Transit 101
Introduction to Transit Management

Module 1:
Administration and Oversight
January 7-8, 2015

Logistics

• Logistics:
  – 9AM-4PM daily
  – Restroom facilities
  – Phone calls, texts, and emails
  – Lunch break
  – Short breaks about every hour
  – Discussion, questions, other ideas and views welcome and encouraged

Introductions

• Introduce yourself and briefly describe
  – Your strengths and weaknesses as a transit manager
  – Your transit system’s strengths and weaknesses
  – The top 10 things you would like to take away from this training

What is Transit 101?

• A series of training modules to provide a comprehensive transit overview for
  – New managers
  – Existing managers wishing to improve their skills
  – Provide all transit managers with a common base of structured knowledge about transit and management
**Transit 101 Goals**

- Learn the responsibilities of a Transit Manager for the transit system, its stakeholders, and Governing Board
- Conduct a baseline survey to self assess
  - Your current knowledge and skills of transit and management
  - What you have learned in this course
  - Identify areas for improvement

**Transit 101 Goals**

- Develop an action plan
  - For you
  - For your transit system
  - Will be updated at the end of each Module

**Transit 101 Graduation Requirements**

- Transit 101 graduation requirements
  - Completion of CBT (prerequisite for Transit 101 Modules)
  - Successful completion of all five Transit 101 Modules
  - Submission of all before and after homework
  - Any required make up (allowed to make up one day of one module; required makeup at the discretion of the instructor)
  - Submission of all action plans

**Course Workbook**

- Five numbered tabs, one for each of the five modules
- Within Module 1 tab
  - Agenda
  - Course Presentation
  - Case Studies
  - Reference Materials
  - Course Assignments
  - Module Evaluation
Course Workbook

- Can add all 5 modules to the workbook as you complete Transit 101

Knowledge and Skills Evaluation Survey

- You were emailed a “before/after” knowledge and skills evaluation survey, and asked to fill the “before” section before coming to class
- At the end of the training, you will be asked to fill out the “after” section and turn the entire survey in before leaving
- This tool will provide a picture of how your knowledge and skills have improved as a result of the training
- This should provide you and ODOT with guidance on areas for improvement

You’re a Transit Manager – Now What?

- Transit managers have many responsibilities, sometimes conflicting, often difficult to manage
- You are learning new things about
  - Yourself
  - The people you work with
  - The people you serve
  - About transit in general

Transit Manager

- You will:
  - Be challenged
  - Have accomplishments and failures
  - Feel pride in what you are doing
  - And frustration in what you aren’t (or can’t) accomplish
Transit Manager

• You will:
  – Feel overwhelmed and may even panic now and again
  – Feel pride in what you are doing
  – And frustration in what you aren’t (or can’t) accomplish
  – Help people and have people help you

Transit Manager

• You will:
  – Rely on others and have people rely on you
  – Be happy (and depressed)
  – Feel all alone (sometimes)
  – Rely on ODOT and your peers for guidance and support
  – Be like transit managers all over Ohio and the U.S.

Transit Manager

• You will:
  – Never be perfect
  – Have strengths and weaknesses
  – Have to continuously work to improve and learn

Qualities

• What qualities should a Transit Manager possess?
  – A feeling of “ownership” of the transit system
  – Pride in what you do and your transit system
  – Set the tone and the spirit of the transit system
  – Put service to the community and the riders as my number one priority
  – Inspire and earn the trust of the Board, staff, community?
Responsibilities

- What are a transit manager’s responsibilities?
  - Every transit system, regardless of how big or how small, must perform the same types of functions, to some degree or another
  - As a transit manager, especially in a smaller transit system, you will be doing many of the functions yourself, or with a small staff. Transit managers wear many hats!

- Your responsibility as a transit manager, should you choose to accept it, is to
  - Ensure that the functions occur at the scale that is appropriate for your system
  - You have the right combination of staff and organization that can accomplish the needed functions

- What are those functions?

- Service Planning/Operations
- Operations Management
- Maintenance
- Human Resources
- Financial Management
- Grants Management
- Risk Management
- Regulatory Compliance
- Legal
- Management Information Systems (MIS)
- Procurement and Third Party Contracting
- Coordination and Mobility Management
- Marketing/Public Relations

How can Transit 101 help?
- Each of these functions will be covered in detail in one of the five Transit 101 modules
- This module, Module 1, will cover Human Resources, Legal, and Marketing and Public Relations, as well as:
  - Learning who your transit stakeholders are
  - More about the role and function of Governing Boards and Transportation Advisory Committees
What Is A Transit Manager?

- It’s important first to discuss what a Transit Manager is and isn’t
  - Is a Transit Manager a one person show?
    - No! The good news is, you are not alone in your quest
- You will be supported by many stakeholders both within your transit system network and in the community

Identifying Stakeholders

- A stakeholder is any individual that has an interest in your organization, service, or business
- Examples include
  - Boards
  - TACs
  - Transit staff
  - Riders

Identifying Stakeholders

- Non-riders
- Community leaders
- Funders
- Staff
- Media
- Human service agencies
- Contracted service providers
- Unions
- Vendors
Stakeholders

- With all these stakeholders, a Transit Manager plays different roles
  - Coach/role model
  - Team builder/facilitator
  - Leader/visionary
- These roles require you to use your “people skills” as well as your “technical skills”

Coach/Role Model

- A Coach/Role Model
  - Lets the employees know that they are providing an important community service
  - Inspires and encourages
  - Is professional at all times
  - Cares for his/her employees and the riders
  - Is honest and ethical
  - Is a hard worker
  - Is a problem solver
  - Is patient
  - Knows how to laugh...especially at him/herself

Team Builder

- A Team Builder fosters partnerships and builds trust
  - Inspires loyalty
  - Acts consistently, just, and fairly
  - Knows what to expect from his/her employees
  - Expects employees to take responsibility for the system and their work
  - Delegates wisely

Team Builder

- Helps employees grow and learn
- Maintains an excellent, competent staff
- Acts as the lightning rod for all complaints, issues, and problems
- Spreads the praise for all accomplishments, so all can share in the successes
- Supports and stands up for the “team” in public, but in private calmly and professionally deal with any issues or problems
Leader and Visionary

- A leader and visionary provides the necessary leadership and guidance to achieve your mission, and the vision to see all of the possibilities
- Do you
  - Have a clear and practical vision of what the system should be?
  - Continually communicate that vision with the employees, Board, and community?

Transit Manager Qualities

- What qualities should a Transit Manager possess?
  - A feeling of ownership of the transit system
  - Ownership of your transit system fosters responsibility and professionalism
  - A feeling of pride in the transit system
  - Pride can be evident in
    - How you work with your staff
    - How you work with your local elected officials and/or board

- Pride
  - How you work with and in the community
  - How you represent the transit system in all settings
Transit Manager Qualities

• Ask yourself these questions:
  – Do I set the tone and the spirit of the transit system?
  – Do I put service to the community and the riders as my number one priority?
  – Am I energized by the transit system and do I energize others to do a good job?
  – Do I inspire and earn the trust of the Board? The staff? The community?

• Ask yourself these questions
  – Am I persistent and goal oriented? Positive, but realistic? Trustworthy and honest?
  – Do I know when to say “I don’t know, but I will get back to you” instead of making up an answer?
  – Do I know enough so that I don’t have to say “I don’t know” too many times?
  – Am I approachable? Dependable?

Self Evaluation

• You completed a self evaluation prior to coming to this class. The purpose was to assess your gifts and abilities as a
  – Manager
  – Leader
  – Facilitator
**Self Evaluation**

- What did the self evaluation reveal about you as a
  - Manager
  - Leader
  - Facilitator

**Transit Stakeholders In More Detail**

- What do each of my stakeholders need from me and what do I need from them?
- Each type of stakeholder has unique needs and resources?
- What role does each stakeholder play?

**Governing Boards**

- Your governing boards can be:
  - 501(c)(3) non-profit board
  - County Transit Board
  - County Commissioners
  - City or Village Council
  - Township
  - Regional Transit Authority

**Governing Boards**

- 501(c)(3) boards cannot be a direct grantee of Section 5311 funding unless it has been selected as part of ODOT’s Designated Grantee Selection Process
<table>
<thead>
<tr>
<th>Module 1</th>
<th>Designated Grantee Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>• This process was established for eligible applicants desiring Rural Transit service for their communities, but not wishing to be the grantee</td>
<td></td>
</tr>
<tr>
<td>• In these situations, a private nonprofit organization can be designated as grantee of the Rural Transit funding</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Designated Grantee Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Requires action of the local eligible applicant (typically the County or City) in which service will be operated</td>
<td></td>
</tr>
<tr>
<td>• Designation is for three years</td>
<td></td>
</tr>
<tr>
<td>• Requires a public hearing and financial review of interested, prospective designees</td>
<td></td>
</tr>
<tr>
<td>• Once conducted, can be re-affirmed</td>
<td></td>
</tr>
<tr>
<td>• Can be revoked at any time by the eligible applicant</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Governing Boards</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Legal entity responsible for all aspects of the transit system, including</td>
<td></td>
</tr>
<tr>
<td>• Federal/State funding applications</td>
<td></td>
</tr>
<tr>
<td>• All contract provisions</td>
<td></td>
</tr>
<tr>
<td>• Transit manager oversight</td>
<td></td>
</tr>
<tr>
<td>• Transit Manager reports to the governing board or a staff member reporting to the board</td>
<td></td>
</tr>
</tbody>
</table>

Governing Boards

• For many rural systems, there is little direct contact between the Transit Manager and the governing board, especially if the governing board is a government entity.
• For those systems reporting to a non-profit board, the board may have many areas of responsibility, not just transportation.

Nevertheless, the governing board is the legal entity, regardless of how involved they really are.

Transportation Advisory Committees (TACs)

• Advisory role only; no legal authority or standing.
• Requires diverse representation:
  • Riders
  • Non-riders
  • Older adults
  • Disabled community
  • Low income
  • Human service agencies
  • Local leaders
  • Local businesses

TACs

• Excellent means of obtaining vital feedback and ideas from the public.
• Strongly recommended by ODOT.
• See details in the Rural Transit Manual.
• Sunshine law requirements.
Riders

- A transit system’s mission is to serve the riders. Who are they?
  - The general public: you and me!
  - Older adults
  - Individuals with disabilities
  - People with low incomes
- U.S. /Ohio statistics on transit dependent

Riders

- What can riders tell you?
  - They know when they like the service and when they do not like the service
  - Riders always want more service
  - Their comments and ideas and criticisms and compliments are extraordinarily useful and important
  - A good transit manager will be able to discern the “truth” and important message in every rider comment, and will be able to use it to improve the transit system

Riders

- A good transit service in the community will have a strong base of ridership
- It may not be possible to satisfy the latent demand for more service, because of a lack of resources
- What can we do?
  - Provide the best and the most service with the resources available

Non-Riders

- Fact: A significant number of people in a community do not and will not ride transit
- Is it still important that non-riders understand what the transit system provides?
Non-Riders

- Yes! It is your job to communicate and enlist their support by communicating transit’s importance to a community for
  - Personal mobility for the transit dependent
  - Access to jobs, education, and medical services
  - Quality of life
- With this understanding will come support

Community Leaders

- Community leaders
  - Represent the community, riders and non-riders
  - Have many demands pulling at them
  - Your job is to make a compelling case supporting the benefits transit brings to the community

Funding Agencies

- ODOT, FTA, local elected officials, foundations, etc.
  - Are important to transit’s sustainability through their funding and overall support
    - They want you to succeed: to make your community a better place
    - Each has regulations and expectations

Funding Agencies

- Your relationship with ODOT
  - Work closely with your ODOT representative to ensure
    - You are meeting all regulations and expectations
    - You discuss all ideas and plans for improvements and changes, especially as it relates to funding
  - ODOT is there to help you succeed!
Funding Agencies

• Human service agencies (purchasers of service)
  – Many rural transit systems have contracts with human service agencies to transport their agency’s clients

– Many (most) of those clients have special needs:
  • Elderly/older adults, including the frail elderly
  • Individuals with disabilities
  • People with low incomes
  • People with mental health issues

Because of this agencies have very high expectations for the quality of service you provide
– Welcome those expectations and use them as the standard of quality service for their clients as well as the riding public

Your staff is
– Your No. 1 resource
– An integral part of the day-to-day operations and the administrative functions of public transit

• Every job in the transit system is essential to quality, customer-oriented and safe service
• The buses won’t move and the money won’t flow without your staff
Transit Staff

- To help your staff be successful, they must know
  - What is expected of them
  - That they are appreciated and valued
- And they must be provided with the tools (training) to do it

Labor Unions

- Transit unions are a part of many transit systems, rural and urban, in Ohio and across the country
- Their role is to help the community, while ensuring that transit workers
  - Earn a competitive wage
  - Receive good benefits
  - Work in a safe working environment

Labor Unions

- The combined bargaining power and resulting union-board labor contract have a strong presence in the day to day and strategic life of a transit system
- Relationships with unions do not have to be adversarial; you must strive to develop a partnership with your union, with common goals (to serve your community)

Contract Service Providers

- Transit systems may directly operate service; some choose to contract out all or a portion to a third party provider
  - Typically private for profit providers
  - Must be competitively bid
  - The contract must be mutually beneficial to both parties
Contract Service Providers

- These providers are your partners in providing service, working together to provide transit service to the community
  - Service must be provided as specified in the competitively bid contract at the specified price

- If a contract provider succeeds, so do you, your board, the riders, and the community
- If a contractor fails, so does everyone
- Contract providers are professionals, too, and they want to go home at night knowing that they have helped the community in a sound business and professional manner

Vendors

- A transit system’s vendors, local, regional, and national, need to believe that the transit system will treat them professionally and responsibly
- Vendors
  - Must know what is expected of them
  - Must know that they will be paid if they deliver what is expected of them

- Local vendors, in particular, can be a strong supporter of the transit system
Local Media

• The media must trust you and the board. Your job is to build that trust. How can you achieve that? By communicating to the media that
  – You are a professional
  – The transit service is important to the community
  – You are a good steward of the public funds
  – You are obeying all of the required Federal, State, and local laws

Local Media

• Partner with the media; convince them that transit (through facts and positive example) is a “good news” story (and there just isn’t any bad news or juicy story to report)

Other Stakeholders

• You are a transit manager, and you don’t stop being that when you leave the transit office. Use it,
  – As a positive example and role model to your family
  – To share with them how your work and the transit system are making the community (the world) a better place

Other Stakeholders

• To share real-life stories about riders and how their lives are being improved
• To share lessons learned as life lessons
Overview of Responsibilities

- Service Planning/Operations
  - This includes the various service types (demand response, fixed route, route deviation, subscription, contract, and coordinated public transportation service), fare setting and structures, contracting out, and more (Module 2)

Responsibilities

- Operations Management
  - Performance measures, scheduling, dispatching, operating policies and procedures, street supervision, etc. (Module 2)

- Maintenance
  - Vehicle preventive maintenance plans and programs, facility maintenance plans, contracting out for maintenance services (Module 2)

- Human Resources
  - Policies, procedures, hiring, firing, benefits, payroll, recordkeeping, orientation and training, ADA, dealing with unions, etc. (Module 1)
<table>
<thead>
<tr>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Financial Management</strong></td>
</tr>
<tr>
<td>- Accounts payable/receivable, budget development and analysis, resource development, cost allocation and fully allocated rates, contract negotiations, cost control (e.g., preventative maintenance and overtime control) (Module 3)</td>
</tr>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Grants Management</strong></td>
</tr>
<tr>
<td>- Financial planning, applications, reporting, invoicing, regulatory compliance (Module 3)</td>
</tr>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Risk Management</strong></td>
</tr>
<tr>
<td>- Insurance, personnel, safety and security, safety policies and procedures, local emergency management plan, etc. (Module 3)</td>
</tr>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Regulatory Compliance</strong></td>
</tr>
<tr>
<td>- Compliance with all required State and Federal regulations and laws including ADA, Title VI, DBE, Charter, etc. (Module 5)</td>
</tr>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Legal</strong></td>
</tr>
<tr>
<td>- Contract development/review, union issues, hiring/firing issues, conflict dispute resolution (Modules 1 &amp; 3)</td>
</tr>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Management Information Systems (MIS)</strong></td>
</tr>
<tr>
<td>- Reporting, on board cameras, GPS/MDTs or tablets, smart fareboxes, real time location of vehicles by consumers (e.g., where is my next bus), real time trip requests by I-phone or email, etc. (Modules 2 &amp; 4)</td>
</tr>
<tr>
<td>Responsibilities</td>
</tr>
<tr>
<td>------------------</td>
</tr>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Responsibilities</strong></td>
</tr>
<tr>
<td>• Procurement and Third Party Contracting</td>
</tr>
<tr>
<td>— ODOT and FTA requirements (the most current update of FTA Circular 4220), services, capital, use of RFPs (requests for procurements) IFBs (invitations for bid), etc. Procurement Pro, etc. (Module 4)</td>
</tr>
<tr>
<td><strong>Module 1</strong></td>
</tr>
<tr>
<td><strong>Responsibilities</strong></td>
</tr>
<tr>
<td>• Marketing/Public Relations</td>
</tr>
<tr>
<td>— ODOT/FTA requirements, the development of a marketing plan, use of social media to distribute information and obtain input, TACs, public hearings, community outreach, dealing with complaints, compliments and suggestions, etc. (Module 1)</td>
</tr>
<tr>
<td>• Or, How To Avoid Criminal Prosecution And Jail Without Really Trying</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
Epidemic of Poor Choices in Ohio

- There has been a recent epidemic of poor choices by transit managers in Ohio, resulting in:
  - Severe discipline
  - Suspension
  - Firing
  - Legal action
  - Jail
  - Loss of professional reputation
  - Loss of respect and trust of family and friends
  - Transit systems placed in jeopardy of Federal and State funding loss and under intense scrutiny

Some of the poor choices were unintended errors

Some of the poor choices were deliberate

What Has Been Happening?

- Using transit vehicles to make drug drops
- Using an agency transit vehicle as collateral to obtain a personal loan
- Using petty cash, vending machine revenue, etc. as a personal slush fund without accounting for it
- "Borrowing/lending" from the transit account, farebox, etc. (intending to pay it back or even actually paying it back does not make it OK)

What Has Been Happening?

- Allowing family and friends to use the transit gas card to fill up their personal vehicles
- Using the transit gas card to fill up your personal vehicle to go to a meeting
- Giving out tokens, fare passes, tickets, etc. to family and friends
<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>What Has Been Happening?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Taking a revenue transit vehicle out of service and driving to a transit conference</td>
</tr>
<tr>
<td></td>
<td>• Using a company vehicle (approved for business travel) for personal use, even taking the vehicle on a family vacation</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>What Has Been Happening?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Running a charter for a personal family event</td>
</tr>
<tr>
<td></td>
<td>• Using transit vehicles after hours for personal transportation</td>
</tr>
<tr>
<td></td>
<td>• Using agency maintenance vehicles for personal use</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>What Has Been Happening?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Using transit maintenance staff to work on personal vehicles and vehicles of friends</td>
</tr>
<tr>
<td></td>
<td>• Driving a transit revenue vehicle to and from work, without Board approval, and not consistent with Board policies</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>What Has Been Happening?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Allowing family members access to agency offices and computers, and eventually the agency financial records and bank accounts, resulting in withdrawal of transit funds for personal use, then attempting to quietly replace the stolen funds using personal accounts</td>
</tr>
</tbody>
</table>
What Has Been Happening?

• Falsifying financial records by issuing checks for payment and recording the check as issued; but holding checks in files and not mailing for many months
• Using ODOT/FTA funds designated for a vehicle purchase to instead pay for an operating expense; then telling the vehicle vendor they cannot be paid because ODOT did not provide the funds
• Inflating ridership numbers on Board (and ODOT) reports

What Has Been Happening?

• Charging ineligible past due and other fees to the transit grants as eligible expenses
• Using transit funds to pay non-transit expenses
• Purchasing items (not intended to be used for transit) with transit funds
• Including work to be done on personal home in a transit facility bid

What Has Been Happening?

• Overextending the agency by acquiring multiple properties, with little Board oversight of the financial impacts
• Acquiring mortgages on the transit facility and several unsecured loans in the agency’s name without full disclosure to the Board, and often without approval by the Board

What Has Been Happening?

• Blurring the lines and boundaries on nepotism
• Giving extra privileges to one transit staff person over another (extra time off that isn’t made up, pay raise over and above others, etc.)
• Giving some staff perks, such as reimbursement for purchase of shoes, t-shirts, jeans, coats, etc., inconsistent with policies and procedures, or union agreements
<table>
<thead>
<tr>
<th>Module 1</th>
<th>Module 1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What Has Been Happening?</strong></td>
<td><strong>What Has Been Happening?</strong></td>
</tr>
<tr>
<td>• Balancing the budget by stopping transit open to the general public and only providing fully allocated contract trips to increase revenues; usually done towards the end of each fiscal year</td>
<td>• Using transit facility, office and storage space for non-transit purposes without adequately charging the users</td>
</tr>
<tr>
<td>• Submitting grant applications to ODOT that are known to be unrealistic, hoping to balance the budget over time</td>
<td>• Charging non-transit employee salaries to transit</td>
</tr>
<tr>
<td>• Showing favoritism by having special and non-uniform contract pricing for some agencies</td>
<td>• Submitting a cost allocation plan to ODOT, but using a different one</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Module 1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What Has Been Happening?</strong></td>
<td><strong>What Has Been Happening?</strong></td>
</tr>
<tr>
<td>• Exhibiting and condoning statements and conduct that are derogatory and discriminatory about people’s weight, users of welfare, disabilities, etc., resulting in Title VI complaints</td>
<td>• Charging entertainment costs for oneself (sometimes for the whole family) while at a business conference</td>
</tr>
<tr>
<td></td>
<td>• Using transit funds to purchase ineligible items for staff such as paper plates, snacks, coffee, etc.; then instructing vendors to change invoices to indicate eligible items were being purchased</td>
</tr>
</tbody>
</table>
### ODOT Transit 101 Module 1

**What Has Been Happening?**

- Using transit funds to pay for recurring staff cookouts
- Using transit funds to pay for luncheons, birthday cakes, etc.; then listing as miscellaneous expenses
- Going to conferences, but not going to the sessions/meetings

### ODOT Transit 101 Module 1

**What Has Been Happening?**

- Not providing sufficient driver training, especially for ADA issues
- Misuse of local match
- Neglecting the transit manager duties, and focusing on personal work
- Use of transit computers and other equipment for personal (for-profit) business

### ODOT Transit 101 Module 1

**What Has Been Happening?**

- Failure to train staff, resulting in passengers being injured (due to improper tie down of wheelchair)
- Allowing gossip and trash talk among staff, then spreading to passengers and the community, resulting in bad system image
- Ignoring behavior consistent with intoxication or drug use, resulting in driver accidents

### ODOT Transit 101 Module 1

**What Has Been Happening?**

- Failure to properly maintain vehicles and ADA accessibility equipment, resulting in lift malfunctions and injuries, as well as passenger health problems due to faulty heating or A/C
Really?

- How can this be happening?
  - Don’t we know better?
  - Don’t we know the rules?
  - Don’t we care?
  - How can transit managers make these poor choices?
  - How can we avoid the “what’s in it for me?” attitude?
  - How can we just do it right the first time, and not have to worry about looking over our shoulders?

Ways To Get Into Trouble

- There are a lot of ways to get into trouble

Ways To Get Into Trouble

- You don’t know the rules, but you act anyhow

Ways To Get Into Trouble

- You think you know the rules, but you really don’t
Ways To Get Into Trouble

• You have been given bad advice or direction from a peer or higher up, and you follow it, even though you may not feel comfortable with the advice.

• You know the rules, but disregard them just this once, due to time constraints or other immediate pressures, and hope you don’t get caught.

• You know the rules, but disregard them occasionally because you are so busy, careless or disorganized, and hope that you and your system are too small to attract attention.

• You know the rules, and don’t think they apply to you because you are special. Hint: Get legal counsel, do some deep soul-searching, and get out of public service right now!
**Crimes And Errors**

- You can commit a crime, even if you are not trying to
- You can commit a serious error, even if you are not trying to
- Errors can be treated as crimes
- Errors can be serious enough (even if not crimes) to lead to discipline or even termination

**Some Advice**

- You are never too big to fail (remember the 2008 financial crisis)
- You are never too small to fail
- You can drown in 2 inches of water just as quickly as in 2 miles of water
- Nobody looks good in prison clothes
- Orange is the new black

**You Live and Work in a Fishbowl**

- You can’t hide anything for long in a rural area
- Many people have known you since you were a kid
- People talk
- Everybody knows everybody else’s business
- Gossip is viral
- The newspapers are looking for juicy stories

**You Live and Work in a Fishbowl**

- Whistleblowers are everywhere
- Fired employees, disgruntled employees, or employees that just do not like you will be watching you
- Banks and accountants will find irregularities
- Wronged vendors will complain and seek redress
You Live and Work in a Fishbowl

- Financial auditors are professionals who are trained to look for errors and illegal activities both deliberate and accidental
- ODOT is watching; they want you to succeed, but they are still watching
- Same with FTA

Bodies Do Not Stay Buried

- Crimes or errors don’t disappear over time; they will be found and uncovered
- An absence of bad news now doesn’t mean you are going to get away with it; it just means you haven’t been found out….yet

How Do We Know The Right Thing To Do?

- Ohio Ethics Commission regulations, interpretations and website
- Ohio Sunshine Laws and website
- ODOT regulations, training and guidance
- FTA regulations, training and guidance

How Do We Know The Right Thing To Do?

- Attend ODOT- and FTA-sponsored training, and pay attention
- Keep up with the news (transit and non-transit) and see how people make poor choices and what happens to them
- Use common sense
- Remember what your Mom and Dad told you
- You know right from wrong
How Do We Know The Right Thing To Do?

- If you get a queasy feeling in your gut or the hairs on the back of your neck stand up when you are about to make a decision...stop and think about what you are about to do
- If the little voice in your conscience is talking to you...stop and listen to it
- If you think you know everything...you don't
- If you don't care what others think...you will

Of the many examples of poor choices discussed earlier, fully 2/3 do not depend on knowing anything about transit...just about knowing right from wrong and having good common sense

Of the 1/3 that do depend on knowing transit rules, most can be researched easily to find the correct action...or call ODOT

You Can Do This

- OK
- Take a deep breath
- Relax

Remember that public transit is a wonderful and fulfilling career

- We help people lead better lives every day
- Transportation is interesting and challenging
- The vast, vast majority of transit managers do well and stay out of trouble, and you can be one of them
You Can Do This

• We are the stewards of public funds, committed to help our communities through public transit
• As such, we have to conduct ourselves to the highest of standards, every day
  – If you can’t do this, then you need to leave the public sector...now

You Can Do This

• Read and commit to memory (as best you can) the Rural Transit Manual, the Rural Transit Requirements, the FTA Circulars, and all other resources that you are provided
  – When in doubt, look it up
  – If you can’t find it, call the ODOT staff

You Can Do This

• The ODOT staff wants you and your transit system to succeed and will help you with whatever questions and issues you bring to them
• Do your homework, then seek and listen to ODOT’s guidance; they really are here to help you

You Can Do This

• If you sense something is about to go wrong, or has just gone wrong, or you don’t know what to do...call ODOT
• Don’t wait
• Once FTA becomes involved, then it is likely too late to be fixed in a painless manner
You Can Do This

• You can’t fix all the problems all at once
• Pick the ones that appear to expose you and your system to the most negative exposure, and work on them
• The most critical are often safety, finances and human resources
• Also, try to fix the “low hanging fruit” first if possible
• Discuss your strategy with ODOT so they can “have your back”

You Can Do This

• Document, document, document your actions and discussions
• Cover you and your system with documentation and positive and purposeful actions

Culture of Accountability

• Transit managers must establish a “culture of accountability.” What is it?
  – Affects all aspects of a transit manager’s responsibilities
  – The governing board and Transit Manager working together under the watchful eyes of the public and media to ensure business is conducted
    • according to law and with the highest standard of public expectations of honesty, good stewardship and for the public good
    • Openly and honestly

Culture of Accountability

• Accountability
  – Cannot be delegated or ignored
  – Is the responsibility of every member of the governing board and staff
  – Is a top-down mandate and must be rigorously enforced by policy and action, setting clear expectations and consequences
  – Must be established by written policies for open meetings, open records, ethics, and fiduciary responsibilities
Culture of Accountability

• Failure to comply with these accountability requirements can result in legal actions against the governing board (both as a board and individually) and against the Transit Manager and staff
• The board’s and Transit manager’s credibility can also be seriously damaged

Culture of Accountability

• Ethics
  – The Ohio Ethics Law recognizes that many of Ohio’s public officials and employees are in a position to make or influence decisions that directly affect their own financial interests or those of his family or business associates

Culture of Accountability

• Ethics
  – The law contains provisions restricting conflicts of interest that involve nepotism, post-employment, representation, influence-peddling, confidentiality, and supplemental compensation
  – As the transit manager, you can directly promote an ethical culture in your transit system by

Culture of Accountability

• Promoting ethical culture
  • Having the board adopt a policy on ethics and conflict of interest
  • Promoting a culture of disclosure
  • Avoiding problems when potential conflicts arise
  • Establishing procedures, such as competitive bids, that ensure that the organization is receiving fair value in the transaction
Culture of Accountability

- **Open Meetings**
  - Ohio Sunshine Law (ORC 121.22)
  - All acts and most deliberations of the transit board, and its committees, sub-committees, and advisory groups, are to be conducted in meetings that are open to the public
  - Board members must be notified of the meetings to ensure attendance

- **Executive Sessions**
  - A board or other group may hold an “executive session” that is closed to the general public and media (and to any or all transit staff, if desired), but only to discuss the following topics, and to take no official action
  - Appointment, employment, dismissal, discipline, promotion, demotion or compensation of an employee or official or the investigation of charges or complaints against an employee or official, unless the employee or official requests a public hearing
Culture of Accountability

- Executive Sessions
  - Purchase of property for public purposes or the sale of property at competitive bidding
  - Conferences with the board’s attorney to discuss matters which are the subject of pending or imminent court action
  - Preparing for, conducting, or reviewing negotiations or bargaining sessions with employees

- Matters required to be kept confidential by federal law or rules or state statutes
- Specialized details of security arrangements
- Audit conference conducted by an independent certified public accountant with officials of the public body

Culture of Accountability

- Open Records
  - The request does not have to be in writing and the reason for the request does not have to be given
  - Certain records are considered private and are exempt from being open to the public
  - A public office must keep all public records indefinitely unless the retention period is set forth in the board’s adopted records retention schedule, and the retention period has lapsed
  - Retention periods must be consistent with FTA and ODOT regulations

- Fiduciary Responsibility
  - The transit manager and governing board must create a culture of accountability with a focus on fiduciary responsibility...what is it?
  - Fiduciary responsibility is a legal and/or ethical relationship of confidence or trust regarding the management of financial and other resources
<table>
<thead>
<tr>
<th>Module 1</th>
<th>Module 1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Culture of Accountability</strong></td>
<td><strong>Culture of Accountability</strong></td>
</tr>
<tr>
<td>• Fiduciary Responsibility</td>
<td>• Fiduciary Responsibility</td>
</tr>
<tr>
<td>– Board members</td>
<td>– Board members</td>
</tr>
<tr>
<td>• Are the trustees of all transit assets</td>
<td>• Must always act for the good of the organization, not for their own benefits</td>
</tr>
<tr>
<td>• Must exercise due diligence to oversee that the organization</td>
<td>• Must exercise reasonable care in all decision making without placing the organization at undue risk</td>
</tr>
<tr>
<td>– Is well managed</td>
<td>• This fiduciary duty requires board members to stay objective, unselfish, responsible, honest trustworthy, and efficient</td>
</tr>
<tr>
<td>– That its financial situation remains sound</td>
<td>• Have this responsibility regardless of transit system size or type</td>
</tr>
<tr>
<td>• Have this responsibility regardless of transit system size or type</td>
<td>• If a board member does not understand something, he/she must be willing to find the answer</td>
</tr>
<tr>
<td></td>
<td>• Financial oversight is not possible without knowing what to look for</td>
</tr>
<tr>
<td></td>
<td>• Must have basic financial terminology</td>
</tr>
<tr>
<td></td>
<td>• Be able to read financial statements and judge their soundness</td>
</tr>
<tr>
<td></td>
<td>• Have the capacity to recognize warning signs that might indicate a [negative] change in the overall financial health of the organization</td>
</tr>
</tbody>
</table>
### ODOT Transit 101

#### Module 1

**Culture of Accountability**

- **Fiduciary Responsibility**
  - Transit managers
    - Must ensure that the board has the opportunity to
      - Conduct financial strategic planning
      - Conduct annual budgeting of operating and capital expenses and revenues
      - Conduct monthly reviews of financial reports and variances
      - Keep a close eye on the fiscal health of the system
      - Review grants and grants management

- **Fiduciary Responsibility**
  - Transit managers
    - Monitor available cash amounts
    - Act on fares and contract rates
    - Ensure satisfactory reserves are on hand
    - Ensure the propriety of expenditures
    - Insist on and monitor internal controls
    - Actively review annual financial audits
    - Review investments
    - Ensure that all Federal, State, and local laws and requirements are followed

#### Mission and Values

- Every organization must have a statement that clearly describes its mission and values
  - "We save people money so they can live better." (Walmart)
  - "Connecting People." (Nokia)
  - "The mission of the Champaign Transit System is to provide transportation to ALL citizens of Champaign County who are in need of mobility to health care, public services, shopping, jobs, and any other transportation needs."
  - "To provide safe, affordable, and fully coordinated public transportation within Columbiana County."
  - "To enhance the quality of life for all Delaware County residents by providing affordable and accessible public transportation."
  - "TLC strives to provide general public transportation service to all Logan County visitors and/or residents in a timely, courteous, and cost effective manner in order to improve their quality of life."
### Mission and Values

- **Discussion**
  - How can you determine each organization’s mission and values from their mission statements?
  - What are the most significant words in each of the statements?

### Wrap Up

- What have we covered so far?
- What were the main points?
- What have you learned to help you do your job as transit manager better?

### Introduction to Operations and Service

- **How do you define operations?**
  - The act of making something carry out its function, or controlling or managing the way it works
  - Performance of a practical work or of something involving the practical application of principles or processes

### Operations and Service

- **What is service?**
  - Work done for somebody else: work performed by somebody for somebody else as a job, duty, punishment, or favor
  - Helpful action: an action performed to help somebody or as a favor to somebody
  - Work for customers: work performed for the customers of a store, restaurant, hotel, or similar establishment, often without regard to whether it pleases them or not
**Operations and Service**

- As a transit manager you are responsible for operations and service
  - What does that mean to you?
  - How do you feel about having that responsibility?
  - What are the pros and cons of contracting out service compared to directly provided service?

---

**Contract v. Direct Provided**

- Grantees can choose to purchase service from an independent transportation contractor
  - The independent contractor is responsible for day to day service delivery
  - or
  - Grantees can choose to be the direct provider of the service and control all aspects of the day-to-day service delivery

---

**Contracted Service - Pros**

- Introduces competition among bidders
- Access to expertise of corporate resources
- Arms length relationship – contracted provider responsible for day to day operations
- Accurate cost projections – guaranteed contract rate
- Creation of system with limited public employees and a focus on private sector

---

**Contracted Service - Pros**

- Multiple options for contract agreements
  - Varying levels of authority
    - Vehicles
    - Supplies such as fuel
    - Dispatch/Scheduling Staff
- National purchasing power
- Research in the 1980’s and 1990’s indicated contract service resulted in a 10% to 15% savings
<table>
<thead>
<tr>
<th>Module 1</th>
<th>Contracted Service - Cons</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Arms length relationship</td>
</tr>
<tr>
<td></td>
<td>– Cannot control day-to-day</td>
</tr>
<tr>
<td></td>
<td>– Lack of knowledge of day-to-day</td>
</tr>
<tr>
<td></td>
<td>– Lack of control over staff</td>
</tr>
<tr>
<td></td>
<td>– Lack of control over staff training</td>
</tr>
<tr>
<td></td>
<td>– Lack of control over service delivery philosophy</td>
</tr>
<tr>
<td></td>
<td>• For profit business versus social service vision</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Contracted Service - Cons</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Must develop excellent all inclusive contract that allows for control and flexibility</td>
</tr>
<tr>
<td></td>
<td>– Control of general manager</td>
</tr>
<tr>
<td></td>
<td>– Control of operators</td>
</tr>
<tr>
<td></td>
<td>– Very detailed cost proposal</td>
</tr>
<tr>
<td></td>
<td>– Very detailed invoicing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Contracted Service - Cons</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Requires diligent monitoring and follow up to assure corrective action occurs and is maintained</td>
</tr>
<tr>
<td></td>
<td>• Unions transfer when contract transfers</td>
</tr>
<tr>
<td></td>
<td>• Must share the successes and the glory</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Direct Provided - Pros</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Can take advantage of city, county, or other legal entity structure already in place</td>
</tr>
<tr>
<td></td>
<td>• Can take advantage of county or municipal support services, such as fuel, maintenance, insurance, etc</td>
</tr>
</tbody>
</table>
Direct Provided - Cons

- Expanding city or county government may not be positively received
- If transit is provided under an existing department (rather than a transit department), it may not receive the attention or priority it needs
- Employee wages and benefit costs could be higher

Types of Service

- Review of the United We Ride “Family of Transportation Services”
- Thinking outside the box

Types of Service

- Demand Response
  - A demand-response operation is characterized as follows
    - The vehicles do not operate over a fixed route or on a fixed schedule except, perhaps, on a temporary basis to satisfy a specific need
    - The vehicle typically may be dispatched to pick up several passengers at different pick-up points before taking them to their respective destinations and may even be interrupted on route to these destinations to pick up other passengers

Types of Service

- Deviated Fixed Route
  - A transportation service operating along a fixed path with designated stops at generally fixed times, but may deviate from the fixed path to either pick-up or drop-off passengers who requested the deviation
Types of Service

- **Fixed Route**
  - Transportation service operated over a set route or network of routes generally on a regular time schedule

- **Contract service**
  - The transportation of a group of people for a specified cost scheduled and paid by a third party and considered to be premium service because the service is guaranteed
  - Contract service must be open-door, offered during regular service hours, cannot interfere with the overall general public service, and must be operated in compliance with FTA charter regulations

- **Subscription service**
  - Transportation service provided under advanced arrangements and according to prearranged conditions, e.g., hours, days, specific routing
  - The service may be paid for by an individual, group of individuals, or company. This is the only time an individual or group of individuals may be billed for service

- **A rate higher than the regular fare is negotiated with the contracting agency to cover the costs incurred in developing and monitoring contracts, scheduling, record keeping, and invoicing, and which takes into account the fully allocated cost of providing the service**
Types of Service

• Subscription service
  – Subscription service does not necessarily need to be fully allocated
  – It differs from contract service in that under subscription service the individuals, routes, and destinations never change for the duration of the subscription, and revenue collected from subscription service is counted as farebox revenue

Types of Service

• Paratransit
  – Types of passenger transportation that are more flexible than fixed-route transit but more structured than the use of private automobiles
  – Paratransit is a broad term that may be used to describe any means of shared ride transportation other than fixed-route
  – Paratransit services usually require advance-reservation for demand-responsive service that is either curb-to-curb or door-to-door

Types of Service

• ADA Complementary Paratransit
  – Paratransit services that are provided to accommodate passengers with disabilities who are unable to use fixed route service and that meet specific service equivalency tests are called ADA complementary paratransit services (CTAA)
### Types of Service

- **Coordinated Human Service Transportation**
  - Human service agencies and/or transit systems cooperating to coordinate some aspect of transportation, such as passenger trips, the sharing of vehicles, schedules, personnel, and maintenance facilities
  - May also include the consolidation of services, (as appropriate)

### Fare Policies & Fare Setting

- **Fare policy and fare setting considerations**
  - Service area demographics
  - Title VI and EJ
  - Local match impact
  - Fare elasticity
  - Tickets/Passes/Tokens

### Performance Measures

- To Measure and Assess Performance
- To Evaluate the Progress Towards Transportation Goals and Objectives
- To Serve as a Basis for Decision-Making
- Diagnostic Tool to Identify Performance Problems
- To Assess Policy, Procedures, and Service Implications

### Types of Performance Measures

- Service Effectiveness
- Cost Efficiency
- Cost Effectiveness
- Quality of Service
Formulating Performance Measures

- Inputs
- Transit System
- Service Outputs
- Public Consumptions
- Cost Efficiency
- Service Effectiveness
- Cost Effectiveness

Scheduling and Dispatch

- Policies and procedures considerations
  - Reservation window
  - Pick up window/wait time
  - ADA Accessibility
  - Trip turn downs
  - Trip refusals
  - Personal care attendants/passenger assistance

Scheduling & Dispatch

- Trip denials
- Late arrival
- Missed trip
- No Show
- Cancellation
- After hours communication
- Scheduling methods
- Scheduling methods for alternate formats

Operating Policies and Procedures

- ODOT has developed over 80 sample operating policies designed to be customized by the transit system and addressing
  - Agency information
  - Employee responsibilities
  - Safety
  - Training
  - Financial policies
  - Customer service
  - Maintenance
  - Dispatch
  - Recordkeeping
### Supervision

- Proper supervision is a critical factor in ensuring safe and effective service delivery and good customer service
- Key components
  - Monitoring performance measures
  - Frequent employee on the job evaluations
  - On site/On street observation and monitoring
  - Documentation of findings
    - Follow up action
    - Communication of findings
    - Follow up action

### Customer Service

#### Customer Relations

- No Industry Can Prosper That Does Not Place The Customer First
- Customer-Focused Public Transportation Can Make a Difference
- To Be Successful, Systems Must Implement Agency-Wide, Results-Oriented, Customer-Focused Programs

#### Customer Service Goals

- Increase Customer Satisfaction
- Increase Ridership
- Improve System Image
- Increase Community Support

#### Challenges Impacting Customer Service

- Indifferent Employee Attitudes
- Union Opposition
- Lack of Support From Other Departments
- Understaffing
- Inadequate Communications Between Departments
## ODOT Transit 101

### Module 1

**Customer Service**

**Customer Relations**

Customer service challenges

- Inadequate Computer Systems/ Technology
- Inadequate Training in People Skills
- Inadequate Driver Selection Criteria
- Low Morale – No Team Spirit
- Conflicting Organizational Policies and Procedures
- Funding Limitations

### ODOT Transit 101

### Module 1

**Customer Service**

**Customer Relations**

- Customer Focused Transit Programs
  - General Interaction Between the Customer and Transit System
    - Mission statement, brochures, maps, web page, technology
  - Obtaining and Using Customer Input
    - Monitor complaints, surveys, meetings, focus groups

### ODOT Transit 101

### Module 1

**Customer Service**

**Customer Relations**

- Customer Focused Transit Programs
  - Involving Employees in Customer Focused Transit Service
    - Key to success, top to bottom
    - Must be reflected in corporate culture
    - Must be reflected in training
      - Effective verbal skills
      - Effective non-verbal communication
      - Situational examples
      - Empathetic handling of situations

### ODOT Transit 101

### Module 1

**Customer Service**

**Customer Relations**

- Customer Focused Transit Programs
  - Employee training
  - Establish employee credibility as a professional
  - How to develop a positive responsive relationship
  - How to add value to the service
  - Make every interaction positive
  - Being knowledgeable, dependable, reliable
Customer Service

Customer Relations

- Methods to achieve customer satisfaction/customer loyalty
  - Rider Discounts
  - Guaranteed Ride Home
  - Customer Loyalty Promotions

Customer Service

Customer Relations

- Getting to know your customers
  - To help you determine your system’s vision, goals, and objectives
  - To guide planning efforts
  - To aid in the decision making process
  - To avoid mistakes
  - To help transit management, board, drivers, and customer service agents stay focused

Customer Service

Customer Relations

- Getting to know your customers
  - To Build relationships
  - Generate loyalty
  - Develop political support
  - Mobilize your system’s best supporters
  - Satisfy your mission

Customer Service

Customer Relations

- Getting to know your customers
  - Understand your passengers’ point of view, but don’t be limited by it, or create unrealistic expectations
    - What are our customers’ lives really like?
    - What do they value?
    - What are their physical needs?
Customer Service

Customer Relations

• Getting to know your customers
  • What is their psychological well being?
  • How does this translate to service needs?
  • What are their wants?
  • What are their aspirations
  • What motivates them?
  • What discourages them?

• Who are your customers?
  • What are your customers’ travel needs?
  • Why are they traveling?
  • Why are they using your service?
  • When do they travel?
  • Where do they go?
  • What other modes of travel to they use?

• Getting to know your customers
  • What are their psychological well being?
  • How does this translate to service needs?
  • What are their wants?
  • What are their aspirations
  • What motivates them?
  • What discourages them?

• In what circumstances do they use transit?
  • What other locations and times do they want/need service?
  • What problems do they encounter?
    – Those they complain about
    – Those they accept as normal
  • What aren’t they telling you?
  • What do you know about customers you lost?
  • What do you know about potential customers?

• Different populations have different needs
  • Service
  • Security
  • Technology
### Customer Service

#### Customer Relations

- **How can we improve?**
  - Finding and retaining quality employees
  - Knowing your customers intimately
  - Focusing departments on organizational purpose
  - Creating “easy to do business with” delivery systems

- **Customer Service Policies**
  - No shows
    - The person is not there when the bus arrives
    - Person waves off the bus
    - Person cancels after designated cancellation period
  - Cancellations
    - The rider (or someone on his/her behalf) contacts scheduling to cancel the trip or make a significant change in the trip

- **No show and cancellation policies**
  - Establish policy in writing
  - Clearly define the window for acceptable cancellations
  - Consequences for repeat/excessive no-shows and cancellations (define what e
  - Wait time for a rider (must meet ADA requirements)

- **Training and supporting employees**
- **Involving and empowering employers**
- **Recognizing and rewarding good performance and celebrating success**
- **Setting the tone and leading the way through personal example**
Customer Service
Customer Relations

• Dealing with difficult customers
  — Passengers are not dependent upon us; we are dependent upon them
  — Passengers are not an interruption to our work; they are the purpose for it
  — At times, it is difficult to determine what it is our passengers want from us

• Dealing with difficult customers
  — The key is to remain professional and patient, and communicate with all passengers in a polite and courteous manner
  — Attempt to identify what it is your passenger needs so that you can respond appropriately and courteously

• Dealing with difficult customers
  — Good customer service means accepting the customer’s complaint or need for service even if you disagree
  — Don’t waste time disagreeing with a customer; instead work toward a mutually acceptable result

• Dealing with difficult customers
  — Be sensitive. Sensitivity in itself is a statement of respect and can help you identify whether you have a difficult person, or a person in a difficult situation
  — Be open. Don’t form opinions based on appearance, speech, or behaviors
  — Be fair. Assess each individual situation and tailor your response accordingly. Different passengers have different needs
<table>
<thead>
<tr>
<th>Module 1</th>
<th>Customer Service</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Customer Relations</td>
</tr>
<tr>
<td>• ADA/Title VI</td>
<td></td>
</tr>
<tr>
<td>– Keep riders apprised of no shows; work toward a positive resolution</td>
<td></td>
</tr>
<tr>
<td>– Monitor percentage of no shows and/or cancellations (to the customer’s total trips), not the absolute number</td>
<td></td>
</tr>
<tr>
<td>– If a rider’s record indicates a pattern that will trigger a suspension, review the no shows to ensure that they were not the result of a coding or other error</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Customer Service</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Customer Relations</td>
</tr>
<tr>
<td>• ADA/Title VI</td>
<td></td>
</tr>
<tr>
<td>– If a rider is in danger of suspension, notify them ahead of time and clarify any issues regarding no show and cancellation policies</td>
<td></td>
</tr>
<tr>
<td>– Make sure all system materials (brochures, policies, etc.) are available in alternative formats, including those that may be required by those LEP (limited English proficient)</td>
<td></td>
</tr>
<tr>
<td>– Must have appeal procedure for suspension of service</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Customer Service</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Customer Relations</td>
</tr>
<tr>
<td>• Policy Communication</td>
<td></td>
</tr>
<tr>
<td>– Establish all policies in writing</td>
<td></td>
</tr>
<tr>
<td>– Conduct on-going training for all transit staff</td>
<td></td>
</tr>
<tr>
<td>– Distribute brochures, riders guides, etc. on vehicles, at local businesses, human service agencies, etc.</td>
<td></td>
</tr>
<tr>
<td>– Make all materials available in alternative formats, as necessary</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Module 1</th>
<th>Customer Service</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Customer Relations</td>
</tr>
<tr>
<td>• Complaint Process</td>
<td></td>
</tr>
<tr>
<td>– Establish in writing indicating timeline for responding to and resolving the complaint</td>
<td></td>
</tr>
<tr>
<td>– Have complaint forms available in vehicles, at the transit office, and other locations, as appropriate, and available in alternative formats, as necessary</td>
<td></td>
</tr>
<tr>
<td>– Respond to all complaints in writing</td>
<td></td>
</tr>
<tr>
<td>– Establish an appeals process</td>
<td></td>
</tr>
</tbody>
</table>
### Customer Service

**Customer Relations**

- Effective customer service and positive customer relations are tied to
  - Respect for your customer
  - Professional conduct at all times
  - Standard written policies enforced fairly
  - On-going awareness and training on customer service-related issues

### Resources

- RTAP Customer Service Training videos and workbooks
  - Contact your Rural Transit Representative

### Marketing, Public Relations, & Outreach

**Marketing Plans**

- ODOT strongly recommends that each transit system have a written marketing plan
  - A marketing plan outlines how the system details and information will be communicated to the public
  - Outlines what types of media will be used (newspaper, radio, tv, brochures, etc.)
Marketing Plans

- A marketing plan does need to be long or “fancy” but should cover these components
  - Marketing objective/desired results
  - Marketing approach
  - Specific actions to be taken
  - Budget
  - Overall plan should reflect the transit system’s mission

Marketing Plans

- There are several excellent marketing resources, books, websites, etc.
- One example is “The Ten Demandments of Marketing” by Kelly Mooney, that provides these 10 steps to successful marketing that can apply to a variety of different clientele
  1. Earn My Trust
  2. Inspire Me
  3. Make it Easy
  4. Put Me in Charge

Information to be Marketed

- Branding
  - What is your system’s name (formal and informal) and why?
  - General awareness of the system
  - Each system should have its own brand, denoted by its unique
    - Name
    - Logo
    - Color scheme
    - Slogan
    - Employee dress code/uniforms
    - General system information

Ten Demandments

1. Earn My Trust
2. Inspire Me
3. Make it Easy
4. Put Me in Charge
5. Guide Me
6. 24/7
7. Get To Know Me
8. Exceed My expectations
9. Reward Me
10. Stay With Me

Branding

- Name
- Logo
- Color scheme
- Slogan
- Employee dress code/uniforms
- General system information

Marketing objective/desired results
Marketing approach
Specific actions to be taken
Budget
Overall plan should reflect the transit system’s mission
<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>General System Information</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• How to contact the system (who to contact, phone numbers, website, etc.)</td>
</tr>
<tr>
<td></td>
<td>• Days and hours of service</td>
</tr>
<tr>
<td></td>
<td>• Service area, routes, etc. (any special considerations e.g., route deviation, connections with other systems)</td>
</tr>
<tr>
<td></td>
<td>• Fares (what types of fare media are accepted)</td>
</tr>
<tr>
<td></td>
<td>• Stops (including flag stops)</td>
</tr>
<tr>
<td></td>
<td>• Accessibility for individuals with disabilities and older adults</td>
</tr>
<tr>
<td></td>
<td>• How and when to schedule a trip (expected arrival times, etc.)</td>
</tr>
<tr>
<td></td>
<td>• How to provide feedback (positive and negative)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>Build a Respected Reputation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• A system’s reputation will generate [positive or negative] feelings from the customers</td>
</tr>
<tr>
<td></td>
<td>• Which would you prefer it to be?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>Marketing &amp; Outreach</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Transit Drivers and vehicles are the first line of marketing; good impressions are made in a matter of seconds</td>
</tr>
<tr>
<td></td>
<td>– Practice good maintenance and driver training and effective scheduling</td>
</tr>
<tr>
<td></td>
<td>– Vehicles must be clean and safe (in good working order, timely repairs made, etc.)</td>
</tr>
<tr>
<td></td>
<td>– If your vehicles have electronic destination signs, these can display service information in addition to the route number and/or destination</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101 Module 1</th>
<th>Marketing &amp; Outreach</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>– If your vehicles have electronic destination signs, these can display service information in addition to the route number and/or destination</td>
</tr>
<tr>
<td></td>
<td>– Drivers must be courteous and knowledgeable</td>
</tr>
<tr>
<td></td>
<td>– Appropriate sizes of vehicles used for the type of service</td>
</tr>
<tr>
<td></td>
<td>– Was the customer’s experience positive</td>
</tr>
</tbody>
</table>
### Marketing & Outreach

**• Word of Mouth**
- Your best references are customers who have had a good experience
  - Satisfied customers will refer the service to friends, families, and co-workers
  - Unsatisfied customers will share their negative experiences

**• Brochures, Schedules, and Riders Guides**
- Publications with information about the transit system can be produced and distributed relatively inexpensively, either in-house or with outside resources
  - Examples include brochures and/or rider’s guides which contain information about the system (service area, hours/days of service, fares, service rules, etc.)

**• Brochures, Schedules, and Riders Guides**
- Also includes system maps for those systems with routes or extended service areas
- Common distribution locations include pharmacies, grocery stores, hospitals, physician offices, human service agency offices, etc.
- Accommodations must be made for individuals with disabilities, including visually and hearing impaired individuals, LEP individuals (limited English speaking), individuals with limited literacy, etc.
- Written publications must be available in alternative formats, if requested, including large print, Braille, audio, etc.
- TTY/TDD capability or Ohio Relay Service information must be included on all written publications
- If your system offers travel training, this should be noted on the brochure including how to request it
Marketing & Outreach

- Brochures, Schedules, and Riders Guides
  - Written publications must be available in alternative formats, if requested, including large print, Braille, audio, etc.
  - TTY/TDD capability or Ohio Relay Service information must be included on all written publications
  - If your system offers travel training, this should be noted on the brochure including how to request it

- Print media
  - Printed advertisements can be purchased and displayed on
    - Billboards
    - Transit shelters and stations
    - Newspapers
      - Advertisements can be expensive; public interest stories are free
      - Develop a positive working relationship with your local newspaper staff

- ODOT must review and approve all system publications, including revisions and updates

- Flyers
  - Posted in various locations (including inside vehicles)
  - Mass mailings
  - Distributed at local community events (fairs, school events, social, ethnic and religious gatherings)
  - Utility mailings (check with local city or county officials for potential opportunities)
Marketing & Outreach

- Gifts and trinkets
  - Small gifts, such as pens, pads of paper, magnets, etc. with the system name, logo, phone number, website, etc. are good marketing tools

- TV and radio media
  - Local stations usually offer public service announcements
  - Purchased advertising can be expensive

- Local Community Events and Public Meetings
  - Display transit vehicles and give tours
  - Always have someone available to answer questions
  - Use official public meetings (public hearings for service and fare changes, etc.) to share information about the system and answer questions

- Comment Cards
  - Vehicles should be equipped with pre-addressed comment cards (postage paid, if possible)
  - Encourage questions and comments
  - Must be prepared to address/respond to the comments, both positive and negative, as well as suggestions for service improvements
  - Use them at community events, public meetings, etc.
Marketing & Outreach

- Social Media
  - Real-time social media (Facebook, Twitter, Google, smart phone applications “apps”, etc.) have expanded the public’s ability to access information about all types of service--take advantage of this
  - Basic system information as well as route, service, schedule, and fare changes can be posted
  - Can also be used for communicating road closures, traffic tie-ups and schedule delays, vehicle breakdowns, etc.

Human Resources

- Policies and Procedures
  - Hiring
  - Training
  - Leave policies
  - Disciplinary
- Recruiting
  - Ensure selection of recruits from the broadest possible, qualified labor pool

- Transit employees may be:
  - Public sector
  - Non-profit private sector
  - For-profit private
- Differences and similarities
- Rules and rights that go along with each
- Recruiting
  - Use a variety of methods to notify the public of the positions available
    - Word of mouth
      - Current and former employees
      - Family
      - Friends
      - Neighborhood and community leaders
      - Places of worship
      - Social clubs
      - Professional organizations
Human Resources

**Recruiting**
- Paid advertising
  - Local newspapers and other publications
  - Regional/national publications
- Websites and Social Media
  - Transit website
  - Human service agency websites
  - Local business websites
  - Facebook, Twitter, LinkedIn, etc.
  - Local employment agencies

**Hiring**
- Require all applicants to complete a formal job application
- Thoroughly review each application with regard to qualifications and experience
- Develop standard interview questions to be used for all candidates

**Recruiting**
- Develop a formal job description that outlines:
  - Job duties
  - Minimum requirements
  - Working conditions
  - Proposed pay scale
  - Other requirements such as background checks, drug and alcohol testing, ADA, etc.

**Hiring**
- The following are suggested minimum requirements for a candidate to be considered
  - Check with your insurance carrier for its allowable minimum age for your coverage. In many systems, the minimum age is 25
  - In good health (confirmed by an employment physical prior to employment) and able to perform the requirements of the position
  - Possess the required driver’s license (valid Ohio Driver’s License, CDL, etc.) required for the position
Human Resources

- Hiring, suggested minimum requirements
  - Have a clean driving record
    - No more than 2 violations in a 3 year period
    - No convictions for driving under the influence of alcohol or drugs
  - If a candidate’s driver’s license has ever been suspended, there must be two full subsequent years with no moving violations
  - No candidate should be considered for a driving or safety-sensitive position that has been convicted of a felony or drug or alcohol related offense

- Be able to demonstrate the ability to successfully deal with stressful situations
- Be sensitive to diversity and people with special needs
- Successfully pass the required pre-employment drug/alcohol testing

- Conduct Background checks
  - Ohio Bureau of Criminal Investigation (BCI)
    - These checks can be accomplished in a reasonable amount of time
    - Ensures that candidates have no criminal background that could threaten the security of your riders and your staff
  - For individuals that may have recently moved to Ohio, a national FBI check should be conducted; this can take several weeks

- Should individuals with the following criminal history should be considered? Why or why not?
  - assault or menacing
  - abuse of an elderly or disabled person, or a patient in a hospital
  - kidnapping or abduction, child stealing
  - murder or manslaughter
  - criminal child enticement or corruption of a minor
<table>
<thead>
<tr>
<th>ODOT Transit 101</th>
<th>Human Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Module 1</td>
<td>• rape, sexual battery,</td>
</tr>
<tr>
<td></td>
<td>• sexual imposition or felonious sexual penetration</td>
</tr>
<tr>
<td></td>
<td>• importuning, voyeurism or public indecency</td>
</tr>
<tr>
<td></td>
<td>• compelling or promoting prostitution</td>
</tr>
<tr>
<td></td>
<td>• procuring or prostitution</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101</th>
<th>Human Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Module 1</td>
<td>• disseminating matter harmful to juveniles, pandering obscenity, pandering obscenity involving a minor, pandering sexually oriented matter involving a minor, illegal use of minor in nudity-oriented material or performance</td>
</tr>
<tr>
<td></td>
<td>• robbery or burglary</td>
</tr>
<tr>
<td></td>
<td>• endangering children or contributing to unruliness or delinquency of a child</td>
</tr>
<tr>
<td></td>
<td>• domestic violence</td>
</tr>
<tr>
<td></td>
<td>• any offense dealing with violence or sexual offense</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101</th>
<th>Human Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Module 1</td>
<td>• carrying a concealed weapon</td>
</tr>
<tr>
<td></td>
<td>• corrupting another with drugs or trafficking in drugs</td>
</tr>
<tr>
<td></td>
<td>• any other felony that may bear a direct and substantial relationship to the duties and responsibilities of the position</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ODOT Transit 101</th>
<th>Human Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Module 1</td>
<td>• Inevitably, you, as a transit manager, will have employees who do not, or cannot, successfully perform their job responsibilities. Typically, these situations will require one of three actions:</td>
</tr>
<tr>
<td></td>
<td>– Coaching</td>
</tr>
<tr>
<td></td>
<td>– Disciplining</td>
</tr>
<tr>
<td></td>
<td>– Firing</td>
</tr>
</tbody>
</table>
• Coaching/Disciplining/Firing
  – Develop clear and realistic job descriptions, so that a worker knows what is expected
  – Develop clear, reasonable and written personnel policies, including employee evaluations, disciplining and incentives

• Coaching/Disciplining/Firing
  – Establish a written employee evaluation process to occur at least annually
    • To provide performance feedback to the employees
    • Identify and correct non/under-performance issues
  • Evaluation should include
    – Annual driving record check
    – Annual physical exam
    – Drug and alcohol testing (in accordance with FTA's D/A Program)

• Coaching/Disciplining/Firing, written employee evaluations
  – Background checks
  – Periodic ride checks (for drivers)
  – Periodic inspections/observations of maintenance personnel
  • Typically, most transit employees jobs require them to be in the field, and thus, out of sight of supervisors
  • This potentially provides temptations for employees to not perform as well as they would if there were being watched. Examples of this include
    – Reckless driving
    – Unscheduled deviations off route

• Coaching/Disciplining/Firing, written employee evaluations
  – Skimming fares
  – Disrespect to riders
  – Damage to the vehicle
  – Misappropriating resources (fuel, maintenance supplies, unauthorized use of company credit cards, etc.)
  • These opportunities can be reduced by the use of
    – On-board cameras,
    – GPS tracking,
    – “Ghost or mystery riders” that ride the bus and observe for management
    – Supervisors periodically following transit vehicles in cars
Human Resources

- Communicating policies
  - Explain all personnel policies to all employees (in initial orientation and periodically in staff meetings) and give them a written copy for their reference
  - Employees need to know
    - What will happen if they do not perform according to the job description
    - That the rules will be applied fairly and consistently to everyone based on their work performance

- Communicating policies
  - If discipline is warranted, apply it quickly and fairly, with appropriate re-training if necessary, and with appropriate severity, but all with the goal of improving future performance or removing problem or non/under-performing employees
  - Progressive discipline may entail a warning for a first offense; suspension for the second offense, and removal as the third/final offense

- Communicating policies
  - That the personnel policies will be used to retain good employees, provide a documented basis for advancement in the organization, and to get rid of non/under-performing employees
  - Results should be shared with the employee, an action plan developed jointly to improve performance, if necessary; and coaching provided as necessary to assist the employee to meet the specified performance standards

- Communicating policies
  - It is important that the discipline policies are in writing (approved by the Governing Board) and provided to all employees
  - This allows for potentially good employees to learn from their first mistakes and then perform well thereafter
Human Resources

• Communicating policies
  – If incentives are used to reward good performance, award them fairly to emphasize the value of good performance
  – If a union contract is in place and enforced, all employee evaluation and discipline procedures outlined in the contract must be followed consistently

• Personnel records
  – Thorough, written personnel records are essential
    • In problem situations where corrective or disciplinary actions are required
    • May be required by government regulations, funding sources
    • As support in any potential litigation

• Personnel records
  – Examples of these records include
    • Orientation
    • Training
    • Benefits
    • Payroll
    • Attendance
    • Discipline

• Training
  – In rural systems we wear many hats
  – Need for cross-training
  – Little time for training; feel too busy
Human Resources

• Orientation and training
  – Once an individual is hired, he or she must be oriented to the agency and trained for the specific position for which he or she was hired
  – Training typically consists of “desk” and “behind-the-wheel”
  – Desk training includes:
    • Agency policies and procedures
    • Vehicle specifications
    • Routes

• Orientation and training
  – Desk training
    • Safety and operating rules
    • Components of a vehicle
    • Safety aspects of the vehicle and driving
    • Pre- and post-trip inspections
    • Defensive driving
    • First aid
    • Emergency response and passenger evacuation
    • Dealing with passengers politely and sensitively
    • Incident and accident reporting procedures
    • Fare handling
    • Understanding the dispatcher’s role in day to day and unusual situations

• Orientation and training
  – Behind-the-wheel training
    • All of the above, but in a real-life situation
    • Equipment breakdowns
    • Driving the routes

• Behind-the-wheel training
  – Proper operation of wheelchair lifts and tie-downs
    • Training can be provided by in-house staff, or by an outside organization
    • Transit system personnel provide agency orientation, policies and procedures and all training related specifically to the agency
    • Attendance at a training facility, school, conference, or vehicle manufacturer may be required for specific topics
    • Online training via Skype, webinar or teleconference training sessions are available
    • Training modules via electronic or printed media can be purchased
Human Resources

- General training requirements
  - Drivers must be observed, periodically and randomly, in order to ensure that all policies and procedures are being followed
  - Safety sensitive personnel are required to receive one hour of training regarding the impacts of drug and alcohol use
  - Continuous training should be offered on a variety of subjects

- General training
  - Training aids in personnel evaluations and discipline
  - Detailed training records must be maintained
  - Serves as documentation for any potential legal actions resulting from accidents on the street or in the shop

- Employee retention
  - It is important to retain and advance good employees
    - Reduces turnover, which is costly and time consuming, and keeps within the organization the skills, work habits, knowledge of the policies and procedures, and loyalty that have been developed over time
    - Decent wages and benefits, and a decent working environment are crucial to attracting, retaining and advancing good workers in a transit organization
    - As with all other expenses, the organization needs to manage the cost of its labor

- Benefits packages may include
  - Retirement
  - Health and dental insurance
  - Disability insurance
  - Unemployment insurance
  - Training allowances
  - Uniform allowances
  - Vacation and sick time
  - Wellness incentives
Human Resources

- Employee retention
  - Other benefits which have no or little cost but which are popular
    - Allowing schedule flexibility to care for sick children, spouses, and parents
    - Not discouraging employees from having second jobs (as long as those second jobs do not compromise the transit organization, or tire out the employees too much)
    - Providing pre-tax incentives
  - Periodically assess the physical workplace (both in the facility and on the streets) to determine what the organization can do to improve working conditions
    - The workplace and policies and procedures should be able to accommodate people with disabilities, both as customers and as employees
    - The workplace must be free from physical and sexual harassment, bullying, discrimination, prejudice, political harassment, intimidation, and supervisors with untrained and inappropriate management styles
  - Employees need to feel that their input and ideas are wanted and appreciated by management
    - Provide a mechanism where employees can make suggestions about the transit service and operations, vehicles, working conditions, bad bosses, etc. without the fear of retribution
    - Listen to the insights and observations of drivers and other employees who come in contact with the travelling public

Promoting Employees Within the Organization

- Transit organizations can facilitate advancement and retaining good employees by strategically reviewing its workforce periodically to see what potential staff improvements (advancements) might exist
- Longevity awards and incentives, new skills training, coaching and mentoring, and even refresher training, can be applied to enhance skills, and advance some employees to the next level or to new positions
Human Resources

- Promoting employees
  - Send a clear message to all employees that hard work, loyalty, and skills are keys to advancement and to bettering one's station in life
  - Reinforce and strengthen the culture within the organization by retaining and advancing those that support and further the organization's goals
- Management must be aware that uncontrolled advancement in an organization can promote employees to positions for which they are not suited, leading to non/under-performance and ultimately discipline and firing situations, if not monitored

Human Resources

- Succession planning
  - Eventually, all employees will leave the organization due to retirement, other employment, ill health, disciplinary termination, and potentially, layoffs, and death
  - Management must have a succession plan to fill vacated positions at all levels
  - This is particularly true of positions with specific skills requirements and top management

Human Resources

- Succession planning
  - Establishes an orderly transition when retirement or departures occur
  - Managers should continually identify and, where and when possible, provide training for future managers and other staff

Human Resources

- Critical Workforce Issues
  - EEO and Diversity
  - Transit systems must prevent the exclusion of or discrimination against, any person on the grounds of race, color, creed, national origin, sex, or age as it pertains to the recruitment, selection, promotion, termination, compensation, training, or other terms and conditions of employment
### Human Resources

#### Module 1

**Human Resources**

- **Critical Workforce Issues**
  - EEO and Diversity
    - Rural transit systems which received more than $1 million of federal funds in the previous year and have 50 or more transit employees must develop and submit an EEO Program to ODOT. (Contact your Rural Transit Representative for further information)
    - The Program shall include an EEO Policy Statement, how the EEO information is disseminated to existing and potential employees, and the transit system personnel responsible for EEO compliance

- **Equal pay for equal work/glass ceiling**
  - In some industries, women still receive less pay than men for comparable work
  - Women and minorities often still face a “glass ceiling” above which they tend not to be promoted
  - While improving, transit systems need to be aware and work to alleviate these situations

- **ADA and Diversity**
  - Transit systems must provide reasonable accommodations in the workplace, for individuals with disabilities
  - Transit systems must avoid any situations that might unreasonably exclude the hiring and advancement of these individuals

- **Drug and alcohol testing**
  - FTA requires the use of testing of employees performing safety-sensitive job functions
  - Testing includes pre-employment, reasonable suspicion, random, post accident, and return to duty
  - D/A testing requirements will be covered in Module 3 as well as part of separate substance abuse training provided by ODOT
### Human Resources

**Workforce characteristics**
- An aging workforce presents other issues
  - Upcoming retirement of the baby-boomers (those born 1946-1962)
  - Most management and experienced workforce are baby-boomers
  - Rising healthcare costs and absenteeism of older workers can present financial and budget issues
  - Some older workers may have difficulty adapting to new technologies

- Dealing with new to the workforce, younger employees presents other issues
  - Some younger workers may not have established positive work and attendance habits
  - Training costs will rise as new, younger workers replace skilled and experienced personnel
  - Today’s younger workers, however, typically are more “technology savvy”

### Procurement

**Procurement**
- Typically, rural transit systems will conduct procurements that are funded from Federal, State, and/or local sources
- Each one of those sources and levels of government has its own procurement requirements
- Rural transit systems are required to have a written procurement policy that incorporates the relevant provisions of FTA Circular 4220 (the most recent version)

### Legal Capacity

**Each transit system must have the “legal capacity” for conducting business**
- The transit system must be eligible and authorized under state and local law to
  - Request, receive, and dispense Federal and State funds
  - To execute and administer Federal and State funded projects
  - Legal counsels typically sign a certification of assurance
Legal Counsel

- A good working relationship with your legal counsel is essential
- Legal counsel can help transit systems avoid legal issues, and help you with those you can’t avoid

Legal Counsel

- It is essential that the Transit Manager be as open and honest with as possible with its legal counsel
- Legal counsel must trust you and the system
- Legal counsel should not be put in a position of defending and supporting a system (and its Transit Manager) that don’t know what they are doing

Legal Counsel

- Legal counsel can help only when they are absolutely clear about what you are doing (or want to do) and what are the relevant rules
- If there is a legal problem, they can stand by you and work on your behalf

Legal Counsel

- The legal counsel may be on staff, or the governing board may contract out for legal counsel, or both (depending on the issue)
- Cities, villages, townships, county commissioners, will usually provide legal counsel for their transit system
### Legal Counsel

- A county transit board will usually use the legal counsel of the county board of commissioners
- 501(c)(3) non profits, RTAs and regional transit commissions usually directly contract out for legal counsel

---

### Legal Counsel

- Legal counsels may not be fully familiar with the many legal requirements facing a transit system
  - Educate your legal counsel about the transit system, relevant ORC, ODOT and FTA transit laws and regulations, how it operates, where the funding (and related rules) come from, special issues, etc.
  - As specific issues come up, legal counsel can become more familiar with related laws and become more familiar with the transit system and its legal needs

---

### Legal Counsel

- Specific areas for legal counsel assistance
  - Procurement
    - Transit systems conduct procurements involving Federal, State and local public funds. Each one of those sources and levels of government has its own procurement requirements
    - Legal counsel can assist with handling disputes, challenges, or any other issues that arise during a procurement

---

### Legal Counsel

- Specific areas for legal counsel assistance
  - Third party contracts
    - The transit system will likely have contracts with local governments and social services agencies specifying transit service that the system should provide, funding, in-kind donations, etc.
    - Legal counsel should be sought to ensure that those contracts are appropriate for the transit system as well as legally sound
Legal Counsel

• Third party contracts
  • Throughout the life of such contracts, there may be disputes about the performance of the transit system, or funding by the other agencies
  • These need to be dealt with not only from a contracting point of view, but also for the transit system to continue to be regarded as a “good neighbor” and community partner

• Personnel issues
  • Legal counsel may be necessary when a complaint or lawsuit has been filed regarding how the transit system has handled any stage of the human resources process, including recruitment, hiring, training, disciplining, promotion, etc., especially if the issue deals with potential discrimination or potential unfair labor practices

• Labor union issues
• Legal counsel can assist you in dealing with union-related issues, such as
  – Contract negotiations
  – Grievances
  – Impending strikes or work stoppages
  – “Work to rule” situations
• Depending on the situation, this may require bringing in special legal counsel that is more familiar with transit labor union law

• Risk management
  • Legal counsel is useful in the case of an accident involving a transit vehicle, or a worker’s compensation/disability incident
• Other Areas for Legal counsel assistance
  – Major structural changes to the transit systems
  – Drafting resolutions and setting the legal process to establish a new transit system
  – Close out a transit system
Legal Counsel

- Other areas
  - Change in type of governing board
  - Change from one FTA/ODOT funding stream to another
  - In partnership with ODOT, to help you understand the meaning and impact of any new Federal, State or local law or regulation

Legal Counsel

- Other areas
  - To help resolve financial issues, such as chronically late accounts receivables and underperforming vendors
  - To review potential issues dealing with the Sunshine Law (for open meetings, open records and record retention)
  - To guide you regarding any challenges to decisions made and actions taken by your transit governing board, committees, and transit staff

Legal Counsel

- Other areas
  - Potential and current conflicts of interest and ethics questions
    - These should be reviewed immediately by legal counsel so they can be addressed and corrected to avoid legal and negative publicity issues
  - To assist and counsel you, staff, and board members of your board called as witnesses or expert witnesses for a legal case

Legal Counsel

- Who is your legal counsel?
- Discussion
### Training Opportunities

- Transit 101: 5 modules
- Training listed on the ODOT Transit website
- Public and Social Service Transportation Certificate Program, Wright State University, in coordination with ODOT Transit

### Policies and Procedures

- ODOT Has Developed Over 80 Sample Operating Policies That Can Be Customized by Rural Transit Grantees
- Sample Policies are Available at: [http://www.dot.state.oh.us/Divisions/Planning/Transit/Pages/Rural.aspx](http://www.dot.state.oh.us/Divisions/Planning/Transit/Pages/Rural.aspx)
### Available Resources

- ODOT Transit website and staff
- Federal Transit Administration (FTA)
- Ohio Public Transit Association (OPTA)
- Community Transportation Association of American (CTAA)
- National Rural Transportation Assistance Program (NRTAP)
- Transit Cooperative Research Program (TCRP) of the Transportation Research Board (TRB)

### Available Resources

- United We Ride
- National Center for Mobility Management
- Easter Seals/Project Action
- National Center for Senior Transportation
- Partnership for Mobility Management
- Transit Planning 4 All
- American Public Transit Association (APTA)
- Your transit manager peers in Ohio

### Module 1 Conclusion

- Are you ready to be a Transit Manager?
- Complete the “after” portion of the Knowledge and Skills Evaluation Survey, and turn in the full “before”/“after” completed survey
  - Where did you improve?
  - Where should you focus your efforts?

### Module 1 Conclusion

- Complete and turn in the course evaluation before you leave
- Trade business cards, phone numbers and emails with your peers
- Discuss the need and feasibility of Transit Manager “user group” blog and social media connection to share ideas and resources
### Homework Assignment

- Prepare your transit manager and transit system action plans that shows how you and your system will acknowledge and reinforce strengths and addresses corrective actions for weaknesses
- Blank action plans have been emailed to you
- Return the filled out action plans by 2 weeks after this training session
- Submit via e-mail to: Alex Schultze
  alex.schultze@dot.state.oh.us

### Remaining Modules

- **Module 2: Operations**
  – February 10-11, 2015
- **Module 3: Financial Management**
  – March 18-19, 2015
- **Module 4: Procurement**
  – April 22-23, 2015
- **Module 5: Regulatory Compliance**
  – May 20-21, 2015

### Thank You

- Instructor contact information:
  – Rich Schultze, rschultze@rlsandassoc.com
  • Phone: (937)299-5007 or (937)304-6333