these policies to the general public; and ability to keep accurate records of transactions and follow established procedures.

**Salary Range:** Negotiable depending on background and past salary.
POSITION TITLE: SECRETARY/CLERK-TYPIST

General: The secretarial position is directly responsible to the Administrative Officer and will consist primarily of routine clerical responsibilities. The largest percentage of the typing and transcribing will be reports, letters, memos, etc. The overall effectiveness of the office is highly dependent on the efficiency of the secretary.

The clerk-typist is directly responsible to the Administrative Officer. The clerk-typist will have secondary responsibility to the Comptroller and will assist, when appropriate, the accounting department of the organization.

Typical Duties and Responsibilities:

Secretary

1. To maintain a filing system consisting of all typed materials, correspondence, trip reports, expenses, etc.

2. To type all material submitted by staff members.

3. To perform proper telephone procedures in answering the telephone.

4. To record all long distance telephone calls and maintain an office directory of all individuals, businesses, organizations, or any party transacting business with the office.

5. To receive persons visiting the office with a cheerful, friendly, and pleasant manner.

6. To assume any responsibility or duties assigned pertinent to the overall function of the office and its work program.

Clerk- Typist

1. To assist the Comptroller in the proper maintenance of an established journal record-keeping system.

2. To aid in the maintenance of an accurate and up-to-date ledger of all accounts.

3. To keep an up-to-date list of account numbers with the corresponding account titles.

4. To aid the comptroller in the preparation and verification of all incoming and outgoing invoices, accounts payable and receivable.

5. To assist the Comptroller in the federal, state, and local fiscal accounting procedures, including quarterly invoices, etc.
6. To aid the Comptroller in the preparation of records during an audit.

7. To perform any other duties pertinent to the business of the organization as directed by the Comptroller.

Minimum Qualifications: The successful candidate will possess excellent clerical skills. Strong communication skills along with excellent organizational and proof-reading skills are essential. A minimum of two years relevant secretarial experience or secondary or past-secondary clerical training is required.
POSITION TITLE: OPERATIONS SUPERVISOR

General: The Operations Supervisor shall report directly to the Executive Director. His/her duties are to ensure the effective and efficient utilization of all operational resources of the organization.

Typical Duties and Responsibilities:

1. To establish, revise periodically and maintain a preventative maintenance program for the organization’s vehicles.

2. To verify the accuracy of all invoices for maintenance.

3. To report, on a regular basis, to the Executive Director, progress, problems, and information on all operational aspects of the organization.

4. To supervise all dispatchers and drivers.

5. To evaluate services provided by contracted carriers and monitor such service by on-site visitations.

6. To supervise all operations of the organization in accordance with contractual obligations and with operational goals and objectives as established by the Board of Directors.

Minimum Qualifications:

The ideal applicant for this position should have a high school education and 3 years experience in a transportation related field, or a bachelor’s degree in administration, transportation or economics. The successful applicant must have successfully functioned in an administrative capacity for a period of 2 years in order to adequately supervise a field staff consisting of operational personnel, dispatchers, and drivers. In addition, strong organizational and training skills in order to staff, maintain, and coordinate the operation are needed. Good communicative skills are essential in order to effectively interact with other staff members, subordinates, and personnel from other agencies. As a member of the staff, the individual must possess a pro-company attitude and be willing to attend training seminars and other courses necessary to fulfill the requirements of this position. The individual must possess a valid driver’s license and be willing to assume the duties of back-up driver when necessary. The candidate must own or have access to a privately owned vehicle and be willing to travel on agency business.
POSITION TITLE: MAINTENANCE OFFICER

General: The Maintenance Officer shall be responsible for ensuring preventative maintenance and major maintenance of all organization vehicles are performed.

Typical Duties and Responsibilities:

1. Design and institute preventative maintenance program for all vehicles.
2. Monitor and record ongoing maintenance procedures, ensuring all scheduled work is performed.
3. Monitor ongoing licensing and inspection of all vehicles.
4. Perform necessary field work in case of emergency as needed.
5. Report any vehicle misuse and abuse to the operations officer.
6. Where and when necessary, negotiate and institute contracts with private maintenance providers.
7. Monitor work done by private maintenance providers, ensuring all work charged has been done and parts specified are installed/repairs.
8. Makes recommendations for planned acquisition of new equipment and disposition of old equipment.
9. Assist in training and supervision of all drivers and mechanics in the fields of preventative maintenance and safe driving procedures.
10. Monitor cleanliness of all vehicles.
11. Assume any additional duties and responsibilities assigned pertinent to the overall function of the work program as deemed necessary by the Executive Director.

Knowledge, Abilities, and Skills:

The ideal applicant must have considerable knowledge of the:

- methods, materials, tools and standard practices of the automotive mechanic trade;
- occupational hazards and safety precautions of the trade;
- operating and repair characteristics of a wide variety of transportation machinery;
• principles of operation of gasoline and diesel fueled internal combustion engines; and
• automotive electrical systems.

The ideal applicant must also have the ability to:

• diagnose troubles in automotive equipment;
• understand and carry out oral and written instructions;
• follow automotive diagrams; and
• use the tools, machines and testing instruments of the trade.

Minimum Qualifications:

The ideal applicant should have at minimum a high school education with emphasis in the area of mechanical study. The Maintenance Officer should have successfully functioned in a managerial capacity of a vehicle maintenance facility and have acquired the techniques necessary to perform minor and major repairs to vehicles. In order to properly perform the duties of Maintenance Officer the successful candidate must have the ability to design and implement a preventative maintenance program and a vehicle parts inventory. Good communication skills are essential in order to effectively negotiate, initiate, and evaluate maintenance work performed by private enterprises. Strong training and supervisory skills are also necessary in order to staff and retain maintenance and shop employees. As a member of the organization’s staff, the successful candidate must possess a pro-company attitude and be willing to attend training seminars and other courses necessary to fulfill the requirements of this position.
POSITION TITLE: MECHANIC

General: A Mechanic does skilled work in repairs on automobiles, trucks and buses. Employees work under general supervision, using independent judgement concerning the method of repair after receiving oral or written work orders setting forth a complaint with respect to the operating conditions of a piece of equipment. A foreman or other supervisor may test results during work or after completion. Supervision occasionally exercised over helpers.

Typical Duties and Responsibilities:

1. Repairs and overhauls automobiles, trucks and buses.
2. Rebuilds, repairs, and installs electrical automobile apparatus such as starters, generators, magnetos, distributors, electrical windshield wipers, voltage regulators, and special equipment.
3. Evaluates condition of radiators; locates faults or defects and makes necessary repairs, rebuilds and repairs damaged or defective radiators; solders leaks; straightens damaged and bent parts; installs new cores, assembles and tests repaired radiators.
4. Does emergency road service to equipment outside of the garage.
5. Prepares preliminary records and reports on work accomplished.
6. Performs related work as required.
7. Repairs tires for all types of vehicles and equipment in the field or shop.

Knowledge, Abilities, and Skills:

The ideal applicant must have considerable knowledge of the:

- methods, materials, tools and standard practices of the automotive mechanic trade;
- occupational hazards and safety precautions of the trade;
- operating and repair characteristics of a wide variety of transportation machinery;
- principles of operation of gasoline and diesel fueled internal combustion engines; and
- automotive electrical systems.
The ideal applicant must also have the ability to:

- diagnose troubles in automotive equipment;
- understand and carry out oral and written instructions;
- follow automotive diagrams; and
- use the tools, machines and testing instruments of the trade.

**Minimum Qualifications:**

The ideal applicant must have a high school diploma or G.E.D. certificate. Some journeyman level experience in the field of automotive mechanics or graduation from an approved course in the trade is also required.
POSITION TITLE: DRIVER

General: The Driver’s responsibilities will consist primarily of vehicle operations and public relations required to meet the operational goals and objectives of the organization.

Typical Duties and Responsibilities:

1. To transport passengers on the organization’s vehicles in a safe and responsible manner.

2. To greet the passengers in a cheerful and pleasant manner.

3. To render assistance in boarding or disembarking the bus as may be required, especially to very young, elderly and disabled passengers.

4. To maintain accurate and neat records, as may be required, such as Daily Logs, etc.

5. To submit to the local dispatcher all required records, according to a predetermined time schedule.

6. To assume any other responsibilities or duties assigned pertinent to the overall function of the organization.

Minimum Qualifications:

There are no minimum educational requirements for this position; however, the candidate must be at least 18 years of age and possess a valid driver’s license. The organization will provide on-the-job training to candidates selected to fill the position of driver. The successful applicant must possess basic mathematical skills in order to maintain accurate records and daily logs. In addition, the candidate must be willing to attend CPR, First Aid, Defensive Driving courses, and Preventative Maintenance courses.
## COMMUNITY TRANSPORTATION SALARY AND BENEFIT SURVEY
### FALL 1993

<table>
<thead>
<tr>
<th>North Central Region (1)</th>
<th>NONPROFIT AGENCIES</th>
<th></th>
<th></th>
<th>PUBLIC AGENCIES</th>
<th></th>
<th></th>
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<tr>
<td></td>
<td># Resp.</td>
<td>Avg.</td>
<td>Median</td>
<td>Middle 50% Range</td>
<td># Resp.</td>
<td>Avg.</td>
<td>Median</td>
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<td>$33,509</td>
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<td>15</td>
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<tr>
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<td>23</td>
<td>28,331</td>
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<tr>
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<td>25,401</td>
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<td>---</td>
<td>17</td>
<td>29,720</td>
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<td>16,700 - 23,000</td>
<td>24</td>
<td>21,487</td>
<td>20,405</td>
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<td>7.12</td>
<td>6.00 - 8.16</td>
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<td>8.10</td>
<td>7.74</td>
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<td>5.02 - 6.60</td>
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<td>7.82</td>
<td>7.64</td>
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<td>15,933</td>
<td>12,813 - 16,744</td>
<td>15</td>
<td>17,999</td>
<td>17,264</td>
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<td>15,027</td>
<td>14,082</td>
<td>12,730 - 16,640</td>
<td>22</td>
<td>20,799</td>
<td>19,833</td>
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<tr>
<td><strong>Driver Aide</strong></td>
<td>20</td>
<td>5.07</td>
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<td>4.31 - 6.00</td>
<td>16</td>
<td>6.80</td>
<td>6.76</td>
</tr>
<tr>
<td><strong>Clerk</strong></td>
<td>11</td>
<td>5.89</td>
<td>6.00</td>
<td>---</td>
<td>18</td>
<td>8.04</td>
<td>8.04</td>
</tr>
</tbody>
</table>

Source: Community Transportation Association of America, 1440 New York Ave., N.W., Suite 440, Washington, DC 20005.

(1) North Central: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, Wisconsin.
CHAPTER 10

VEHICLES AND EQUIPMENT
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
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<tbody>
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<td>10.1 Lease Versus Purchase</td>
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<td>10.2 Maintenance Plans</td>
<td>10-2</td>
</tr>
<tr>
<td>10.3 Vehicle Optional On-Board Equipment</td>
<td>10-5</td>
</tr>
<tr>
<td>10.4 Vehicle Selection</td>
<td>10-6</td>
</tr>
</tbody>
</table>
VEHICLES AND EQUIPMENT

10.1 LEASE VERSUS PURCHASE

Most transit providers purchase their own equipment. However, it is also possible to lease vehicles and other equipment. The key advantages to leasing are that a newer fleet can be easily maintained, and maintenance costs can be lower. A disadvantage is that for many agencies, it is more expensive. If a leasing program is being considered by your coordination program, an evaluation should be conducted to assess whether or not leasing would be the best option. While cost may not be the only consideration, it certainly should be a key factor.

To conduct the assessment you will need to project the total miles to be operated per fleet vehicle over the lease time frame. You will also need to secure some quotes for leasing the type of equipment inclusive of the equipment package desired (air conditioning, auxiliary heater, oil pressure gauge, back up alarm, farebox, mobile radio, etc.). The cost to lease per mile can then be determined.

To provide a comparison to purchasing a vehicle you can contact ODOT to determine the cost of a vehicle (under the state contract) of the type you are considering leasing. (Be sure that the equipment is the same as for the leasing quote.) ODOT’s vehicle useful life standards can then be used to compute the depreciation cost per mile of a purchased vehicle. However, you will need to deduct the vehicle’s approximate trade-in value. Contacting other transit providers in the state should provide you with a reasonable estimate of trade-in value. Deduct this amount from the cost of the vehicle before computing the per mile cost to purchase and repair a vehicle over its useful life.

Assuming the leasing period is three years but a vehicle’s useful life is considered five years, you will need to compute the cost to repair a purchased vehicle that is no longer under warranty for the additional two years. Contact another provider in the state that operates the type of vehicles you are considering. They will likely be able to help you estimate maintenance repair costs for the fourth and fifth year of a purchased vehicle. (Do not include preventive maintenance since this will occur whether you own or lease.) The repair costs (for years 4 and 5) are then added to the cost of purchasing. The cost per mile (over the purchased vehicle’s useful life) can now be compared to the cost of leasing. You can then make an informed decision concerning purchase versus leasing costs.

If you elect to lease a vehicle and you are using FTA funding, FTA’s policy states that capital funds can be used to pay for capital leasing (see "Capital Leases" Final Rule, May 17, 1996. 49 CFR Part 639 ). FTA grantees can lease capital based on the 80 percent federal and 20 percent state and local formula. Otherwise, the leasing costs would be funded from the operating budget. (FTA only funds operations up to one-half (50 percent) of the deficit.)
10.2 MAINTENANCE PLANS

Every transportation operation needs a maintenance plan; even systems that contract for service (the contractor may not have a maintenance plan and there would be no consistency if the provider changes over time). A maintenance plan ensures that equipment (especially vehicles) are maintained in a safe condition. Maintenance plans are also designed to 1) minimize repair costs; 2) maximize the life of vehicles; and 3) increase the reliability of the service.

According to a study conducted by the Transportation Research Board, National Research Council in 1987, there are three basic maintenance functions: "Servicing, Inspection and Maintenance, and Repair." The relationship is shown in Figure 10.1.

The referenced report also provides a diagram of the typical work flow for maintenance functions. These are shown in Figure 10.2. As the figure shows, maintenance problems can be discovered in three different ways: 1) through routine inspection; 2) due to a roadcall; and 3) through driver detection.

The following must be addressed in all maintenance plans:

- **Preventive maintenance responsibilities;**
- Drivers’ response to maintenance issues while vehicles are in revenue service;
- **Management’s maintenance responsibilities;**
- Driver pre-trip inspections;
- Maintenance staff preventive and repair responsibilities;
- Fueling and adding oil responsibilities;
- Checking other fluids and other driver responsibilities;
- Maintenance records, reports, and record retention;
- Specific preventive maintenance checks and frequencies;
- Maintenance performance measures; and
- Warranty tracking procedures.

You should establish a policy governing how decisions are made concerning continuing to operate a vehicle that has a maintenance malfunction and establishing who is authorized to make those decisions.

FTA sponsored research also sets forth various performance items which need to be monitored relative to maintenance. Considered vital are:

- Miles per roadcall;
- Maintenance cost per vehicle mile;
- Maintenance cost per vehicle; and
- Maintenance labor cost per vehicle mile.

It is also wise to prepare a monthly "vehicle availability report." This report shows the percent of the fleet that was available and ready for service during the month. This information provides the transportation coordinator with a summary from which it can quickly be determined whether or not a problem in fleet availability exists (or is developing).
Figure 10.1

Relationship of Basic Maintenance Functions

Figure 10.2

Typical Work Flow for Maintenance Functions

To compute vehicle availability, the number of total fleet vehicles is multiplied by the number of operating days. The number of days all vehicles collectively were not available for service is then computed. The first number is then divided into the second number with the result being subtracted from 100 percent. The result is the percent of the fleet available for service. The following provides an example:

<table>
<thead>
<tr>
<th>Total fleet vehicles = 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total operating days = 22</td>
</tr>
<tr>
<td>Total fleet vehicle days = 220</td>
</tr>
<tr>
<td>(10 vehicles x 22 days)</td>
</tr>
<tr>
<td>Percent of fleet availability = 90 percent vehicle availability [1.0 - (22 ÷ 220)]</td>
</tr>
</tbody>
</table>

Vehicle availability if tracked over time helps management staff address issues as they surface as opposed to waiting until the problem of vehicle availability results in major service disruption.

If you will be operating vehicles or contracting for service you need a comprehensive maintenance plan. You can obtain a maintenance plan from other transit providers and amend it to address your specific needs.

Additional References

"Preventive Maintenance," Ohio Department of Transportation, Division of Public Transportation.


"Maintenance Managers Manual for Small Transit Agencies," ODOT.

10.3 VEHICLE OPTIONAL ON-BOARD EQUIPMENT

Optional equipment is available for transportation vehicles. The following summarizes the most commonly purchased (or leased) additional equipment.

- Automatic vehicle locators (AVLs) (enables office staff to determine where a vehicle is at any given point in time). AVLs are not yet widely used in public transportation.;
- Computers (for dispatchers to send trip information to drivers and for drivers to enter trip information which is downloaded to the office computer);
- Fareboxes (for general public service or donations);
- Mobile communications equipment or cellular telephones;
- Smart card technology (for the payment of fares, and/or recording information about trips that can be downloaded into the office computer for record keeping, compiling trip statistics and generating billing information); and
- Suggestion boxes.
You should determine if you need (and want) any of the optional equipment.

10.4 VEHICLE SELECTION

Selecting the right vehicles can be difficult. The initial fleet that you may inherit from participating agencies may consist of sedans, station wagons and vans. However, until you conduct an assessment on re-grouping customers to maximize operating efficiency, you will not know if small buses would be more efficient. For example, in reviewing how the current customers could be re-grouped it may be possible to use a small 20 to 25 passenger bus rather than two vans. This choice would reduce operating costs for these passengers (since travel time would be longer and the capital/operating costs slightly higher for the larger vehicle).

A recent survey of some demand response providers asked how those surveyed would reconfigure their fleets if they were able. The following summarizes the averages of the managers’ responses:

ODOT has produced a manual entitled "ODOT Vehicle Catalog and Selection Guide" (January, 1994). The catalog contains guidance on vehicle selection. Obtain a copy of the ODOT manual before selecting the type and size of vehicles which would be appropriate for your agency. Also, be sure to look at the re-grouping potential before deciding on vehicle sizes.

Additional References